

Waimakariri District Council

Audit and Risk Committee

Agenda

Tuesday 12 December 2023

9am

Council Chambers
215 High Street
Rangiora

Members:

Cr Neville Atkinson (Chairperson)

Cr Tim Fulton

Cr Jason Goldsworthy

Cr Joan Ward

Cr Paul Williams

Mayor Dan Gordon (ex officio)

AGENDA CONTENTS – AUDIT AND RISK COMMITTEE MEETING

<u>Item Number</u>	<u>Item Topic</u>	<u>Page numbers</u>
3	Confirmation of Minutes 14 November 2023	6-19
5	Staff Reports	
5.1	Sefton Community Library- Application for a Rates Remission	20-22
5.2	Cyber Security – Status Report	23-44
5.3	Risk Management Work Programme and Corporate Risks Update	45-52
5.4	Update on NZ Mutual Liability (Riskpool)	53-56
5.5	Reporting on LGOIMA Requests for the period 1 September 2023 - 30 November 2023	57-65

The Chair and Members
AUDIT AND RISK COMMITTEE

A MEETING OF THE AUDIT AND RISK COMMITTEE WILL BE HELD IN THE COUNCIL CHAMBER, RANGIORA SERVICE CENTRE, 215 HIGH STREET, RANGIORA ON TUESDAY 12 DECEMBER 2023 AT 9AM.

Recommendations in reports are not to be construed as
 Council policy until adopted by the Council

BUSINESS

Page No

1 **APOLOGIES**

2 **CONFLICTS OF INTEREST**

Conflicts of interest (if any) to be reported for minuting.

3 **CONFIRMATION OF MINUTES**

3.1 **Minutes of a meeting of the Audit and Risk Committee held on Tuesday 14 November 2023**

6-19

RECOMMENDATION

THAT the Audit and Risk Committee:

- (a) **Confirms**, as a true and accurate record, the circulated Minutes of a meeting of the Audit and Risk Committee, held on 14 November 2023.

3.2 **Matters Arising**

4 **PRESENTATION/DEPUTATION**

4.1 **Bancorp – Miles O'Connor**

Miles O'Connor will provide a Treasury Update.

5 **REPORTS**

5.1 **Sefton Community Library- Application for a Rates Remission – Maree Harris (Customer Services Manager)**

20-22

RECOMMENDATION

THAT the Audit and Risk Committee:

- (a) **Receives** Report No. 231129191760.
- (b) **Approves** a rates remission of \$734.97 to cover the 2023/24 rates on the Sefton Community Library Trustees property at 14 Pembertons Road, Sefton (Rates Assessment 2144019400) under the Policy for Remission of Rates in Miscellaneous Circumstances.

5.2 Cyber Security – Status Report – Andy Keiller (Chief Information Officer) and Owen Payne (Cyber Security Analyst)

23-44

RECOMMENDATION

THAT the Audit and Risk Committee:

- (a) **Receives** Report No. 231122187395
- (b) **Notes** that our overall Framework compliance score sits at 80.99% against a New Zealand Wide benchmark of other council of 55.65%.

5.3 Risk Management Work Programme and Corporate Risks Update – Sherriane Nation (Quality & Risk Coordinator)

45-52

RECOMMENDATION

THAT the Audit and Risk Committee:

- (a) **Receives** Report No. 231102175295.
- (b) **Notes** the progress of the Risk Management Work Programme.
- (c) **Notes** the current 'Corporate Risks' rated 'Critical' and 'High'.

5.4 Update on NZ Mutual Liability (Riskpool) – Sarah Nichols (Governance Manager)

53-56

RECOMMENDATION

THAT the Audit and Risk Committee:

- (a) **Receives** Report No. 231127190428.
- (b) **Notes** the payment of \$105,339 (GST exclusive) payable 20 December 2023 to NZ Mutual Liability Riskpool will be funded from general rates and post fund for the 2024/25 financial year.
- (c) **Circulates** a copy of this report to the Council for information.

5.5 Reporting on LGOIMA Requests for the period 1 September 2023 - 30 November 2023 – Thea Kunkel (Governance Team Leader)

57-65

RECOMMENDATION

THAT the Audit and Risk Committee:

- (a) **Receives** Report No. 231128190794 for information.
- (a) **Notes** that the Council received 65 requests and responded to 73 official requests of information from 1 September 2023 to 30 August 2023, which was 30 more than the 43 official requests responded to in the same period in 2022.

6 PORTFOLIO UPDATES

6.1 Audit, Risk, Annual / Long Term Plans – Councillor Joan Ward

6.2 Communications and Customer Services – Councillor Joan Ward

7 QUESTIONS**8 URGENT GENERAL BUSINESS****9 MATTERS TO BE CONSIDERED WITH THE PUBLIC EXCLUDED**

In accordance with section 48(1) 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 (or sections 6, 7 or 9 of the Official Information Act 1982, as the case may be), it is moved:

1. That the public be excluded from the following parts of the proceedings of this meeting:
 - Item 9.1 Confirmation of Minutes of the Public Excluded portion of the Audit and Risk Committee meeting on 14 November 2023

The general subject of each matter to be considered while the public is excluded, the reason for passing this resolution in relation to each matter, and the specific grounds under section 48(1) of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution are as follows:

Meeting Item No. and subject	Reason for excluding the public	Grounds for excluding the public-
9.1 Confirmation of Minutes of the Public Excluded portion of the Audit and Risk Committee meeting on 14 November 2023	Good reason to withhold exists under section 7	To enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations. To prevent the disclosure or use of official information for improper gain or improper advantage (s 7(2)(h)(j)).

CLOSED MEETING

See Public Excluded Agenda.

OPEN MEETING**NEXT MEETING**

The next meeting of the Audit and Risk Committee will be held on Tuesday 13 February 2024 at 9am.

WAIMAKARIRI DISTRICT COUNCIL

MINUTES OF THE MEETING OF THE AUDIT AND RISK COMMITTEE HELD IN THE COUNCIL CHAMBERS, CIVIC BUILDINGS, HIGH STREET, RANGIORA ON TUESDAY, 14 NOVEMBER 2023, AT 9AM.

PRESENT

Deputy Mayor N Atkinson (Chairperson), Mayor D Gordon, Councillors T Fulton (arrived at 9.05am), J Goldsworthy, J Ward, and P Williams.

IN ATTENDANCE

Councillors A Blackie, B Cairns, and P Redmond.

J Millward (Chief Executive), G Cleary (General Manager Utilities and Roding), N Robinson (General Manager Finance and Business Support), S Hart (General Manager Strategy, Engagement and Economic Development), C Brown (General Manager Community and Recreation), P Christensen (Finance Manager), S Nichols (Governance Manager), D Young (Senior Engineering Advisor), M Garrod (Accountant), H Street (Corporate Planner), and K Rabe (Governance Adviser).

1 APOLOGIES

Moved: Deputy Mayor Atkinson

Seconded: Councillor Williams

An apology for early departure was received and accepted from Mayor Gordon who retired from the meeting at 9.50am.

CARRIED

2 CONFLICTS OF INTEREST

No conflicts of interest were declared.

3 CONFIRMATION OF MINUTES

3.1 Minutes of a meeting of the Audit and Risk Committee held on Tuesday 12 September 2023

Moved: Councillor Williams

Seconded: Councillor Goldsworthy

THAT the Audit and Risk Committee:

- (a) **Confirms**, as a true and accurate record, the circulated Minutes of a meeting of the Audit and Risk Committee, held on 12 September 2023.

CARRIED

3.2 Matters Arising

There were no matters arising.

4 PRESENTATION/DEPUTATION

4.1 Oxford Promotions Association Committee – Annual Report (Trim Ref: 231114182982)

A representative from Oxford Promotions Association Committee (OPAC), P Reilly, was in attendance and provided the Committee with an update on work carried out during the previous financial year.

P Reilly noted that OPAC's mission statement was currently being reviewed and proceeded to provide a brief overview of the events which OPAC hosted, included the Mother's Day Colouring Competition, Oxford Winter Lights, the Great Oxford Garage Sale Trail, the Father's Day Colouring Competition, two mix and mingle events and the Christmas Carols. OPAC was also involved in establishing a Water Tower Trail, reducing the speed limit in Oxford Town Centre, planning for a Matariki Celebration, the Great Garage Sale, and the Christmas parade.

In giving an overview of OPAC's financial status, P Reilly acknowledged the grants received from Creative Communities and the Council, as well as the donations from Oxford Fresh Choice and the Oxford-Ohoka Community Board. OPAC had also donated \$1,000 to the Oxford School for a new Telescope and bought flags for ANZAC Day and Matariki celebrations.

The Chairperson thanked Peter Reilly for his report and congratulated OPAC on the outstanding events arranged for its community.

4.2 **Kaiapoi Promotions Association – Annual Report (Trim Ref 231114182995 and 231115183321)**

M Pinkham, Chairman of the Kaiapoi Promotions Association (KPA) was in attendance and provided the Committee with an overview of the work being done by the KPA. He noted that all the members were volunteers other than Tracey Inwood. He informed the Committee that people were no longer keen to attend meetings which had prompted the KPA to investigate other means to engage business owners and stakeholders. Another challenge the KPA faced was the lack of sponsorship and funding due to covid, the economic downturn and rising inflation.

M Pinkham reported that the Christmas Carnival had been a success, however, the street market had proved disappointing even though businesses had received requests to hold a market. The Entertainment Zone had been very popular, and musicians were asked to stay longer to accommodate the public. KPA were considering charging for the Entertainment Zone in the future.

M Pinkham further noted that the River Carnival had to be cancelled, however, the Shaun Wallace Quiz Night had been successful. The KPA encouraged the Council to develop the open air event space that had been included in the Kaiapoi Town Centre Plan as it would allow for more events.

Councillor Ward queried the cost of traffic management and suggested that the various Promotion Associations work together to try and mitigate the cost. M Pinkham disagreed as each Association had the chance to negotiate rates, which often worked in the Association's favour.

The Chair thanked M Pinkham for his presentation and the work the KPA did in promoting the Kaiapoi.

4.3 **Rangiora Promotions Association– Annual Report (Trim Ref: 231114182986)**

Several representatives from the Rangiora Promotions Association (RPA) were in attendance and provide the Committee with an overview on the work done by RPA during the previous financial year.

D Taylor-Hayhurst acknowledged that there had been changes to the Board and the staff which had caused challenges during the year, however, several successful events had been hosted which included Do Good Rangiora, the Big Splash, Family Cinema and Guy Fawkes Fireworks Night, Rangiora Santa Parade and Christmas party in the park, Happyhire's Eats and Beats Festival and the last Wednesday Club. Unfortunately, this would be the last time they would be hosting the Happyhire's Eats and Beats due to rising costs.

D Taylor-Hayhurst explained that the challenges faced included the ability to access funding, sponsorship, the loss of experience due to board members and staff leaving and

the drop in business due to the economic downturn. The coming year would see the RPA refocusing its purpose from business to community and rebuilding.

Councillor Cairns thanked the RPA for their decision to review their focus and thanked them for their honest feedback, however, he reminded them that events brought visitors to the towns which resulted in increased business opportunities and economy for the district.

Councillor Fulton acknowledged the increased costs of hosting events and queried if a nominal charge would help mitigate the costs incurred. T Keeling noted that the RPA had ask for a gold coin donation which had helped to a small degree, however, did not believe that charging for events would be productive and may deter some families from attending.

D Taylor-Hayhurst noted that the RPA planned to start the year with a blank page and to be creative to ensure they could re-engage those in the community who had isolated themselves since Covid.

The Chairperson thanked the PPA for their work and the great events which had been held during difficult times.

4.4 **Enterprise North Canterbury – Annual Report (Trim Ref: 231114182990)**

H Warwick and Board members were in attendance and provided the Committee with an update on the work being done by Enterprise North Canterbury (ENC). She noted that the team won a national award amongst its Economic Development peers in supporting start-up businesses. They also took part in the Waimakariri District Council's Economic Development Strategy and developed a ten year strategy.

H Warwick reported that the ENC had successfully secured \$120,000 from the Ministry of Business, Innovation and Employment (MBIE) to run workshops to upskill businesses and a further \$147,000 towards other projects. Businesses also contributed \$185,000 via sponsorship, Tourism, North Canterbury wine growers and i-Site commission.

Councillor Williams queried if promoting North Canterbury would detract from the promotion of the Waimakariri District and H Warwick replied that was not the case as once the information was uploaded to the website all the information was on the attractions and features of the Waimakariri District.

Councillor Cairns noted that ENC had stated that they would be looking for an increase of 10% to its funding from the Council. S Hart replied that ENC were not asking the Committee to approve a request for increased funding. It was merely noting its intention of requesting an increase during the Long Term Plan process.

Councillor Fulton asked if ENC considered the wellness aspect of the district and promoted the more rural areas of the district. H Warwick acknowledged that this was an important aspect with the ENC promoting the 4x4 trails, walking and cycling trails as well as the wilderness of the mountains and rivers.

This presentation was made in conjunction to the presentation of the following report.

5 **REPORTS**

5.1 **Annual Report for Enterprise North Canterbury for the year ending 30 June 2023 – N Robinson (General Manager Finance and Business Support) and S Hart (General Manager Strategy, Engagement and Economic Development)**

Moved: Councillor Ward

Seconded: Councillor Goldsworthy

THAT the Audit and Risk Committee:

- (a) **Receives** Report No. 231017165674.
- (b) **Receives** the Audited Annual Report to 30 June 2023.
- (c) **Circulates** this report to all Community Boards.

CARRIED

Councillor Ward thanked H Warwick and her team for their work during a difficult year, noting that in the time she had worked with ENC they had progressed and developed into a very successful entity. Councillor Goldsworthy agreed with Councillor Ward's assessment.

Mayor Gordon left the meeting at 9.50am.

5.2 **Enterprise North Canterbury (ENC) Strategic Plan Update – S Hart (General Manager Strategy, Engagement and Economic Development)**

H Warwick introduced the ENC's Draft Strategic Plan 2023-2033 which included the organisation's vision, values, and objectives for the next ten years. ENC's business was grouped under three themes namely Connect, Invest and Grow.

Deputy Mayor Atkinson noted that the report mentioned 'a reduction in Central Government funding' and queried if that was an assumption. S Hart noted that this was a possible risk in the future which was being highlighted. Deputy Mayor Atkinson further questioned if there were provisions in place if the new Government increased funding in an attempt to attract business and improve the economy of the country. H Warwick replied that ENC could always utilise funding in supporting businesses in the district and in better promotion of the district.

Moved: Councillor Fulton

Seconded: Councillor Ward

THAT the Audit and Risk Committee:

- (a) **Receives** Report No 231031174186.
- (b) **Endorses** Updated Enterprise North Canterbury Strategic Plan 2024 – 2034.
- (c) **Notes** the attached 2024/25 Proposed Enterprise North Canterbury Budget Summary.
- (d) **Notes** the current total allocation of Council funding to Enterprise North Canterbury for the 2023/24 financial year was \$696,870 and proposed this be increased to \$719,870 for the first year of the 2024/34 draft Long Term Plan, the later yet to be considered by the Council and to be consulted on next year.
- (e) **Notes** that Enterprise North Canterbury would work alongside Council staff to develop options for implementation of core strategies such as the new Waimakariri Economic Development Strategy, in time for the 2025/26 Annual Plan process.
- (f) **Circulates** this report to all Community Boards.

CARRIED

Councillor Fulton noted that he was happy to support the Plan and congratulated the team on their collaboration and clear direction for the future.

Councillor Ward also congratulated the Board and looked forward to seeing the great work achieved in the next year.

5.3 **Annual Report for Te Kōhaka o Tūhaitara Trust for the year ended 30 June 2023 – N Robinson (General Manager Finance and Business Support) on behalf of Te Kōhaka o Tūhaitara Trust**

J Hullen (Chairperson Te Kōhaka o Tūhaitara Trust) and Nick Chapman (General Manager Te Kōhaka o Tūhaitara Trust) will be in attendance.

J Hullen spoke to the Committee on the challenges faced by the Trust during the previous financial year which included management of the Waikuku Campground, the resignation of the General Manager and the recruitment of a new General Manager. These events had impacted on the Trust's financial position, however, the Trust was confident that this

could be turned around by the new initiatives introduced by the new General Manager, N Chapman. He acknowledged that the previous General Manager, G Byrnes had got the Trust to a strong start. The Trust's focus was now on becoming financially self-sufficient and growing its education capacity and encouraging more visitors to the park by consolidating its cycling/walking tracks and there was also consideration of introducing a disc golf course within the park.

Another project close to J Hullen's heart was the development of a Tui Bi-node to encourage Tuis to the park and there had already been three sightings of Tuis in the area which was an exciting development.

Deputy Mayor Atkinson noted that in previous years the Trust had held guided tours of the park for elected members and requested if this could be organised again so members could observe the progress in the park.

In response to a query regarding the recent fires at the Pines and at Woodend Beach, J Hullen advised that education was key to ensure that appropriate locations were chosen for activities involving fire. However, he acknowledges that some native plantings were more able to resist fire, and these were used in the park.

Councillor Redmond queried about the impact that the management of Waikuku Campground had on the Trust's finances. J Hullen noted that this had negatively impacted the Trust, however, N Chapman had made a good start in reversing the situation and he was confident that the Trust's finances would recover shortly.

Councillor Williams queried if the Trust worked with ENC to promote the park, and J Hullen confirmed that the Trust had worked with ENC in promoting its cycling infrastructure within the park, however there was further work to be done in improving the promotion of the park to a wider audience.

Councillor Redmond endorsed the return of Tuis to the district and wished the Trust well in its endeavours.

Moved: Councillor Ward Seconded: Deputy Mayor Atkinson

THAT the Audit and Risk Committee:

- (a) **Receives** Report No. 231031174213.
- (b) **Receives** the Annual Report for Te Kōhaka o Tūhaitara Trust for the year ended 30 June 2023.
- (c) **Acknowledges** the work carried out by the Trust and thanked the Trustee's, and staff for their efforts.
- (d) **Circulates** the report to the Community Boards for information.

CARRIED

Councillor Ward congratulated the Trust on its work during a difficult year.

Deputy Mayor acknowledged the challenges the Trust had faced, however, he was confident that the Trust would recover from the setback. He encouraged the Trust to continue to work on leasing the Karaki land to enable it to become financially viable noting that the Council supported this initiative.

The Chairperson called for a 10 minute adjournment at 10.30am and the meeting reconvened at 10.41am.

5.5 **Exempting the Waimakariri Public Arts Trust from reporting on performance requirements under the Local Government Act 2002 – P Christensen (Finance Manager) and M Garrod (Accountant)**

P Christensen spoke to the report, noting that the Waimakariri Public Arts Trust was a Council Controlled Organisation which currently required a Statement of Intent prepared before the start of each financial year, half-yearly financial reports within two months after the end of the half of each financial year and an Audited Annual Report within three months of each financial year. These requirements were complex and time consuming and as the Trust was a small non-profit charity it was recommended that it applied for an exemption from the reporting requirements under the Local Government Act 2002.

Deputy Mayor Atkinson queried if this meant that the Trust would still report to the Audit and Risk Committee once a year and P Christensen confirmed that it would.

Councillor Williams noted that the report stated that there were financial implications and queried what they were, and P Christensen advised that the cost related to staff time in preparing the financial reports.

Councillor Redmond questioned the amount of money the Trust managed yearly, and P Christensen noted that it was less than \$55,000 per annum.

Councillor Fulton queried if it was likely that other small entities would follow this example and P Christensen responded in the affirmative.

Moved: Councillor Williams

Seconded: Councillor Goldsworthy

THAT the Audit and Risk Committee:

- (a) **Receives** Report No. 231024169418.

AND

THAT the Audit and Risk Committee recommends:

THAT the Council:

- (b) **Approves** the exemption for the Waimakariri Public Arts Trust from reporting on performance requirements under the Local Government Act 2002.
- (c) **Notes** the Council may revoke the exemption at any time.
- (d) **Notes** the Council must review an exemption every three years.
- (e) **Notes** that it was recommended that the Trust amended the Trust Deed to remove the requirement of an audit.
- (f) **Notes** that unaudited financial statements signed by the Chairperson and another Trustee would be provided to the Council annually, with a six month progress report.
- (g) **Notes** the 2020/21, 2021/22 and 2022/23 financial years would be audited by Audit New Zealand.
- (h) **Notes** that the Statements of Intent were not prepared for 2020/21, 2021/22 and 2022/23.
- (i) **Recommends** that the Trust's financial statements were audited when, in each of the two preceding financial years, the operating expenditure of the Trust was more than \$550,000.

CARRIED

Councillor Williams stated that this was a sensible approach and Councillor Ward agreed noted anything to make reporting easier on small entities was welcome.

Councillor Blackie agreed commenting that he believed any Arts Committees should be exempt.

5.6 **Audit New Zealand Management Report for the year ended 30 June 2023 – N Robinson (General Manager Finance and Business Support)**

Y Yang from Audit New Zealand was in attendance to speak to Audit New Zealand's Management Report for the year ended 30 June 2023. She noted that the Council had achieved an unmodified opinion for the Annual Report which effectively meant it was a clean (unqualified) report and that the financial statements present a true and fair view in all areas reported on. However, recommendations had been made that would improve internal controls.

Councillor Williams queried the cost associated with the audit, and Y Yang acknowledged the significant increase in fees. She noted that fees were last negotiated in 2021, and since then costs had escalated, especially in relation to staffing and dealing with work that had been delayed due to resourcing issues. Councillor Williams then queried if there would be a refund offered since it seemed that work schedules were back on track. Y Yang replied that the Auditor General was working through some further efficiencies, however, there was unlikely to be any refunds made.

J Millward informed the Committee that the increase in audit costs had been challenged by Chief Executives and Mayors of neighbouring councils. J Millward acknowledged the increase in costs of doing businesses due to increased insurance costs, increased salary costs and other business related expenses.

Councillor Williams noted that it was the Audit and Risk Committee's responsibility to query costs and asked if Y Yang agreed with that assessment. Y Yang agreed stating that the 'catch-up' costs had impacted the overall increase in fees. Deputy Mayor Atkinson clarified that the proposed timelines were back on track for the coming financial year.

Councillor Fulton raised a concern regarding the perception on non-compliance of water quality and queried if an Auditor had the expertise to make such a determination. Y Yang noted that the data provided showed the status and it was not a judgement by the Auditor. Deputy Mayor Atkinson believed that as the Council had applied for exemption, it should not have been recorded as non-compliant while awaiting a response.

Councillor Goldsworthy requested clarification on the term "contingency asset" and questioned the implications of the correction to the Development Contribution. J Millward explained that the correction was of the nature to be immaterial to the audit. Councillor Goldsworthy also queried the impact of an 'open book' policy and Y Yang replied that this would reduce hours required for auditing, however, she was still awaiting the details on how this efficiency would change the scope of what was required during an audit.

Councillor Redmond noted that the report stated that the drinking water non-compliance was of a technical nature and asked if this would raise concern for the general public that their drinking water was no longer safe. Y Yang acknowledged that the non-compliance was a technicality due to the timing of the Government's directive and G Cleary noted that as all drinking water in the district was now chlorinated the public needed not fear unsafe drinking water.

Councillor Ward noted that Audit New Zealand had struggled to find sufficient resourcing locally in the recent years, and enquired if recruiting and retaining local staff would be a priority in the future. Y Yang stated that currently there were very few local accountants with sufficient experience, however, there was a drive to encourage young people to enter the field.

Councillor Fulton queried if auditors became de facto arbitrators on accounting issues and on performance. He believed that the water quality fell under the performance sector of the report rather than under the accounting standards and wondered if this was a factor why some councils submitted incomplete reports. Y Yang disagreed noting that the incomplete reports were due to timing issues.

Y Yang thanked the Management Team and staff who had assisted with the audit and had made her task a lot easier.

Moved: Councillor Williams

Seconded: Councillor Ward

THAT the Audit and Risk Committee:

- (a) **Receives** report No. 231031173848.
- (b) **Receives** Audit New Zealand's Management Report for the year ending 30 June 2023 (TRIM 231031173846).
- (c) **Notes** there were no significant matters arising from the management letter. Audit New Zealand had made a number of recommendations where systems could be improved, and these improvements had been made or were programmed to be completed.

CARRIED

Deputy Mayor Atkinson stated that he was pleased at the number and quality of the questions from members as this was a vital part of the Committee's responsibility in serving their community.

Councillor Williams noted that he was pleased to hear that Chief Executives were also questioning the increase in fees and that a response was expected.

Councillor Ward thanked the staff for all the work done during the audit and stated she believed that the Council had qualified, efficient staff managing the Council's finances.

Deputy Mayor Atkinson agreed with Councillor Williams stating that the increased fees were unacceptable and requested that Y Yang relayed that message to the Auditor General. He also reiterated his opinion that the water quality should not have received a non-compliance rating given the Council was awaiting a decision on its exemption application.

Councillor Fulton concurred with Deputy Mayor Atkinson and believed it was questionable to include performance within a financial audit.

Councillor Redmond noted that compliance was a subjective issue and thanked Audit New Zealand for a good report.

5.7 **Financial Report for the period ended 30 September 2023 – P Christensen (Finance Manager)**

P Christensen provided a brief overview on the financial results for the period ended 30 September 2023.

Councillor Williams questioned how the average costs of 4.7% and 4.8% had been determined. P Christensen responded that it depended on whether the funds were borrowed on floating or fixed terms and currently the borrowing rate was approximately 6%.

Councillor Fulton queried the impact of that the possible withdraw of Central Government funding would have on the Council's budgets and timelines for the coming financial year. P Christensen replied it was a matter of timing, as the Council funded projects and was subsequently reimbursed by the Central Government. He noted that the second Tranche Funding was currently on hold.

Councillor Redmond queried if loans were paid off or were they just rolled over. P Christensen replied that technically loans were renewed, payments are made to the total funding pool rather than individual loans. New debt is raised as loans mature.

Councillor Goldsworthy queried if special tax revenue was linked to Central Government to reduce the tax base. P Christensen undertook to investigate and circulate the information to the Committee.

Moved: Councillor Fulton

Seconded: Councillor Ward

THAT the Audit and Risk Committee:

- (a) **Receives** Report No.231031173772.
- (b) **Notes** the surplus for the period ended 30 September 2023 was \$1.4 million. This was \$0.2 million under budget.

CARRIED

Councillor Redmond noted that there was good positive information contained in this report which would go a long way to rebut the misinformation being circulated about the Council's financial position and request that this information be widely circulated.

5.8 **Fraud Policy Update – P Christensen (Finance Manager)**

P Christensen noted that the Council's Fraud Policy was last updated in February 2014 and this report highlighted the proposed updates to the policy necessitated by changes in legislation.

Councillor Fulton requested that a workshop be arranged to inform Councillors on the Protected Disclosures (Protection of Whistleblowers) Act 2022.

Councillor Williams queried if there was any indication of fraud within the Council. J Millward stated not to his knowledge and if there had been it would have been brought to the Council's attention.

Moved: Deputy Mayor Atkinson

Seconded: Councillor Williams

THAT the Audit and Risk Committee:

- (a) **Receives** Report No. 231030173234.
- (b) **Approves** the adoption of the updated Fraud Policy.

CARRIED

Deputy Mayor Atkinson stated his appreciation of this report coming before the Committee and noted that the more protections put in place the longer it took to detect fraud, hence this could be a double edged sword.

Councillor Williams noted that there was a fine line between deception and wrongdoing as in acting without intent and actually perpetrating fraud.

5.9 **Non-Financial Performance Measures for the quarter ended 30 September 2023 – H Street (Corporate Planner)**

No questions emanated from this item.

Moved: Councillor Fulton

Seconded: Councillor Goldsworthy

THAT the Audit and Risk Committee:

- (a) **Receives** report No. 231101174505.
- (b) **Notes** 82 (74%) of performance measures for the first quarter of the 2023/24 financial year were achieved, and 27 were not achieved.
- (c) **Notes** eight of the 27 measures that did not meet target were within 5% of being achieved.

- (d) **Notes** two measures would be reported later in the financial year.
- (e) **Notes** all measures were reviewed and incorporated into the 2021-2031 Long Term Plan. All measures were currently being reviewed for the 2024-2034 Long Term Plan.

CARRIED

5.10 **2023/24 Capital Works September Quarterly Report – D Young (Senior Engineering Advisor), G Cleary (General Manager Utilities and Roading) and C Brown (General Manager Community and Recreation)**

G Cleary and C Brown presented the report which advised the Committee on the progress of the delivery of the 2023/24 Capital Works Programme. G Cleary gave a brief update on delayed projects which included the cycleway project which was on hold and including UV projection to water schemes, however processed were being put in place to monitor these projects.

C Brown noted the land purchase for Pegasus Community Centre had been duplicated and the possible purchase of land in Ravenswood had been delayed due to complex negotiation process. Deputy Mayor Atkinson requested that the correct figures be circulated to members for their information.

Councillor Fulton queried if projects at risk of noncompletion were reprioritised and staff reassigned to ensure that timelines were met. G Cleary agreed that staff were reassigned regularly to projects under threat, however, this only applied to inhouse work. He also noted that Environment Canterbury's resource consent process caused delays.

It was noted that there seemed to be conflicting information in relation to the shovel ready projects and staff were asked to check the information and circulate an explanation to members.

Moved: Deputy Mayor Atkinson Seconded: Councillor Fulton

THAT the Audit and Risk Committee:

- (a) **Receives** Report No. 231102175227.
- (b) **Notes** the actual and predicted achievement across all tracked capital expenditure.
- (c) **Notes** that of the \$85.98million total capital spend, \$17.4million (20%) had been completed and \$74.41million (86%) was predicted to be completed (subject to weather and other matters outside our control).
- (d) **Notes** that initial progress towards achieving the 23/24 Capital Works Programme had been good with most projects allocated, with activity well underway. However, there were a number of projects either delayed or at risk, as reported elsewhere, and these would be closely monitored by staff to seek opportunities for improvement.

CARRIED

Deputy Mayor Atkinson noted that this was early reporting for the year and as such it was tricky to get predictions correct, however, the indications looked positive.

Councillor Fulton agreed that it was early days, and the trends were encouraging.

Councillor Williams raised his concern that there would be insufficient contractors to ensure the drainage works would be completed in the short time allowed between whitebait season and fish spawning. G Cleary stated he was aware of the pressures on drainage, and work on the Cam River was being planned now. Also, he was reviewing contractors resourcing of the planned projects for the future.

6 PORTFOLIO UPDATES

6.1 Audit, Risk, Annual / Long Term Plans – Councillor Joan Ward

- Staff were finalising their budgets for first Management review and completing commentary during December.
- Contrary to mistruths being circulated debt was still \$180 million and in four years risen to \$10 million. Most of the debt related to earthquake rebuild. Another false fact circulating was that the Council was not repaying its debt. However, the Council's financial plans show it was.
- Standard and Poors has started their review. The result was likely to be published in the new year. Retaining the AA credit rating, which was better than major trading banks was expected.

6.2 Communications and Customer Services – Councillor Joan Ward

Communications

This was for the July to September 2023 period:

- Ten Comms and Engagement Plans. This includes topics such as:
 - Speed Management
 - Chlorine introduction
 - Kaiapoi Community hub build
 - Economic Development Strategy
 - Mandeville Resurgence Channel
 - Community Outcomes engagement and feedback
- Thirty Media releases
- Engagement platform now had 2,333 registered users. This database was growing in influence. Recently used this database, to increase the public feedback on a topic by 90% through the 'e-news' function. This was because these residents had asked to be informed about the Council topics and could not bear 'direct to inbox' communication.
- Facebook users were now at 23,400. Instagram (which we had recently started aiming to grow) was at 420. LinkedIn had 2,070 followers. The Council's posts were seeing LinkedIn increase in viewers by over 200% in some instances. Staff were also using this to share their professional achievements.
- Over 40+ design projects organised in house. The Council also welcomed a new Graphic Designer Sam Meni who had joined the Council.

Other topics:

- Chlorine Introduction Planning.
The decision from Taumata Arowai was signalled to the Council in September 2023 and as such we started our community planning and material drafting in advance. Once our narrative was established, which included briefing the Council on distribution methods, we organise the letter drop through NZ post, newspaper wrap, social media campaign, sector communications and website updates. While we knew this was going to be an unpopular introduction, the Council received thanks from customers for the thorough and detailed explanation and advocacy against this introduction the Council had undertaken.
- Website launch.
The Council launched the new website on 9 August 2023. Since launch we had been working significantly in the back end to further improve search, remove ties to the old website domain, and incorporate customer feedback. To date we received great feedback from customers across demographics about the easy-to-use search functionality and navigation. Feedback and changes requested by the Council had been made too FYI. Shortly after launch Google changed their Analytics software

which had been a bit of a curveball in terms of our measurement metrics, but we are tracking well to re-establish our performance dashboard.

- **Civil Defence – Public Information Management.**

During this period there were three significant Civil Defence activations that required PIM support. This included:

- 22 July Heavy Rain event.
This involved the precautionary evacuation of Tuahiwi and surrounding areas.
- 11 August Oxford Rural No.1 Boil water notice.
Unexpected turbidity resulted in a boil water notice being issued for this Oxford scheme. The notice went on for well over a month until repairs could be undertaken that would stop this issue happening again. As with any boil water notice you need to get communication to those affected asap. To do this we used the text alert system, community contacts, social media.
- 22 September Heavy Rain and Snow Watch.
While this event didn't eventuate to be as severe as the late July one staff were on standby given the soggy ground conditions.

Customer Services

The main focus over the last couple of months had been working with Datacom and the in-house Programme Team on requirements for the new Datacom computer system. For the team phase one includes Rates, Customer Contacts, Service Requests, Debtors and Receipting.

The second instalment of rates was due next week so payment volumes were starting to increase.

Notices of rates default had been sent to 308 mortgagees where rates were still owing from the last financial year. In three months, the Council was able to demand payment from the mortgagee if rates arrears remained owing.

Getting a great response to letters being sent to ratepayers seeking alternative contact details where currently no email or mobile phone number was recorded in the Customer database. This was being done in stages over several weeks so the team can manage the response among other work.

Recruitment to a couple of vacancies being filled with Temp staff was going well and we are on track to complete this before Christmas.

The Rates team, assisted by Customer Services staff in Kaiapoi and Oxford had been busy processing rebate applications from retirement village occupants. So far 2,651 rebates had been issued for the current year, ahead of 2,405 for the same period last year and closing in on last year's total of 2,944.

LIM applications were increasing and are back to Business as Usual levels prior to the peak of 2020 and 2021. Applications were being completed in an average of four days.

7 QUESTIONS

There were no questions.

8 URGENT GENERAL BUSINESS

Nil.

9 **MATTERS TO BE CONSIDERED WITH THE PUBLIC EXCLUDED**

In accordance with section 48(1) 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 (or sections 6, 7 or 9 of the Official Information Act 1982, as the case may be), it was moved:

Moved: Councillor Ward

Seconded: Councillor Goldsworthy

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

- Item 9.1 Confirmation of Minutes of the Public Excluded portion of the Audit and Risk Committee meeting on 12 September 2023
- Item 9.2 Update on Insurance Matters

The general subject of each matter to be considered while the public was excluded, the reason for passing this resolution in relation to each matter, and the specific grounds under section 48(1) of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution were as follows:

Meeting Item No. and subject	Reason for excluding the public	Grounds for excluding the public-
9.1 Confirmation of Minutes of the Public Excluded portion of the Audit and Risk Committee meeting on 12 September 2023	Good reason to withhold exists under section 7	To enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations). To prevent the disclosure or use of official information for improper gain or improper advantage LGOIMA s 7(2)(h) and (j).
9.2 Update on Insurance Matters	Good reason to withhold exists under section 7	To enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations) LGOIMA s 7(2)(i).

CARRIED

CLOSED MEETING

The public excluded portion of this meeting commenced at 12.18pm and concluded at 12.32pm.

OPEN MEETING

Resolution to resume in open meeting

Moved: Councillor Ward

Seconded: Councillor Goldsworthy

THAT open meeting resumes and the business discussed with the public excluded remains public excluded until determinations by the Civil Aviation Authority have been made.

MOVED

NEXT MEETING

The next meeting of the Audit and Risk Committee will be held on Tuesday 12 December 2023 at 9am.

THERE BEING NO FURTHER BUSINESS THE MEETING CONCLUDED AT 12.33pm.

CONFIRMED

Chairperson

Date

UNCONFIRMED

WAIMAKARIRI DISTRICT COUNCIL**REPORT FOR DECISION****FILE NO and TRIM NO:** RAT-02-03/ 231129191760**REPORT TO:** AUDIT & RISK COMMITTEE**DATE OF MEETING:** 12 December 2023**AUTHOR:** Maree Harris, Customer Services Manager**SUBJECT:** Sefton Community Library- Application for a Rates Remission**ENDORSED BY:**
(for Reports to Council,
Committees or Boards)

General Manager

Chief Executive**1. SUMMARY**

- 1.1. This report requests that the Committee considers granting a rates remission of \$734.97 to the Sefton Community Library Trustees to cover the full amount of rates owing to 30 June 2024 on their property at 14 Pembertons Road, Sefton.
- 1.2. The request is made under the Policy for Remission of Rates in Miscellaneous Circumstances and follows remissions made to the same organisation in 2017-2018 \$1,261.53; 2019/20 \$563.55; 2020/21 \$576.83, 2021/22 \$649.54, 2022/23 \$706.51.

This remission policy gives the Council the flexibility to grant a rates remission should an extraordinary situation arise during a rating year where the Council considers that rates remission is an appropriate solution. These circumstances are not covered under any other remission policy.

2. RECOMMENDATION**THAT** the Audit & Risk Committee:

- (a) **Receives** Report No. 231129191760.
- (b) **Approves** a rates remission of \$734.97 to cover the 2023/24 rates on the Sefton Community Library Trustees property at 14 Pembertons Road, Sefton (Rates Assessment 2144019400) under the Policy for Remission of Rates in Miscellaneous Circumstances.

3. BACKGROUND

- 3.1. The Audit & Risk Committee has agreed to a 100% rates remission on the old Sefton Library property for each of the last five years due to no funds being available to the Trustees to pay the rates. This is the 6th application for remission. The Trustees have been working to update the ownership into the names of the current Trustees so that the property can be sold. As ownership and status of the property has still not reached a point where it can be sold, a further rates remission is requested.
- 3.2. The Trustees plan to use the proceeds from the sale of this property for the Sefton Community Hall project.
- 3.3. Craig Knowles, the Solicitor working with the Trustees has advised that all of the Crown Law approvals have been obtained and that the application to the High Court will be finalised once the last couple of affidavits (from WDC and the Sefton School) are signed.

4. **ISSUES AND OPTIONS**

- 4.1. The Trustees do not have income to pay the rates. If a remission is not granted, the rates will go into arrears until the property is sold and then be deducted from the proceeds of the sale.

In this situation late payment penalty charges would be applied. The amount owing at 30 June 2024 would be \$808.46 and this would incur further 10% penalties at 6 monthly intervals.

- 4.2. The Policy for Rates Remissions in Miscellaneous Circumstances is designed to meet requests where there is a case for granting a rates remission but the circumstances are not covered by one of the other remission policies. This policy was not envisaged to provide for annual applications by the same ratepayer, however if the Committee agrees that rates remission is an appropriate remedy for this situation it is preferable to remit the rates on an annual basis than accumulate the arrears and grant a rates remission on the sale of the property.

Implications for Community Wellbeing

There are implications on community wellbeing from the issues and options that are the subject matter of this report. Granting a rates remission supports the Trustees of the Sefton Community Library to realise a higher contribution towards the Sefton Hall project by not requiring the deduction of accumulated rates arrears from the Library sale price.

- 4.3. The Management Team has reviewed this report and support the recommendations.

5. **COMMUNITY VIEWS**

5.1. **Mana whenua**

Te Ngāi Tūāhuriri hapū are not likely to be affected by or have an interest in the subject matter of this report.

5.2. **Groups and Organisations**

There are not groups and organisations likely to be affected by, or to have an interest in the subject matter of this report, other than the groups already referred to in this report.

5.3. **Wider Community**

The wider community is not likely to be affected by, or to have an interest in the subject matter of this report. The Sefton Library has not been operational for many years and the Council has alternative library facilities available in Rangiora, Kaiapoi, Oxford and on-line.

6. **OTHER IMPLICATIONS AND RISK MANAGEMENT**

6.1. **Financial Implications**

There are financial implications of the decisions sought by this report. These are minor and relate to rates that will not be collected. The total rates being remitted of \$734.97 is split between WDC \$592.19 and ECan \$142.78.

This budget is not included in the Annual Plan/Long Term Plan. Rates remissions reduce income in the accounts funded by the various rates and the impacts in this case are minor.

6.2. **Sustainability and Climate Change Impacts**

The recommendations in this report do not have sustainability and/or climate change impacts.

6.3. **Risk Management**

There are not risks arising from the adoption/implementation of the recommendations in this report.

6.3 Health and Safety

There are not health and safety risks arising from the adoption/implementation of the recommendations in this report.

7. CONTEXT**7.1. Consistency with Policy**

This matter is not a matter of significance in terms of the Council's Significance and Engagement Policy.

7.2. Authorising Legislation

Local Government Act 2002, Section 109

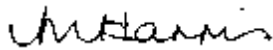
Local Government (Rating) Act 2002, Section 85

7.3. Consistency with Community Outcomes

The Council's community outcomes are relevant to the actions arising from recommendations in this report.

7.4. Authorising Delegations

The Audit & Risk Committee has authority to approve rates remissions under the Policy for Remission of Rates in Miscellaneous Circumstances where it considers it fair and equitable to do so.



Maree Harris

Customer Services Manager

WAIMAKARIRI DISTRICT COUNCIL**REPORT FOR INFORMATION**

FILE NO and TRIM NO: INF-49/231122187395

REPORT TO: AUDIT AND RISK COMMITTEE

DATE OF MEETING: 12th December 2023

AUTHOR(S): Andy Keiller, Chief Information Officer
Owen Payne, Cyber Security Analyst

SUBJECT: Cyber Security – Status Report

ENDORSED BY:
(For Reports to Council,
Committees or Boards)



Department Manager



pp Chief Executive

1. SUMMARY

- 1.1. This report updates the Committee on the Cyber Security work programme through the Cyber Security Status report.
- 1.2. We are progressing as planned with activities that have been identified against our Association of Local Government Information Management (ALGIM) Sam for Compliance security framework and scoring significantly higher than comparable local government peers.
(NOTE - SAM for Compliance is a cloud-based service that helps organisations easily understand how well their systems operate and are managed with an emphasis on cyber–security self- assessment and management)
- 1.3. We are in the process of creating and approving a Cyber Security Strategy for the Years 2023 to 2025. Once completed and approved this will be presented to the Audit and Risk Committee.

Attachments:

- i. Security Awareness Overall report – November 2023
- ii. Sam For Compliance Status report – November 2023
- iii. Top 10 IT Risk Scores- November 2023
- iv. ALGIM Sam For Compliance Guidance

2. RECOMMENDATION

THAT the Audit and Risk Committee:

- (a) **Receives** report TRIM number INF-231122187395
- (b) **Notes** that our overall Framework compliance score sits at 80.99% against a New Zealand Wide benchmark of other council of 55.65%.

3. **ISSUES AND OPTIONS**

- 3.1. WDC measures its performance against the Sam for Compliance framework supplied by ALGIM. This system is used by more than 40% of local councils and has been developed specifically for New Zealand Local councils.
- 3.2. The program is a self-assessment system, however, WDC undertakes regular independent audits to confirm our progress. The next independent audit will be organised for the first half of 2024.
- 3.3. Below are this reports compliance score to the SAM for Compliance Framework compared to previously reported compliance scores and how we compare to a Benchmark Score of other Councils progress against the framework. The overall ALGIM benchmark score has increased as more councils adopt and progress the framework.

	WDC % Previous Score (Self-Assessment) 18/05/2023	WDC % Score 05/12/ 2023	ALGIM Benchmark Score % 05/12/ 2023
Identify	69.87	69.87*	54.83
Manage	75.54	76.33	54.22
Protect	89.28	89.29*	60.92
Detect	92.97	93.75	60.14
Respond	90.22	93.48	50.97
Recover	92.31	92.31*	53.32

* There were no changes to the score this period reflecting the fact that no changes that would impact this were made to our systems and security.

- 3.4. The Waimakariri District Council scores are trending higher in most areas and, against the benchmark of other Councils, score significantly higher.

The Manage function being reported was introduced in the last reporting cycle and is relatively new to the ALGIM SAM Compliance framework. Within the Manage function we have identified Service Provider Management as an area that requires work and have started looking at how we can improve in this area. Our current score of 27.78% reflects the fact that we have only started looking at how we address this area.

- 3.5. We have undertaken our annual external and internal testing of the security of our network. This testing identified no serious issues for our external network but did identify issues to the way our internal network is configured. Most of the issues relate to older, unsupported systems that exist on our network. Work is progressing to remediate the issues identified from this testing.
- 3.6. Incident Response Training and testing for the Management team is proposed and a memo has been prepared and is being presented for approval.

4. Implications for Community Wellbeing

- 4.1. There are no implications on community wellbeing by the issues and options that are the subject matter of this report.
- 4.2. The Management Team has reviewed this report and support the recommendations.

5. COMMUNITY VIEWS

5.1. Mana whenua

Te Ngāi Tūāhuriri hapū are not likely to be affected by or have an interest in the subject matter of this report.

5.2. Groups and Organisations

There are no groups and organisations likely to be affected by, or to have an interest in the subject matter of this report.

5.3. Wider Community

Introducing better security and protocols will provide assurance to Stakeholders that their information is secure and less likely to be unduly accessed.

6. OTHER IMPLICATIONS AND RISK MANAGEMENT

6.1. Financial Implications

Costs for implementing planned cyber security improvements are related to staff time and will be undertaken within current budgets and resources.

6.2. Sustainability and Climate Change Impacts

The recommendations in this report do not have sustainability and/or climate change impacts.

6.3. Risk Management

Risks are reviewed regularly and identified owner's signoff on risks and controls, ensuring the appropriate mitigation actions are carried out. We are actively managing 45 identified risks for Information Technology.

6.4. Health and Safety

There are aspects identified within this report that have direct and indirect implications on the health and safety of systems and people's welfare.

7. CONTEXT

7.1. Consistency with Policy

This matter is not a matter of significance in terms of the Council's Significance and Engagement Policy.

7.2. Authorising Legislation

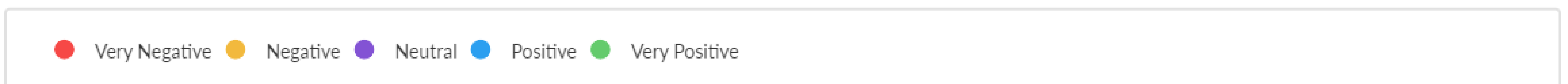
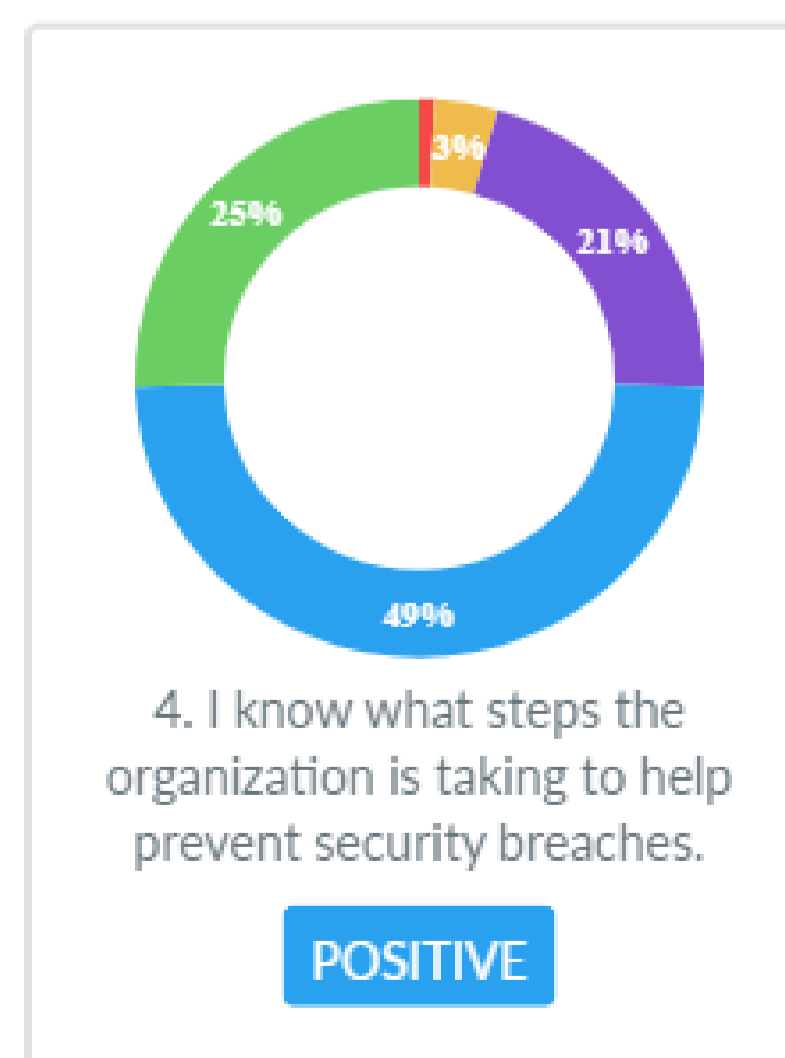
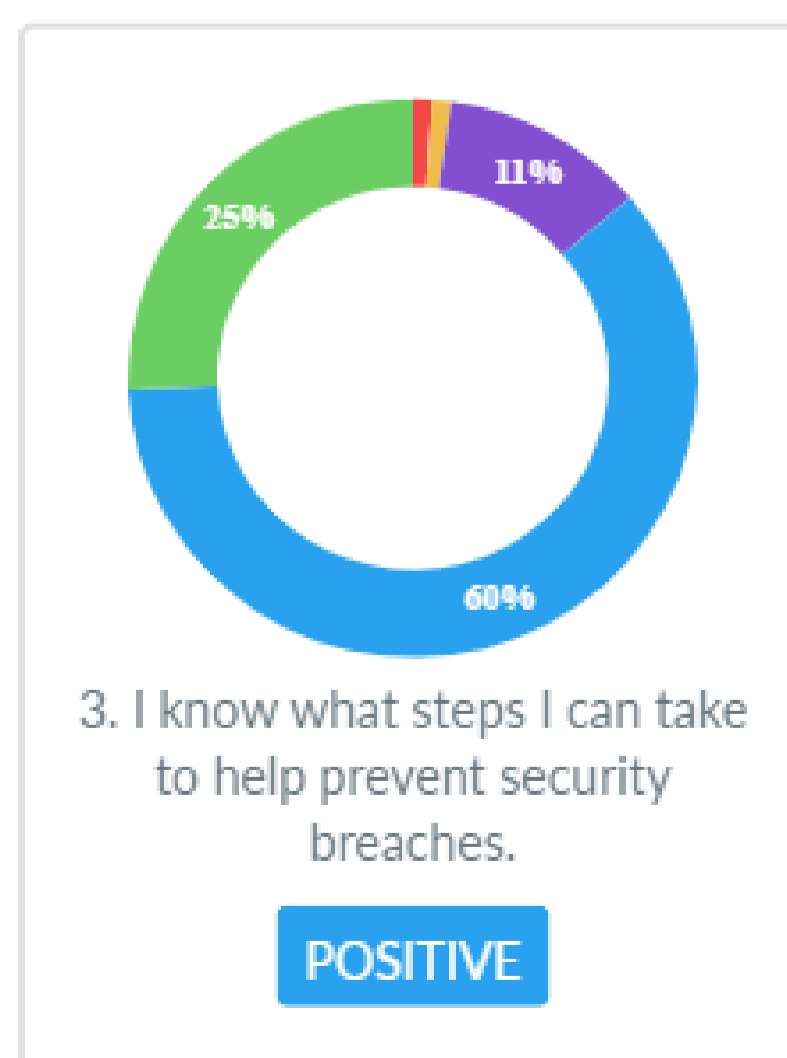
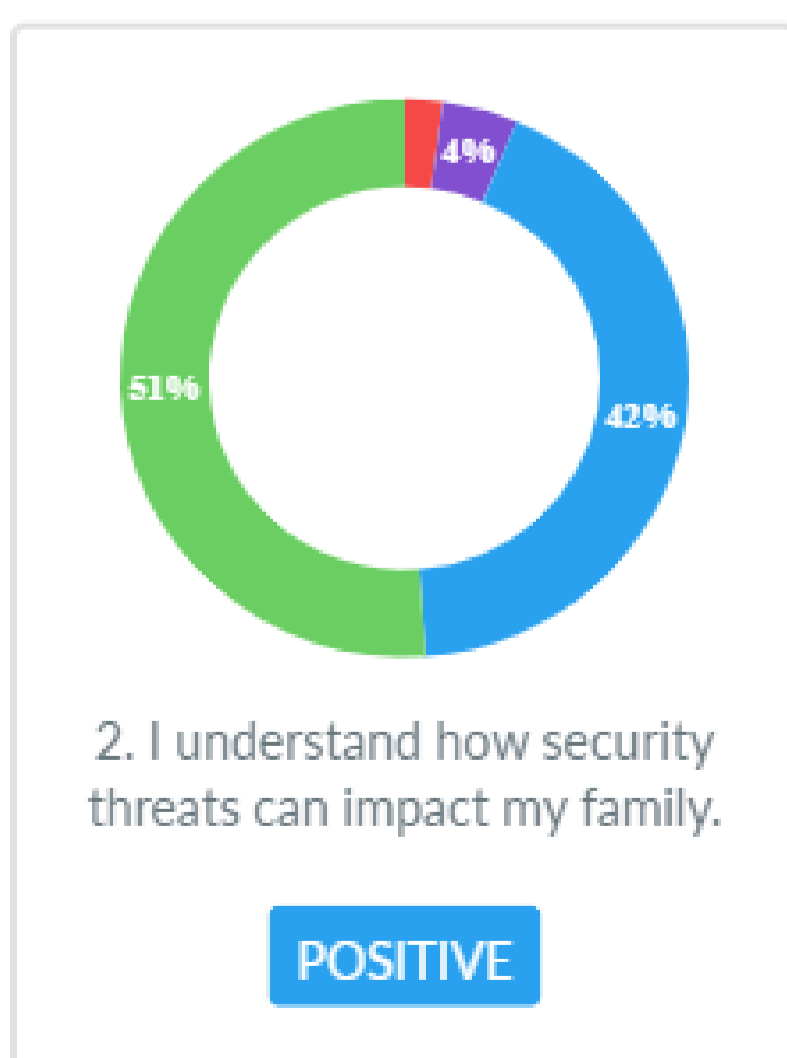
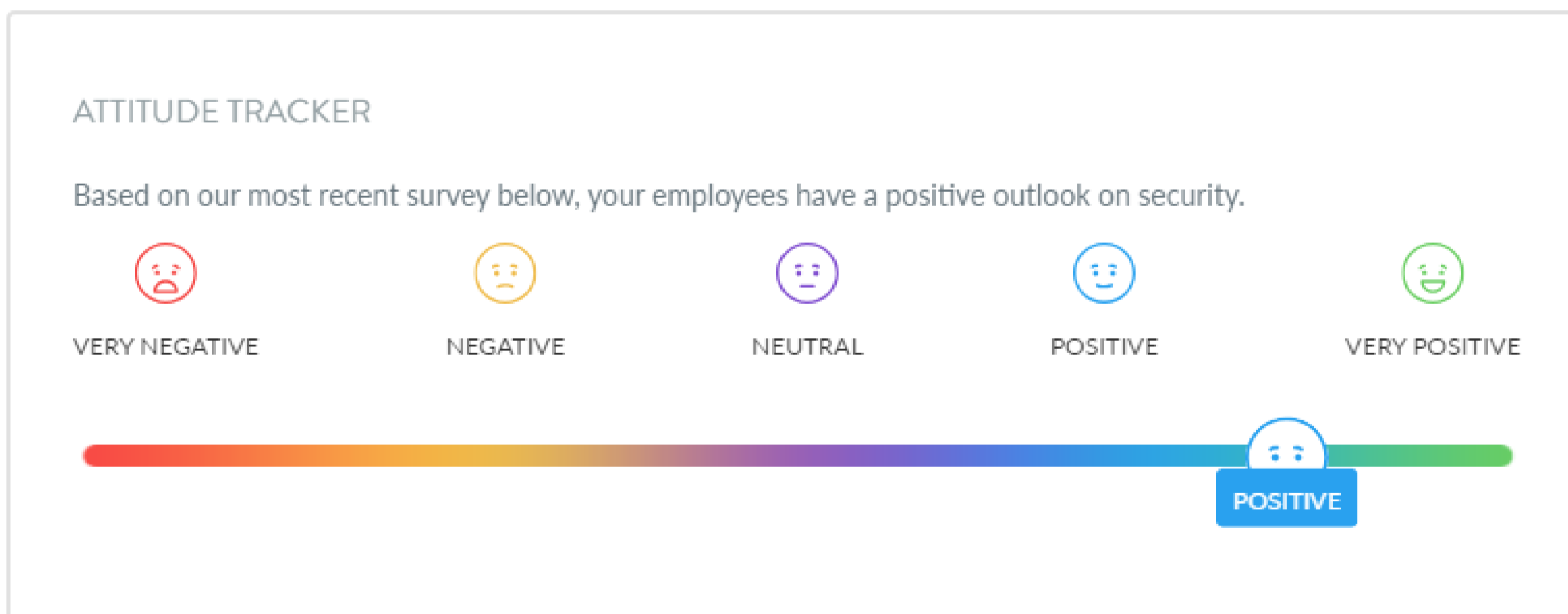
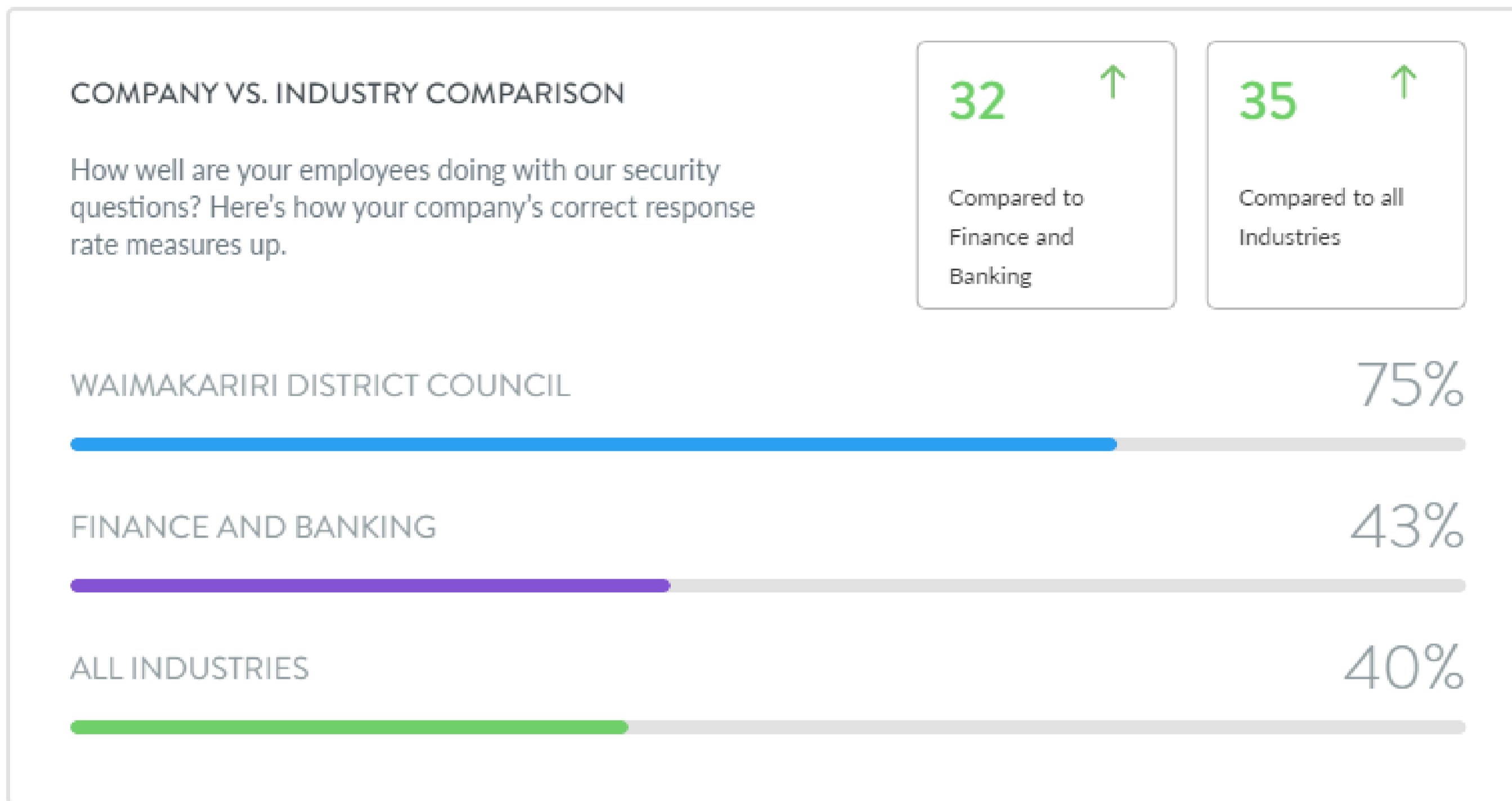
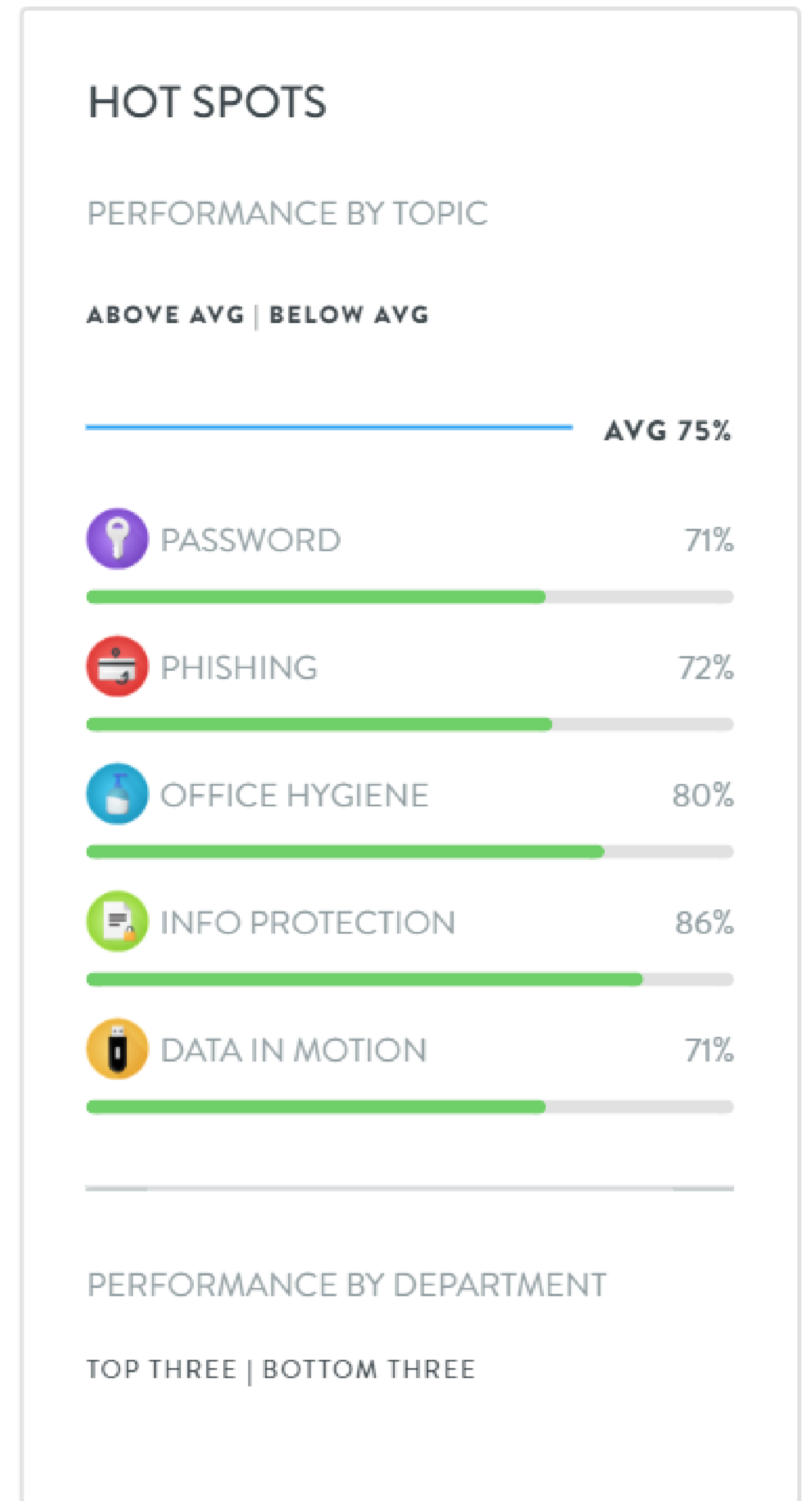
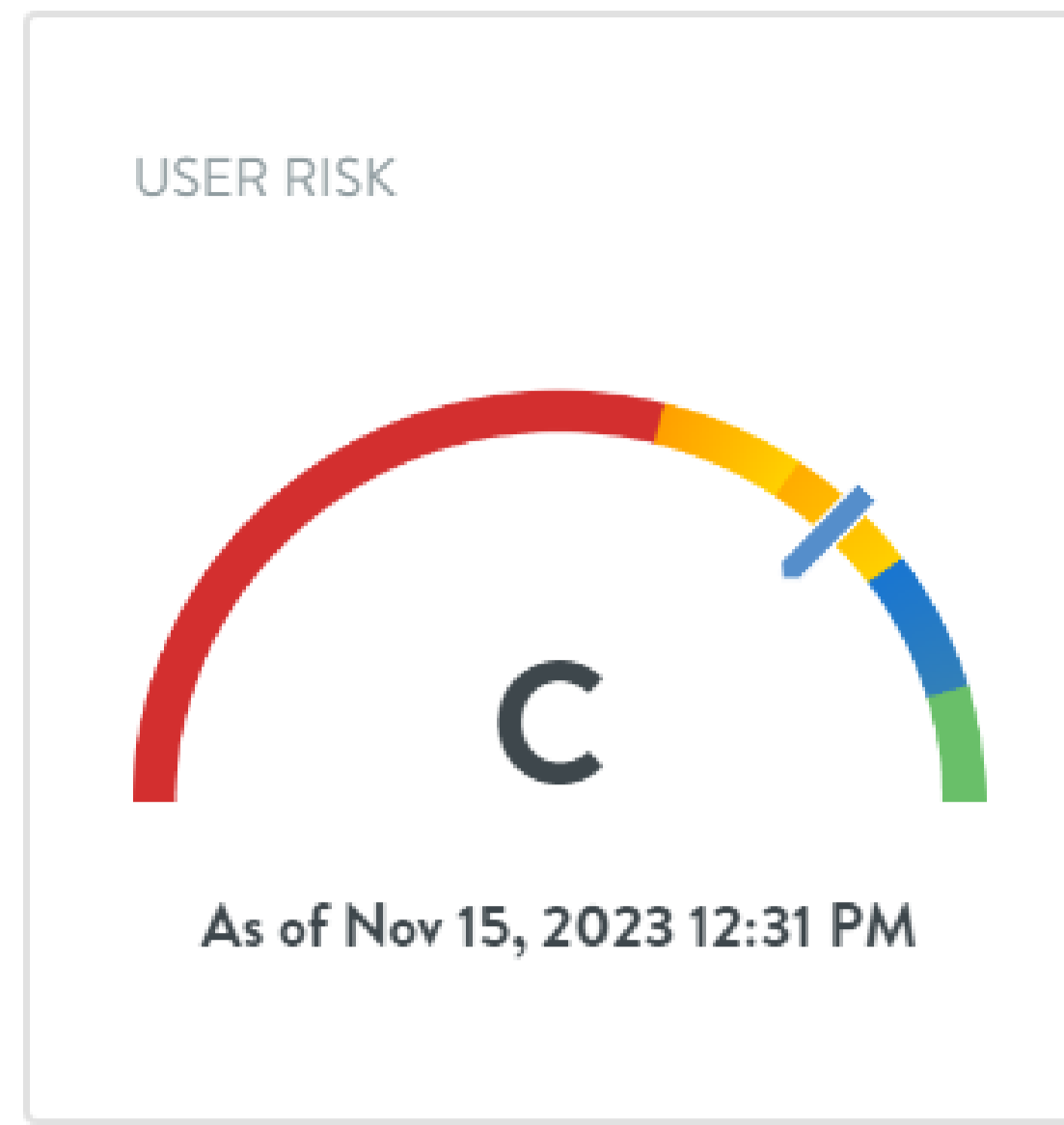
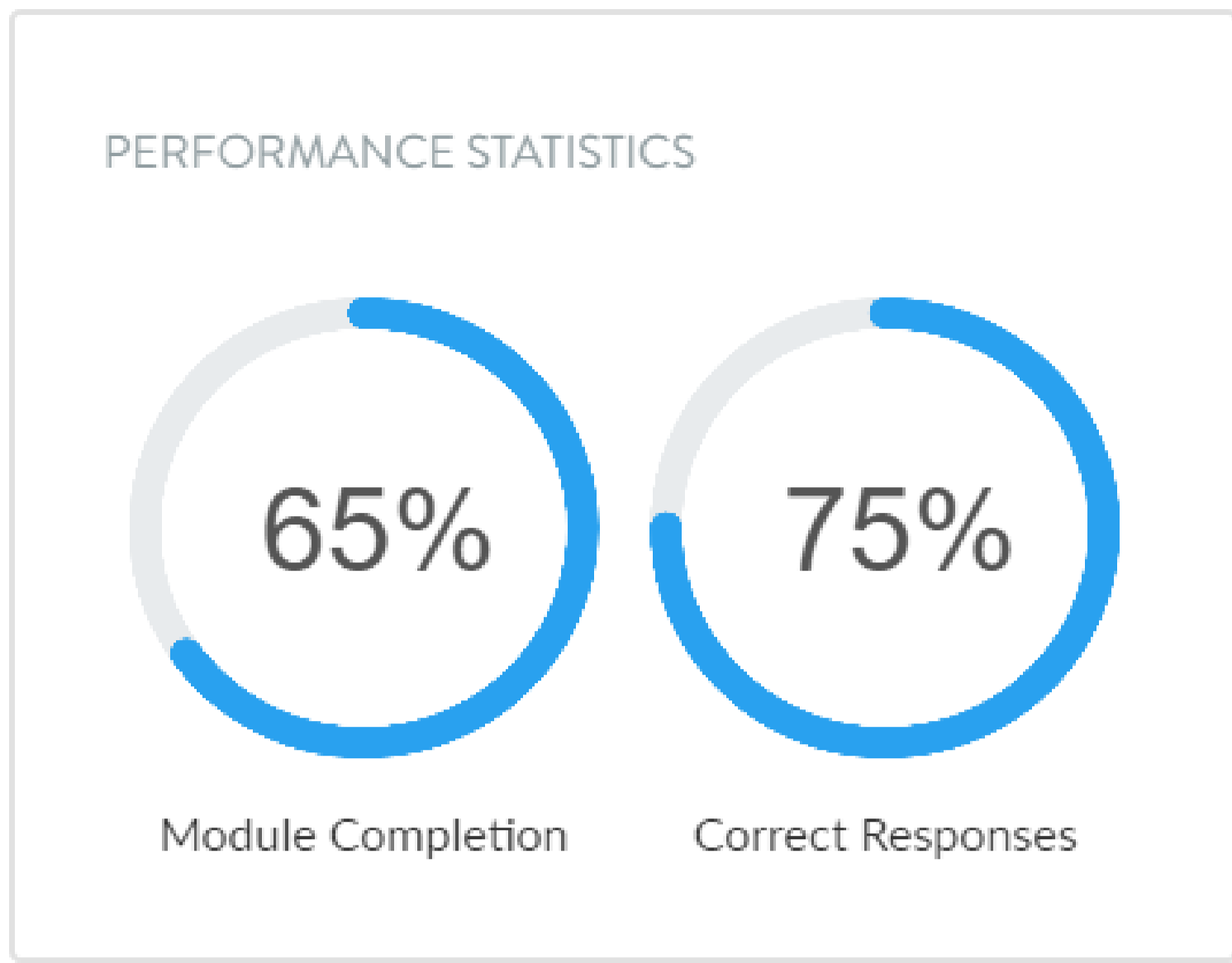
- Local government Act 2002
- Public Records act 2005
- Official Information act 1982
- The local government official information and meetings act 1987.
- Privacy act 1993

7.3. Consistency with Community Outcomes

The Council's community outcomes are not relevant to the actions arising from recommendations in this report.

7.4. **Authorising Delegations**

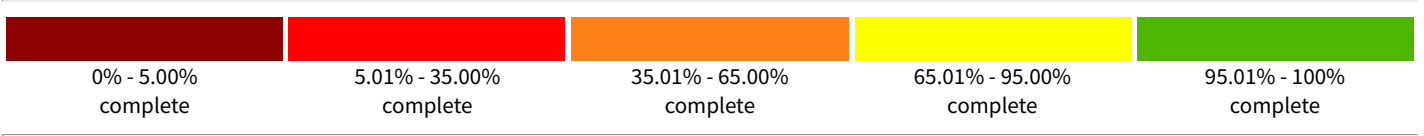
N/A





Management Status Report for Waimakariri District Council

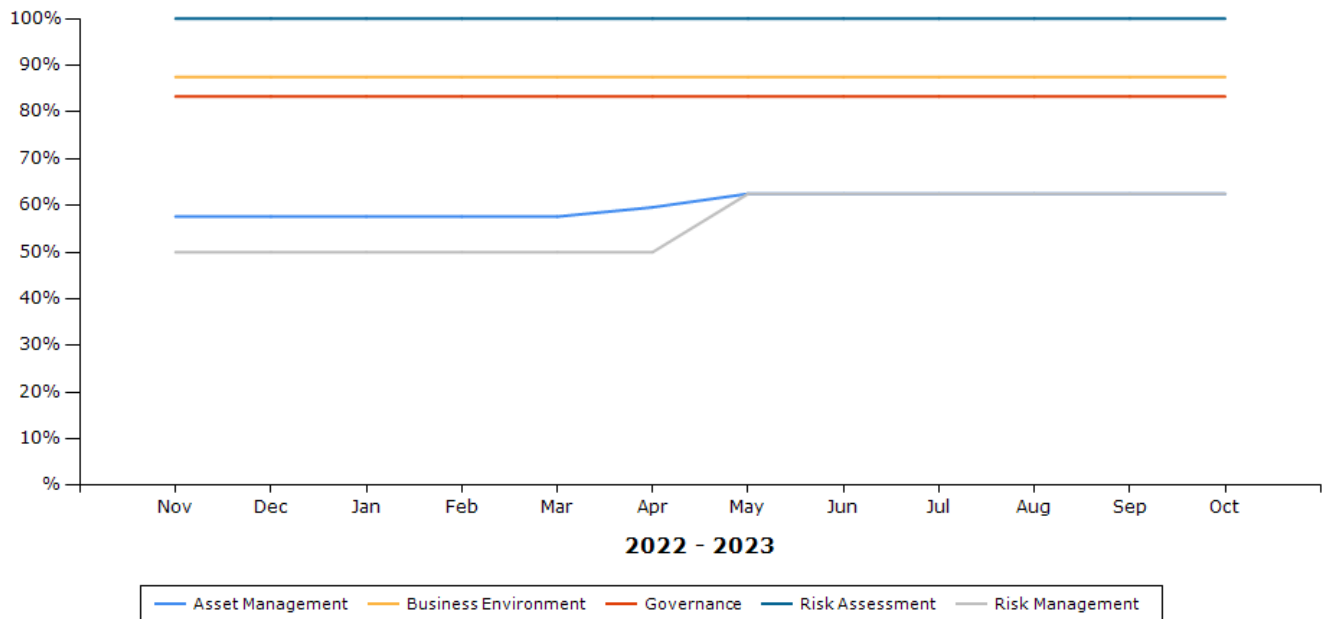
ALGIM Local Government Programme as at 14 November 2023



Identify - 69.87%

Function	Category	Description	Status
Identify (ID)	Asset Management (ID.AM)	Assets are managed consistent with their relative importance to business objectives and Council's risk management strategy	62.50%
	Business Environment (ID.BE)	The Council's mission, objectives, stakeholders and activities are understood and prioritised and this information is used to derive security roles, responsibilities and risk management decisions	87.50%
	Governance (ID.GV)	Management understand the importance of information and information systems and assign the appropriate cybersecurity roles and responsibilities	83.33%
	Risk Assessment (ID.RA)	Council understands the cyber security risk to operations, information, information systems assets and individuals	100.00%
	Risk Management (ID.RM)	Council's priorities, constraints and risk tolerances are established and documented within a Risk Management Strategy. This document is used to support operational risk decisions	62.50%

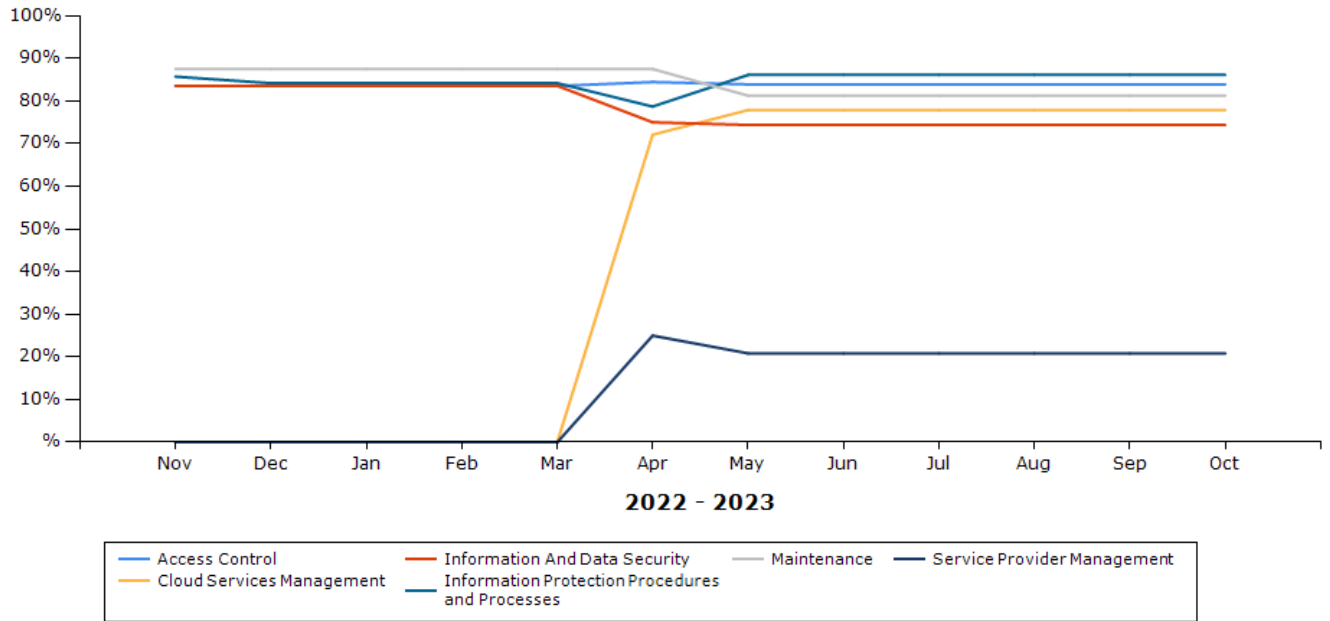
Identify



Manage - 76.87%

Function	Category	Description	Status
Manage (MN)	Access Control (MN.AC)	Access to assets and associated facilities is limited to authorised users, processes or devices and to authorised activities and transactions	85.00%
	Cloud Services Management (MN.CL)	IT services, systems and platforms that are provided by Cloud Service Providers are managed to ensure their confidentiality, integrity and availability	80.77%
	Information And Data Security (MN.DS)	Information and records (data) are managed consistent with Council's risk strategy to protect the confidentiality, integrity and availability of information	74.39%
	Information Protection Procedures and Processes (MN.IP)	Information, assets and resources are protected through the implementation of effective procedures and processes	86.11%
	Maintenance (MN.MA)	Information systems and industrial control systems are maintained to ensure continuity of operations	81.25%
	Service Provider Management (MN.SP)	Service Providers are managed to ensure that those that hold sensitive data, or are responsible for Council's critical IT platforms or processes, are protecting those platforms and data appropriately	27.78%

Manage

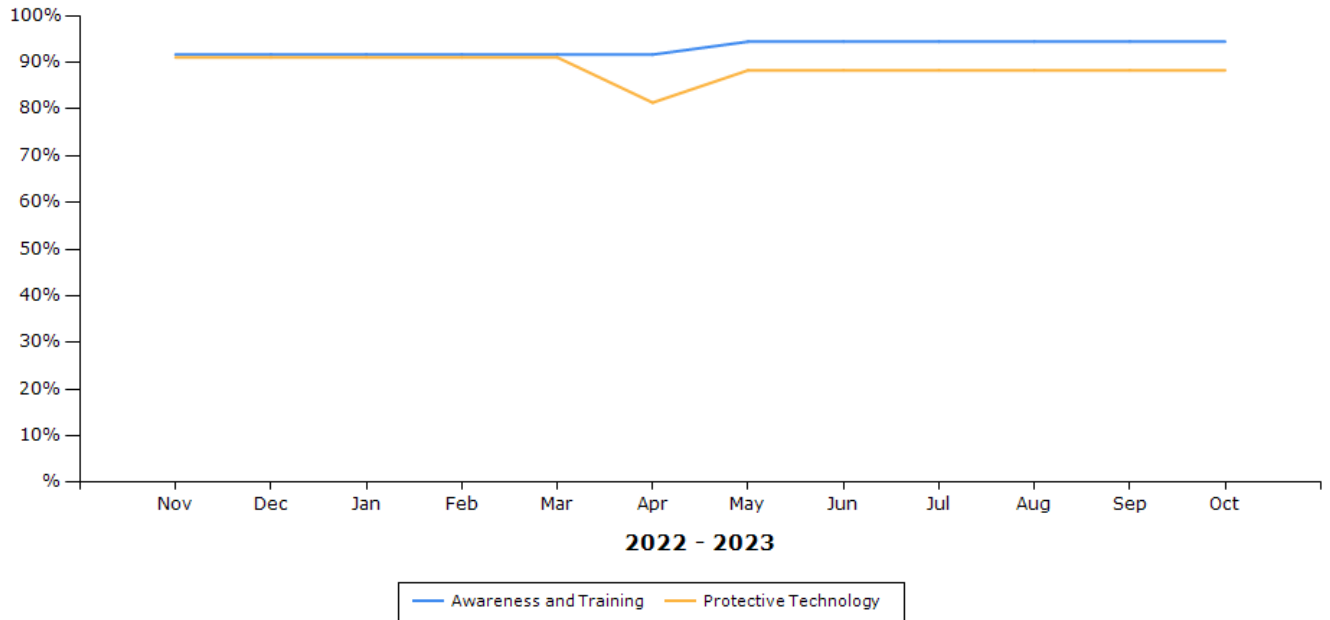


30

Protect - 89.29%

Function	Category	Description	Status
Protect (PR)	Awareness and Training (PR.AT)	Council personnel and partners are provided cybersecurity awareness education and are adequately trained to perform their information security related duties and responsibilities consistent with related policies, procedures and agreements	94.44%
	Protective Technology (PR.PT)	Technology is implemented and managed to ensure the security and resilience of systems and assets	88.30%

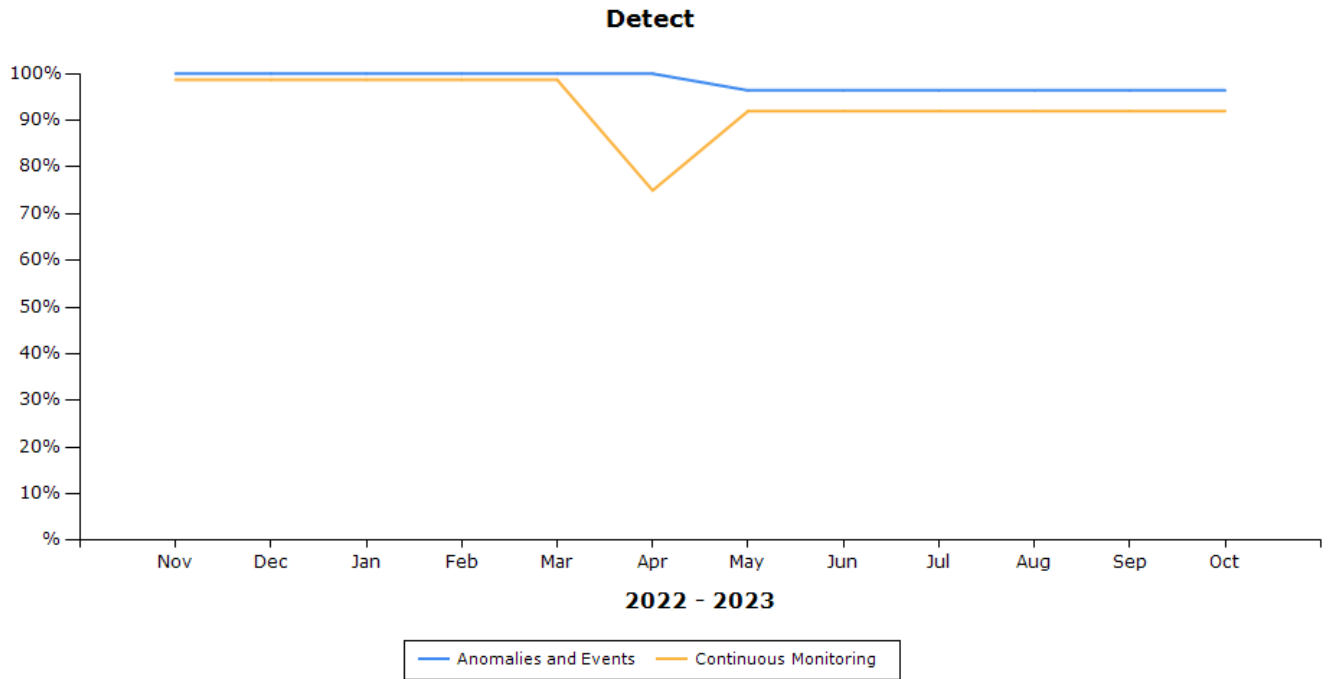
Protect



31

Detect - 93.75%

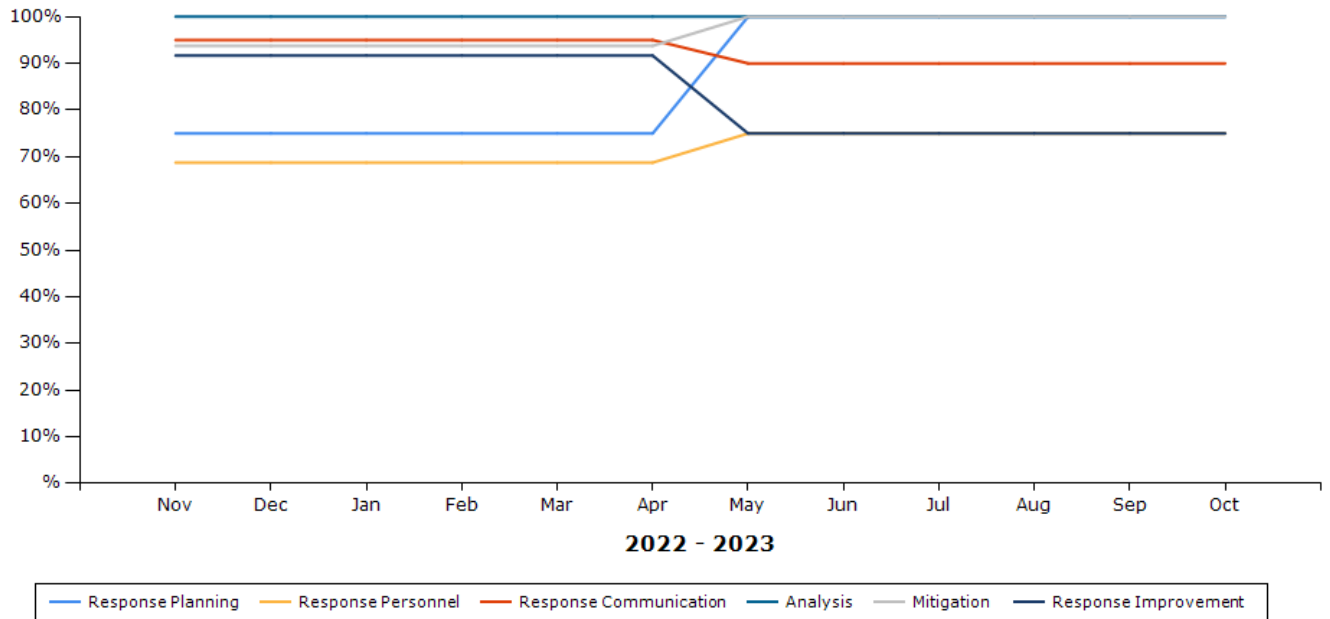
Function	Category	Description	Status
Detect (DE)	Anomalies and Events (DE.AE)	Anomalous activity is detected in a timely manner	100.00%
	Continuous Monitoring (DE.CM)	Information systems and assets are monitored at discrete intervals to identify cybersecurity events and verify the effectiveness of protective measures	92.00%



Respond - 93.48%

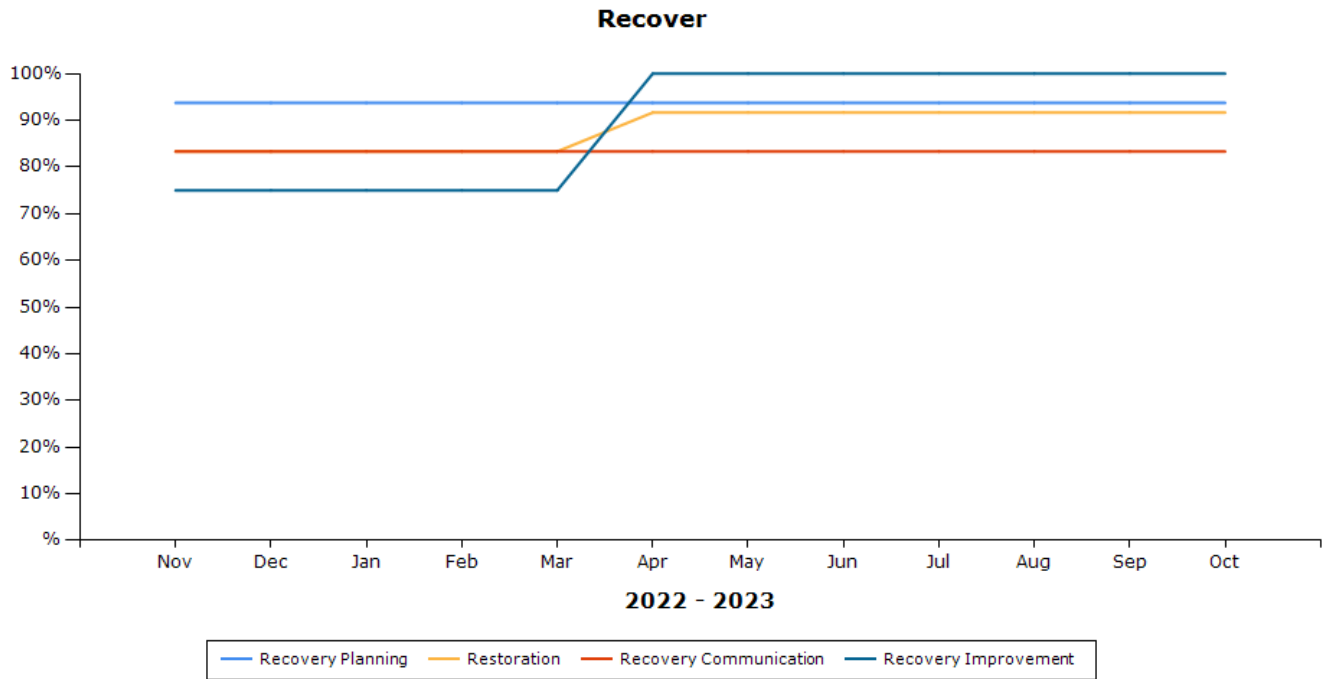
Function	Category	Description	Status
Respond (RS)	Response Planning (RS.RP)	Response documentation that ensures an appropriate response to incidents and events is available	100.00%
	Response Personnel (RS.PS)	Human resources with appropriate skill levels to successfully manage and mitigate an incident or event are available	75.00%
	Response Communication (RS.CO)	Response activities are co-ordinated with, and communicated to internal and external stakeholders, as appropriate, to include external support from law enforcement and regulatory agencies	90.00%
	Analysis (RS.AN)	Capability exists to carry out accurate analysis of an incident situation to ensure an appropriate response and actions	100.00%
	Mitigation (RS.MI)	Capability exists to effectively manage an event, prevent its expansion, mitigate its effects and eradicate residual content causing least impact to the organisation	100.00%
	Response Improvement (RS.IM)	Incident response capability subject to continuous improvement	100.00%

Respond



Recover - 92.31%

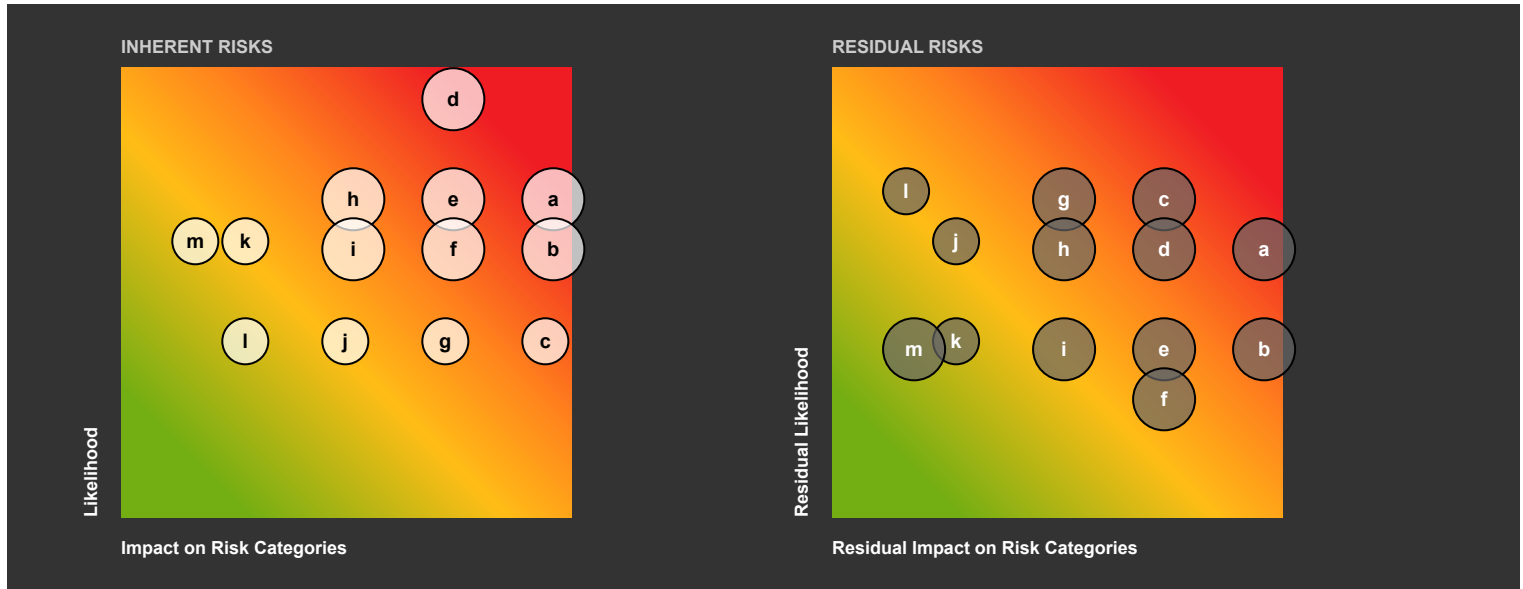
Function	Category	Description	Status
Recover (RC)	Recovery Planning (RC.PL)	Council has documentation available to support a successful recovery	93.75%
	Restoration (RC.RS)	Sufficient resources and facilities are available to facilitate a successful recovery operation	91.67%
	Recovery Communication (RC.RC)	Council is able to minimise any negative impacts caused by an incident or event	83.33%
	Recovery Improvement (RC.RI)	Recovery capabilities are subject to continuous improvement	100.00%



Top 10 Risk Scores

Portfolio(s): Information and Technology Services

NOTE: More than 10 risks are listed as their residual scores rank within the top 10 scores.



1. Malicious Cyber Attack

- (a)** IF a cyber attack is launched on Council's systems, network and information THEN there is a high possibility of loss of data, loss of access for an unknown period of time.
Information and Technology Services
Owner:Owen Payne

RESIDUAL
300.0
HIGH

INHERENT
400.0
EXTREME

2. Suspicious Mail / Package

- (b)** IF we receive suspicious mail or package containing e.g. white powder or a bomb THEN the building will need to be evacuated and decontaminated, a BCP event initiated.
Information and Technology Services
Owner:Andy Keiller

RESIDUAL
300.0
HIGH

INHERENT
300.0
HIGH

3. Phishing Attacks

- (d)** IF a phishing email is opened and actioned THEN possible loss of money, reputation and/or loss of data.
Information and Technology Services
Owner:Andy Keiller

RESIDUAL
300.0
HIGH

INHERENT
375.0
HIGH

4. Distributed Denial Of Service attack against WDC public facing services

- (f)** We may have our public facing Information Technology services taken down by a malicious attacker during a Distributed Denial Of Service attack. This will impact our residents and the public and the deliver of services.
Information and Technology Services
Owner:David Sewell

RESIDUAL
300.0
HIGH

INHERENT
225.0
HIGH

5. Staff could interfere and block potential cyber security efforts because they "don't like them"

- (e)** There is a risk that staff could block potentially impact cyber security controls by being able to vote on the controls they like and don't like and subsequently block the introduction of controls that are essential to the protection of the organisation.
Information and Technology Services
Owner:Andy Keiller

RESIDUAL
300.0
HIGH

INHERENT
300.0
HIGH

6. Internet availability

- f** IF we don't have sufficient network redundancy built-in THEN we may lose access to production systems like Azure-GIS, Promapp, Jira, Datacom Sphere, Squiz Workplace, and anything else that requires Azure (e.g. for AD) might be compromised.

d Information and Technology Services

Owner: Andy Keiller

RESIDUAL
225.0
HIGH

INHERENT
225.0
HIGH

7. Shadow / Parallel / Rogue IT Purchasing and Use

- d** IF somebody is signed up to an unauthorised Cloud-based system THEN the data may not be available, could be lost or stolen, and if not saved in Council's systems, data ownership is compromised and/or the confidentiality of our data could be compromised.

d Information and Technology Services

Owner: Andy Keiller

RESIDUAL
225.0
HIGH

INHERENT
375.0
HIGH

8. IT Aspect of Disaster Recovery Plan

- b** IF the IT aspect of the Disaster Recovery Plan is not comprehensive enough THEN it would negatively impact usability and key services may not be available or provided in the event of a disaster.

b Information and Technology Services

Owner: Andy Keiller

RESIDUAL
200.0
HIGH

INHERENT
300.0
HIGH

9. Unavailability of TRIM Servers

- c** IF TRIM is unavailable THEN access to store, manage and retrieve digital documents and records is not possible.

b Information and Technology Services

Owner: Andy Keiller

RESIDUAL
200.0
HIGH

INHERENT
200.0
HIGH

10. Napier Computing System is out of date, not supported, has no technical support staff but is still in general use

- h** Our old CRM Napier computing systems is still available on the network and from discussions still in general use. The system it sits on is unsupported, and out of date, the hardware is out of date, we have no support contract nor staff that can support this. This introduces risk to the systems that rely upon this data and introduces many large security risks to the organisation. The system could break and be unrecoverable or allow a security breach to our other systems.

g Information and Technology Services

Owner: Andy Keiller

RESIDUAL
200.0
HIGH

INHERENT
200.0
HIGH

11. Failure of Email Servers

- h** IF the Exchange server is unavailable (total loss / degradation of exchange) THEN loss of email communications.

g Information and Technology Services

Owner: Andy Keiller

RESIDUAL
200.0
HIGH

INHERENT
200.0
HIGH

12. Visualisation of Systems, Servers, Networks, Software, and Integrations

- e** IF we don't properly document our key systems, servers, networks, software, and integrations THEN outages can occur, integrations can fail, or data could be lost when changes are made.

g Information and Technology Services

Owner: Andy Keiller

RESIDUAL
200.0
HIGH

INHERENT
300.0
HIGH

13. Lack of IT Support Resources

- h** IF there is a lack of IT support resources THEN projects / issues / requests are not completed on time or with sufficient quality possibly impacting the productivity of Council staff and elected members.

g Information and Technology Services

Owner: Andy Keiller

RESIDUAL
200.0
HIGH

INHERENT
200.0
HIGH

14. Incorrect or Insufficient Staff Resourcing for "in-flight" projects

i IF incorrect or insufficient staff resources (both IT and other stakeholders) are available for a project THEN projects / issues / requests are not completed on time or with sufficient quality.

g Information and Technology Services

Owner: Andy Keiller

RESIDUAL
200.0
HIGH

INHERENT
150.0
HIGH

15. Loss of Key Staff in ITSU

h IF we lose key staff in the ITS Unit THEN we have an impact on BAU support (service levels) and projects.

g Information and Technology Services

Owner: Andy Keiller

RESIDUAL
200.0
HIGH

INHERENT
200.0
HIGH

16. Poor Change Management

f IF a new solution or process is introduced into the organisation and no or poor change management is applied, e.g. not appropriately resourced, or unrealistic staff expectations set, or no training is given THEN the solution may not be used or not used correctly, staff are disengaged, staff may not be able to complete their work resulting in unnecessary costs to Council.

e Information and Technology Services

Owner: Andy Keiller

RESIDUAL
150.0
HIGH

INHERENT
225.0
HIGH

17. Network availability

e IF loss of network / data communication (Wide Area Network (WAN) failure) THEN we lose access to the network, servers, applications and Internet, resulting in loss of productivity.

e Information and Technology Services

Owner: Andy Keiller

RESIDUAL
150.0
HIGH

INHERENT
300.0
HIGH

18. Misuse of Privilege

f IF staff misuse privileges to access systems or data / information THEN there is a potential loss of data, Privacy breach leading to loss of trust & confidence in the business, introduction of a virus or malicious attack, impact on performance or availability of systems.

e Information and Technology Services

Owner: Andy Keiller

RESIDUAL
150.0
HIGH

INHERENT
225.0
HIGH

19. Executive Sponsorship

e IF we don't assign an executive sponsor to each major (Organisational Development) project THEN change management might fail, staff are disengaged, staff resources to finish the project on time and within budget might not be available.

e Information and Technology Services

Owner: Andy Keiller

RESIDUAL
150.0
HIGH

INHERENT
300.0
HIGH

20. Vendor Viability

f IF a vendor is no longer viable THEN software or systems will not be supported or maintained.

e Information and Technology Services

Owner: Andy Keiller

RESIDUAL
150.0
HIGH

INHERENT
225.0
HIGH

21. Insufficient or incorrect Policies and Procedures in place

f IF insufficient or incorrect Policies and Procedures in place THEN the result might be potential of data loss, virus or malicious attack, loss of reputation, system or staff performance issues.

e Information and Technology Services

Owner: Andy Keiller

RESIDUAL
150.0
HIGH

INHERENT
225.0
HIGH

22. Technology One Access

- (g)** IF Technology One system is unavailable THEN access to Council's core financial, property & rates and asset management systems is unavailable, hindering core Council activities.
(e) Information and Technology Services
Owner:Andy Keiller

RESIDUAL
150.0
HIGH

INHERENT
150.0
HIGH

23. Data Loss through Loss of Mobile Device (mobile, laptop, tablet)

- (f)** IF a staff member loses their mobile device THEN external parties could access data, information and systems on the mobile device to use for malicious purposes.
(e) Information and Technology Services
Owner:Andy Keiller

RESIDUAL
150.0
HIGH

INHERENT
225.0
HIGH

24. Inappropriate / Incorrect Account Privileges Assigned

- (f)** IF inappropriate or incorrect account privileges are assigned in Tech1 THEN that person could gain access to sensitive or unauthorised information (e.g. financial details), commit fraud, remove or damage data, or access personal information (e.g. HRP).
(e) Information and Technology Services
Owner:Andy Keiller

RESIDUAL
150.0
HIGH

INHERENT
225.0
HIGH

25. Privacy of Data Information, Storage and Distribution

- (d)** IF data or information is stored, accessed and/or distributed inappropriately THEN privacy could be breached or sensitive information could be used by inappropriate parties.
(e) Information and Technology Services
Owner:Andy Keiller

RESIDUAL
150.0
HIGH

INHERENT
375.0
HIGH

26. Unavailability of backups

- (d)** IF there is a failure to backup our systems THEN there will be a loss of data and productivity should we have a malicious attack or a system failure.
(e) Information and Technology Services
Owner:Andy Keiller

RESIDUAL
150.0
HIGH

INHERENT
375.0
HIGH

27. Email Scrubbing not Accessible

- (f)** IF loss of email scrubbing services THEN loss of email communications and drop in productivity.
(e) Information and Technology Services
Owner:Andy Keiller

RESIDUAL
150.0
HIGH

INHERENT
225.0
HIGH

28. Decisions made based on inaccurate, not fit for purpose data

- (a)** IF the tolerances, accuracy or the intended use of data/information is not clearly communicated to decision-makers THEN inappropriate decisions may be made which might result in financial or reputational loss or project delays or injury or loss of life.
(e) Information and Technology Services
Owner:Andy Keiller

RESIDUAL
150.0
HIGH

INHERENT
400.0
EXTREME

29. Product Procurement

- (h)** IF product procurement has not followed policy and processes THEN the solution might not be fit for purpose or integrate with other systems, resulting loss of functionality or an increase in cost.
(h) Information and Technology Services
Owner:Andy Keiller

RESIDUAL
150.0
HIGH

INHERENT
200.0
HIGH

30. Pest Invasion

i IF we have a pest invasion in the office or safe THEN records will be degraded resulting in loss of information.

h Information and Technology Services

Owner: Andy Keiller

RESIDUAL
150.0
HIGH

INHERENT
150.0
HIGH

31. Service Level Agreements (SLAs) Not Met

i IF SLAs not met THEN loss of trust and productivity.

h Information and Technology Services

Owner: Andy Keiller

RESIDUAL
150.0
HIGH

INHERENT
150.0
HIGH

32. Datacom Sphere Access

i IF the Datacom Sphere platform is unavailable THEN delivery of key services to staff and external customers will be affected (i.e. H&S mobility, online facilities bookings, eServices, non-financial KPIs)

h Information and Technology Services

Owner: Andy Keiller

RESIDUAL
150.0
HIGH

INHERENT
150.0
HIGH

33. Bibliotеча library solution vendor does not have an independently audited security posture

i The bibliotеча solution is not independently verified for security. This means that there could be issues with the security of the product that could lead to a breach that would lead to a reputational impact the Christchurch City Libraries

h Information and Technology Services

Owner: Paula Eskett

RESIDUAL
150.0
HIGH

INHERENT
150.0
HIGH

34. Accessibility of Revera Cloud Creator (IaaS Management)

j IF Revera Cloud Creator not accessible THEN we lose management of our infrastructure (we lose the ability to make changes and manage capacity ourselves).

i Information and Technology Services

Owner: Andy Keiller

RESIDUAL
100.0
MEDIUM

INHERENT
100.0
MEDIUM

35. Loss of Vendor and / or Vendor Support

i IF we lose a vendor or vendor support THEN software or systems will not be supported or maintained.

i Information and Technology Services

Owner: Andy Keiller

RESIDUAL
100.0
MEDIUM

INHERENT
150.0
HIGH

36. Solution Design

h IF a solution is designed without considering the knowledge and capability levels of the target audience (or users) THEN the solution will not be embraced or used to its full potential, resulting in financial and data loss or misuse for the Council.

i Information and Technology Services

Owner: Andy Keiller

RESIDUAL
100.0
MEDIUM

INHERENT
200.0
HIGH

37. Strategic Alignment

i IF the Digital Transformation Strategy does not enable to the Organisational Development Strategy THEN projects might not get the priority needed or deliver the required outcomes

i Information and Technology Services

Owner: Andy Keiller

RESIDUAL
100.0
MEDIUM

INHERENT
150.0
HIGH

38. Poor Capacity Planning

(h) IF there is poor capacity planning (e.g. WAN bandwidth, LAN bandwidth, storage capacity, compute capacity) THEN there will be performance and storage issues on the network
(i) Information and Technology Services
Owner:Andy Keiller

RESIDUAL
100.0
MEDIUM

INHERENT
200.0
HIGH

39. Poor Project Management Practices

(h) IF poor or no Project Management practices are followed THEN projects / implementations may suffer scope creep, go over budget and time and benefits might not be realised.
(i) Information and Technology Services
Owner:Andy Keiller

RESIDUAL
100.0
MEDIUM

INHERENT
200.0
HIGH

40. Loss of Voice Communication

(e) IF phone system is unavailable THEN staff are not able to contact the relevant people in suitable time frames, impacts service delivery and our customer promise.
(f) Information and Technology Services
Owner:Andy Keiller

RESIDUAL
75.0
MEDIUM

INHERENT
300.0
HIGH

41. GIS Applications Not Available During Emergency Event

(d) IF there is an emergency event and GIS applications are not available to the EOC THEN EOC functions may be compromised, resulting in poor decision-making which may lead to negative community impacts (people and property).
(f) Information and Technology Services
Owner:Andy Keiller

RESIDUAL
75.0
MEDIUM

INHERENT
375.0
HIGH

42. Lack of staff identification

(h) IF we are unable to identify who is a staff member THEN we may be at risk of unauthorised access to our facilities and the risk of theft or damage to our assets.
(j) Information and Technology Services
Owner:Andy Keiller

RESIDUAL
75.0
MEDIUM

INHERENT
200.0
HIGH

43. Inconsistent Contract Management

(k) IF contract management not managed THEN increased costs and drop in performance.
(k) Information and Technology Services
Owner:Andy Keiller

RESIDUAL
50.0
MEDIUM

INHERENT
75.0
MEDIUM

44. Loss of Power Delivery

(d) IF there is a power outage THEN loss of usable workspaces and network connectivity.
(l) Information and Technology Services
Owner:Andy Keiller

RESIDUAL
40.0
LOW

INHERENT
375.0
HIGH

45. System Service Level Agreements (SLAs)

(m) IF no Service Level Agreements (SLA) are in place and/or tracked with vendors of all systems and there is a break or failure of service THEN there is a loss of accountability, a potential loss of productivity and increased costs.
(m) Information and Technology Services
Owner:Andy Keiller

RESIDUAL
20.0
LOW

INHERENT
30.0
LOW

46. Off-Site Archives and Records



IF off-site archives and records are unavailable due to inaccessibility THEN we do not have access to historical information to make informed decisions and are unable to provide access to protected records as is required under the Public Records Act (PRA).



Information and Technology Services

Owner: Andy Keiller

40

RESIDUAL
20.0
LOW

INHERENT
50.0
MEDIUM



What is ALGIM SAM for Compliance?

ITS | July 2023



Contents

What is SAM for Compliance? 2

The Framework 2

What is SAM for Compliance?

SAM for Compliance is a **S**elf **A**ssessment and **M**anagement Platform that comprises a compliance framework and a risk module.

SAM for Compliance can be used to compare ourselves and provide guidance on the security controls that we need to implement to protect ourselves. It can use several different frameworks. Waimakariri District Council has been using SAM for compliance with the Association of Local Government Information Management (ALGIM) framework.

In conjunction with SAM for Compliance Ltd, ALGIM has defined a pragmatic cybersecurity framework specific to local government and based around the CIS Controls, that gives Councils the ability to manage and reduce organisational cybersecurity related risk. The objectives of the ALGIM Local Government Cybersecurity Improvement Programme are:-

- Promoting excellence and cybersecurity best practice within Local Government
- Rewarding achievement and improvement in Local Government cybersecurity
- Identifying opportunities for training and awareness to improve cybersecurity knowledge within Local Government
- Benchmarking Local Government cybersecurity

Councils participating in the programme can identify whether they are above or below average as compared to their peers.

As part of the programme, Councils that demonstrate defined levels of achievement and improvement will receive awards at the ALGIM annual conference. The most improved small, medium and large Council is recognised each year and awarded at the ALGIM annual awards ceremony. Councils are also recognised for achievement based on a three-tier structure - Levels 1 to 3.

The ALGIM Sam for Compliance framework has been designed and tailored to meet the requirements of New Zealand's Local Governments and comprises the best parts of several internationally recognised security frameworks.

The Framework

Function	Category
Identify	<p>This Function defines how you identify how the business identifies:</p> <ul style="list-style-type: none"> • Asset Management • Business Environment • Governance • Risk Assessment • Risk Management
Manage	<p>This function defines how we manage security in the following areas:</p> <ul style="list-style-type: none"> • Access Control • Cloud Services Management • Information And Data Security • Information Protection Procedures and Processes • Maintenance • Service Provider Management
Protect	<p>This function covers how we protect the organisation and covers:</p> <ul style="list-style-type: none"> • Awareness and Training • Protective Technology

Detect	<p>This function defines how we detect threats and events in our organisation and covers:</p> <ul style="list-style-type: none"> • How we detect anomalies and Events • How we undertake Continuous Monitoring
Respond	<p>This function covers how we organise and manage our response to events and incidents:</p> <ul style="list-style-type: none"> • Response Planning • Response Personnel • Response Communication • Analysis • Mitigation • Response Improvement
Recover	<p>This function covers our recovery and restoration operations following an incident and covers:</p> <ul style="list-style-type: none"> • Recovery Planning • Restoration • Recovery Communications • Recovery Improvement

WAIMAKARIRI DISTRICT COUNCIL**REPORT FOR INFORMATION**

FILE NO and TRIM NO: HMR-11-02-07 / 231102175295

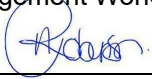
REPORT TO: AUDIT AND RISK COMMITTEE

DATE OF MEETING: 12th December 2023

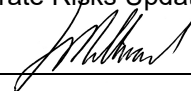
AUTHOR(S): Sherrienne Nation, Quality & Risk Coordinator

SUBJECT: Risk Management Work Programme and Corporate Risks Update

ENDORSED BY:
(for Reports to Council,
Committees or Boards)



General Manager



Chief Executive

1. SUMMARY

- 1.1.** This report is to provide the Audit and Risk Committee with an update on the Risk Management Work Programme and a summary of the current 'Corporate Risks' with a rating of 'Critical' and 'High'.

There are currently 10 identified and recorded risks in the 'Corporate Risks' register. Of these, nine risks are rated as 'Critical' or 'High' and one rated 'Medium'.

Attachments:

- i. Risk Management Work Programme (220621105888)

2. RECOMMENDATION

THAT the Audit and Risk Committee:

- (a) **Receives** Report No. 231102175295
- (b) **Notes** the progress of the Risk Management Work Programme
- (c) **Notes** the current 'Corporate Risks' rated 'Critical' and 'High' ([Appendix 1](#)).

3. BACKGROUND

- 3.1.** The expectation for risk management at Waimakariri District Council (WDC) is that it will be applied and implemented by staff at all levels throughout and across all council related activities. This expectation is set out in the Risk Management Policy.
- 3.2.** The 'Corporate Risks' register is to be presented to the Audit and Risk Committee every six months to inform on risks that are rated 'Critical' and 'High' and any emerging risk matters.
- 3.3.** The 'Corporate Risks' register contains the organisations strategic risks that are significant and have the potential for high impact reputational, financial, or operational outcomes. They are recorded at a high level and are owned by the Management Team who review these monthly.
- 3.4.** There is ongoing operational pieces of work that are championed by managers throughout the business to actively reduce the risks identified within the 'Corporate Risks' register.
- 3.5.** There are currently 304 recorded risks in the Process Manager [Promapp] tool. These are being monitored on a regular basis.

As we move through the risk management work programme and engage with business units to capture their operational risks using our updated risk approach and temporary Excel spreadsheet format, the number of risks in the Process Manager tool will decrease.

Please refer to [section 4.1.3](#) for an update on the use of Process Manager tool for risk capture.

- 3.6.** The Risk Management Steering Group continues to meet every two months with the purpose of providing guidance and direction setting for the development, implementation, and ongoing management of Risk Management within the Council.

The steering group consists of the Chief Executive, General Manager Finance & Business Support, Governance Manager, Quality & Risk Coordinator and Risk Management Consultant.

4. ISSUES AND OPTIONS

4.1. Risk management work programme update

- 4.1.1. To date we have conducted risk identification workshops with nine business units.
- 4.1.2. Two workshops have been conducted with Council to identify the risks associated with their Five Strategic Priorities.

The final draft of the 'Council (Elected Members) Risk Register' was presented for approval at the Council workshop on 28th November 2023 with further changes requested.

The updated draft risk register is to be presented to MTO for further consideration and comment before being reported back to Council for adoption.

- 4.1.3. We are in the process of engaging support staff at Nintex to assist with assessing Process Manager [Promapp] for effectiveness as our risk management capture tool. While this assessment is being undertaken, new or updated risk registers will be captured in an Excel spreadsheet format.
- 4.1.4. We are currently working on the development of risk reporting tools for staff.

4.2. 'Corporate Risks' register

- 4.2.1. The 'Corporate Risks' register underwent its six-monthly review with Management Team Strategy on 12th October 2023.
- 4.2.2. There are currently 10 identified and recorded risks in the 'Corporate Risks' register (one 'Critical', eight 'High' and one 'Medium').
- 4.2.3. Having considered all mitigation actions to manage the identified risks, the risks rated 'critical' and 'high' are presented in [Appendix 1](#).

4.2.4. Risk insight

Risk item #1 ([refer Appendix 1](#)) '*Impact of major adverse events / Civil Defence Emergency: Inability to maintain a sustained response and high demand to fix infrastructure damage causes ongoing community disruption*' is currently trending higher due to another recent adverse weather event (windstorm event 14/10/2023) causing widespread damage and prolonged power outages to homes and businesses within the district.

- 4.2.5. The 'Corporate Risks' register is reviewed monthly by the Management Team.
- 4.2.6. The 'Corporate Risks' register will be presented to the Audit and Risk Committee again in mid-2024.

- 4.3.** The Management Team has reviewed this report and support the recommendations.

5. **Implications for Community Wellbeing**

- 5.1. There are no implications on community wellbeing by the issues and options that are the subject matter of this report.

6. **COMMUNITY VIEWS**

6.1. **Mana whenua**

Te Ngāi Tūāhuriri hapū are not likely to be affected by, or have an interest in, the subject matter of this report.

6.2. **Groups and Organisations**

There are no groups and organisations likely to be affected by, or to have an interest in the subject matter of this report.

6.3. **Wider Community**

The wider community is not likely to have an interest in the subject matter of this report, however, may be affected by changing levels of service if risks are not identified and addressed appropriately.

7. **OTHER IMPLICATIONS AND RISK MANAGEMENT**

7.1. **Financial Implications**

There are no financial implications from the information presented in this report. The operational budget is included in the Annual Plan/Long Term Plan and is primarily for staff resource.

7.2. **Sustainability and Climate Change Impacts**

The recommendations in this report do not have sustainability and/or climate change impacts.

7.3. **Risk Management**

There are no risks directly arising from the information presented in this report. Each of these risks have been assessed on their consequence and likelihood and include any mitigation measures that are able to be put in place.

7.4. **Health and Safety**

There are no health and safety risks arising from the adoption/implementation of the recommendations in this report.

8. **CONTEXT**

8.1. **Consistency with Policy**

This matter is not a matter of significance in terms of the Council's Significance and Engagement Policy.

8.2. **Authorising Legislation**

Nil.

8.3. **Consistency with Community Outcomes**

The Council's community outcomes are not relevant to the information provided in this report.

8.4. **Authorising Delegations**

Audit and Risk Committee and Council have the delegated authority to receive this report.

APPENDIX 1: Summary of current 'Corporate Risks' with a rating of 'Critical' and 'High'

ID#	Risk description	Risk response (controls)	Rating	Risk comments
1.	Impact of major adverse events / Civil Defence Emergency: Inability to maintain a sustained response and high demand to fix infrastructure damage causes ongoing community disruption <i>E.g. AF8 earthquake causing sustained interruption to lifestyle/ community</i>	<ul style="list-style-type: none"> Contractor arrangements, supply agreements, CDEM processes and forward recovery arrangements in place CDEM Coordination with Canterbury Regional and National CDEM Group Infrastructure constructed to current engineering standards Staff/volunteers are trained in various disciplines Equipment (e.g. generators) is available. 	Critical	<ul style="list-style-type: none"> Another recent adverse event (windstorm causing widespread damage and prolonged power outages 14 Oct 2023) Work with HR is underway to align staff roles with EOC roles, including remuneration incentives Public engagement, education and development of Community Emergency Hubs in progress.
2.	Lack of trained/qualified resources with technical/specialist expertise impacts service delivery and staff workloads	<ul style="list-style-type: none"> Turnover tracking to monitor and measure staff retention/movement All systems and processes are documented General Market Value pay and Total Rewards offering Internal development programmes and succession planning Remuneration Framework and Policy 	High	<ul style="list-style-type: none"> Work programme being updated for 2024 Develop a career progression matrix for all of Council MT reviewing major project lists and potential changes to reduce staff workloads and commit to what can be achieved given budget constraints on funds for additional staff. Develop a 'Leadership Development Programme'.
3.	Regulatory change (e.g. Water Services Reform [3Waters], RMA, Emergency Management, Waste etc): Increased uncertainty as to who and how services will be delivered impacts council structure/ revenue/Long Term Planning	<ul style="list-style-type: none"> Regional collaboration through membership of Canterbury Planning Managers group, Canterbury Mayoral Forum, Canterbury Policy Forum Information received weekly from Taituara regarding issues/consultations pertinent to Local Government. 	High	<ul style="list-style-type: none"> The Natural and Built Environment Act and the Spatial Planning Act are now in place and being phased in over the coming years (assented 23/08/23).
4.	Lack of collaborative working relationship with Iwi limits the ability to partner on decision making of important council services and wider wellbeing of the community	<ul style="list-style-type: none"> Focus on building a strong and enduring relationship with Iwi to engage and collaborate Partnership with Mahaanui Kurataiao Ltd provides technical advisory and facilitation services. 	High	<ul style="list-style-type: none"> Ngāi Tahu currently going through election process. Results of election may mean different Iwi governance to partner with Training required for staff who interact with, or have a working relationship with, Mahaanui Kurataiao Ltd and Te Ngāi Tūāhuriri Rūnanga <ul style="list-style-type: none"> Training budgets reduced in response to COVID-19 need to be looked at as part of LTP process Development of mana whenua relationship strategy needed.

ID#	Risk description	Risk response (controls)	Rating	Risk comments
5.	Expectation/demand to implement climate change response measures increase costs and conflict with community	<ul style="list-style-type: none"> Financial headroom built into budgets Climate change accounted for in asset management plans, policies and District Plan provisions. 	High	<ul style="list-style-type: none"> Discussion occurring at regional level which will impact development of consistent tools and measures going forward Community sustainability conversations to re-start, including redevelopment of sustainability plans.
6.	Conflict between urban v rural expectations on environmental issues (eg land management, water supply/use) create additional demands on council to resolve	<ul style="list-style-type: none"> Water Conservation Strategy in place which includes education programmes and Ad campaigns. 	High	<ul style="list-style-type: none"> Progress District Plan to address historic conflicts: Is within timeframes, Ministry for the Environment has given an extension to 2024 to progress District Plan Review Implement Greater Christchurch Partnership (GCP) and Spatial Planning Agreement Ensure new and revised consenting requirements set by Regional Plans are responded to
7.	Changing demands for services and community expectations undermine delivery of existing services	<ul style="list-style-type: none"> Consultation process for Long Term Plans, annual plans and levels of service Financial analysis included with proposals and reports to Council Regular Operational Review Meetings with vendors to discuss performance and Service levels. 	High	<ul style="list-style-type: none"> Facilitate conversations re service levels for 3 Waters (especially re changes to funding by rates).
8.	Financial forecasting/planning doesn't account for degree of change in economic environment means funding model is not sustainable	<ul style="list-style-type: none"> Annual monitoring of valuation movements for all significant infrastructural assets Headroom (contingency planning) to absorb economic shocks / adverse events Local Government Act s17A reviews service delivery for cost effectiveness Procurement processes in place Cost sharing partnerships LTP process ensures funding for service delivery 	High	<ul style="list-style-type: none"> Communication opportunity to show ratepayers the value of their rates and the services provided compared to other services (e.g. power, grocery spend) Provide a greater transparency to Council/Elected Members regarding desired financial/service position v. current position Review levels of service across the organisation (to be considered after LTP process)
9.	Insufficient investment in IT and use of new/emerging technologies impacts service delivery and exposes council to system losses	<ul style="list-style-type: none"> Network redundancy built-in through different pathways to production systems Procurement strategies that consider partnering and/or Supplier reinvestment into technologies ERP Operations Group overlooks functionality of ERP system 	High	<ul style="list-style-type: none"> Draft Digital Strategy and Road Map is in progress, which will be supported by a Digital Transformation Steering Group Develop a Cyber Security Strategy and Roadmap.

Risk Management Work Programme Timeline

Activities	< Mar 23	Mar-Jun 23	Q3 23	Q4 23	Q1 24	Q2 24	Q3 24	Q4 24	Q1 25	Q2 25	Q3 25	Q4 25
ARC and Council endorsement of RMP&F	✓											
Initial risk maturity assessment	✓											
Update corporate risk register		✓										
Confirm risk management work programme		✓										
Develop risk registers with business units		✓	✓	🔄								
Establish risk reporting template and approach			✓	🔄								
Risk reporting to MT and ARC				🔄								
Risk maturity assessment												
Risk appetite statement												
Ongoing organisational risk management (BAU)		✓	✓	🔄								

✓ = Completed

🔄 = In progress

Activity	Details
Current risk management activity	<ul style="list-style-type: none"> • Complete risk management work programme COMPLETED • Report and present risk management work programme to MTS – April 2023 COMPLETED • Present risk management work programme to ATM – April 2023 COMPLETED • Present risk management work programme to ARC – May 2023 COMPLETED • Launch risk management work programme to all staff – May/June 2023 COMPLETED
Risk registers	<ul style="list-style-type: none"> • Develop plan for engaging with business teams to hold risk workshops and create risks registers COMPLETED • Liaise with teams already using risk registers to align risk-based thinking • Ensure risks rated extreme and high have treatment plans in place (and collate this info for reporting)
Risk reporting to MT and ARC	<ul style="list-style-type: none"> • Collate risks to give an overview (for risk coordinator) at each hierarchy level • Provide summary of risks rated extreme and high. Include updates on risk treatments plans (how risk action is tracking) ONGOING • Include 'emerging risk' section as appropriate ONGOING
Risk tools	<ul style="list-style-type: none"> • Risk Management Policy and Framework COMPLETED • Risk Register template COMPLETED • Risk Register User Guide • Risk 'How to' User Guide IN PROGRESS • Risk reporting template IN PROGRESS • Risk agenda item prompts for team and management meetings IN PROGRESS
Risk management BAU	<ul style="list-style-type: none"> • Develop a regular engagement cycle with managers and business teams to support use and updating of risk registers (suggest attending team meetings at least quarterly?) ONGOING • Coordinate risk reporting to the MT/ARC (collate risk information from across all registers) ONGOING • Ensure all meetings include risk as an agenda item (provide support as required to achieve this) IN PROGRESS • Update content of risk intranet landing page to include RMP&F document links, introduction to risk info, and contact details for risk help COMPLETED • Refresh risk webpage as required ONGOING • Provide risk support as required ONGOING

Activity	Details
	<ul style="list-style-type: none"> Review ERM documents as required (RMP&F, appetite statement, maturity assessment, etc) according to policy review cycle ONGOING Review use of Process Manager (Promapp) Risk Module and plan for merge of spreadsheets into the tool for ongoing risk management and maintenance IN PROGRESS
Risk engagement	<ul style="list-style-type: none"> Encourage use of the RM Inbox (dedicated email) for contact, queries, feedback and as an option for notifying/raising risks ONGOING Ongoing risk news/views communications to maintain RM visibility and awareness, e.g. monthly newsletter via email, bulletin board notice of updates, case studies etc ONGOING Undertake surveys/feedback forums to identify continuous improvement opportunities
Risk Appetite Statement (RAS)	<ul style="list-style-type: none"> Draft risk appetite statement for use in strategic level decision-making Workshop with MT/ARC to discuss, develop and affirm Communicate to wider organisation (part of developing risk 'culture') Incorporate (RAS) into governance decision making May be included in the RM Framework or stand alone as a corporate reference document <p><i>NB: Current RAS is represented by the Consequence Assessment Criteria of the Risk Management Framework.</i></p>
Risk Maturity	<ul style="list-style-type: none"> Develop maturity questionnaire for MT/ARC to assess current level (refer to MT paper setting out initial risk maturity baseline, current and target/future state - June? 2022) Refer to gERMF if wanting to align with public sector model Enterprise Risk Maturity (Digital.govt.nz) Undertake secondary risk maturity assessment 18 months after implementation of risk work programme
Risk training (aspirational)	<ul style="list-style-type: none"> Include 'Intro to risk' at risk workshops to set the context for risk identification session Develop Risk 101 presentation and handout notes; include 'local' scenarios of risk process in action Provide training at team meetings or via programmed schedule

Key:

RM = Risk Management

ERM = Enterprise Risk Management

MT = Management Team

RMP&F = Risk Management Framework and Policy

ATM = All Teams Meeting

BAU = Business as Usual

gERMF = All-of-Government Enterprise Risk Maturity Assessment Framework

WAIMAKARIRI DISTRICT COUNCIL**REPORT FOR INFORMATION**

FILE NO and TRIM NO: GOV01-11/ 231127190428

REPORT TO: AUDIT & RISK COMMITTEE

DATE OF MEETING: 12 December 2023

AUTHOR(S): Sarah Nichols, Governance Manager

SUBJECT: Update on NZ Mutual Liability (Riskpool)

ENDORSED BY:
(for Reports to Council,
Committees or Boards)


General Manager


Chief Executive

1. SUMMARY

- 1.1. This report informs the Council on an unbudgeted expense from NZ Mutual Liability referred to as Riskpool as a Call on a public liability claim.
- 1.2. This Call of \$105,339 (excl GST) is a result of long legal proceedings dating back to July 2017 with Napier City Council and Riskpool.

2. RECOMMENDATION

THAT the Audit & Risk Committee

- (a) **Receives** Report No. 231127190428.
- (b) **Notes** the payment of \$105,339 (GST exclusive) payable 20 December 2023 to NZ Mutual Liability Riskpool will be funded from general rates and post fund for the 2024/25 financial year.
- (c) **Circulates** a copy of this report to the Council for information.

3. BACKGROUND

- 3.1. Between the period of 1 July 1997 to 30 June 2017, and prior to our current insurance broker, the Council held its Public Liability and Public Indemnity insurance with Riskpool which was managed by Civic Financial Services Ltd.
- 3.2. Riskpool is governed by a trust deed, with cover provided for members via a series of pooled funds. Riskpool's trustee is able to call on its member councils for financial support for each of Riskpool's funds, commonly referred to as "calls". Local Government Mutual Funds Trustee Limited (LGMFT) is the trustee of Riskpool. Civic Financial Services Ltd is the Fund Manager and Scheme Manager for Riskpool. Riskpool has collected a total of \$134.6 million in contributions from members, and as at 30 June 2022 it had paid its members \$171.2 million in claims.
- 3.3. As a result of reducing council support for Riskpool following the unprecedented financial impact of the leaky building crisis, and Councils increasingly being left as the last plaintiff standing in other litigation, it became difficult for Riskpool to offer its competitively priced cover and risk management services. Consequently, Riskpool decided to cease providing cover from 1 July 2017 and has been in run-off mode for over five years. It is expected that Riskpool will remain in run-off for a further three to five years. Riskpool members were given advance notice in October 2018 that an interim call of \$6 million would be needed on 1 July 2019. The interim call was duly paid by all members. The Council provided \$100,228.70 for potential calls, which the last amount was paid on 10 May 2019.

- 3.4. In July 2017 there were six open claims on the books of Riskpool. However there was one outstanding claim from Napier City Council in relation to a liability claim that had previously been declined. The claim involved both weathertight and non-weathertight defects for a multi-unit apartment block (Waterfront Apartments) and was declined in its entirety. The Napier City Council accepted that Riskpool was correct to decline cover for the weathertight defects, but claims it is entitled to be covered for its liability in respect of the non-weathertight defects.
- 3.5. In June 2021 the High Court found in Riskpool's favour. In September 2022 the Court of Appeal reversed that finding in favour of the Napier City Council. On 1 August 2023, the Supreme Court issued its decision in which it has dismissed Riskpool's appeal. The effect of the Court's decision is that Riskpool now has a liability for that member's claim in respect of the non-weathertight defects. At this point any potential liability is still being fully quantified and there is potential for a further Call from Riskpool. By way of background, cover under the Riskpool Scheme was arranged on a Fund Year basis from 1 July to 30 June. Members made an initial contribution to cover estimated claims and expenses arising from the Fund Year, with any deficits to be funded by further calls upon Members in proportion to their initial contribution. Any surplus can either be returned to Members or rolled into a future Fund Year.
- 3.6. It should be also noted that there are five other claims, some involving Court proceedings, which involve the same issue and which have been waiting on the outcome of the Supreme Court decision. Many of those other claims involve late notification issues (that is, the claims were not notified to Riskpool until after the members had left the Scheme) and Riskpool intends applying to have those claims/proceedings struck out. For those claims which do not involve late notification issues, further information is being sought about the actual or anticipated liability of those members in respect of the non-weathertight defects. At present, Riskpool's reinsurers have also reserved their position regarding cover for these other claims which might mean that there is a need to make further calls in the future relating to these claims.

4. ISSUES AND OPTIONS

- 4.1. Waimakariri District Council was previously a member of the New Zealand Mutual Liability Riskpool scheme ('Riskpool'). The Scheme is in-wind down, however the Council has an ongoing obligation to contribute to the scheme should a call be made in respect of any historical claims (to the extent those claims are not covered by reinsurance), and to fund the ongoing operation of the scheme. The likelihood of any call in respect of historical claims diminishes with each year as limitation periods expire. However, as a result of the Supreme Court decision on 1 August 2023 in Napier City Council v Local Government Mutual Funds Trustee Limited, it has been clarified that Riskpool has a liability for that member's claim in relation to non-weathertight defects (in a mixed claim involving both weathertight and non-weathertight defects). Riskpool has advised that it is working through the implications of the Supreme Court decision. At this point any potential liability is unable to be quantified and there is potential for a future Call from Riskpool.
- 4.2. Since the Supreme Court decision, Riskpool are continuing to quantify its potential liability in relation to the other five similar mixed defect claims. Riskpool is still waiting on confirmation from reinsurers that they will provide reinsurance cover for any of these claims.
- 4.3. The Riskpool Board resolved to make a call on Members to pay a contribution to fund the deficits for Fund years 7, 10, 11 and 12, being:-
- Fund Year 7 - \$6.166 million
 - Fund Year 10 - \$3.051 million
 - Fund Year 11 - \$1.126 million
 - Fund Year 12 - \$2.541 million
- Total **\$12.884 million**

- 4.4. The amount of the call from Riskpool for Waimakariri District Council is \$105,339.00 (excl GST) as calculated in the table in the financial section. This is payable on 20 December 2023.
- 4.5. Once Riskpool has met the short-term needs noted above there will be a process of finalising each Fund Year. This will entail:
- Continuing to operate Riskpool until all claims are settled.
 - Issuing further calls upon members for Fund Years still in deficit. The quantum of future calls will depend on the outcome of the late notification issues in respect of outstanding mixed defect claims and reinsurers' position.
 - For Fund Years in surplus either:
 - Returning funds to members, or offsetting against later Fund Years in deficit.

Implications for Community Wellbeing

There are not implications on community wellbeing by the issues and options that are the subject matter of this report.

- 4.6. The Management Team has reviewed this report and support the recommendations.

5. COMMUNITY VIEWS

5.1. Mana whenua

Te Ngāi Tūāhuriri hapū are not likely to be affected by, or have an interest in the subject matter of this report.

5.2. Groups and Organisations

There are not groups and organisations likely to be affected by, or to have an interest in the subject matter of this report.

5.3. Wider Community

The wider community is not likely to be affected by, or to have an interest in the subject matter of this report.

6. OTHER IMPLICATIONS AND RISK MANAGEMENT

6.1. Financial Implications

There are financial implications of the information contained in this report. This expense of \$105,339 (exclusive of GST) is not included in the Long Term Plan but is due for payment 20 December 2023 and will be incorporated into the 2023/24 financial year. It is unclear at this stage if any further funding in relation to any future potential claims will be called and we are currently awaiting further information from Riskpool. If additional funding is required information will be provided for in the LTP. The insurance fund is effectively put into dormancy that any calls are post funded.

Member 2003/04 Fund Year 7		2006/07 Fund Year 10		2007/08 Fund Year 11		2008/09 Fund Year 12		Total
Initial Contribution	2023 call	Initial Contribution	2023 call	Initial Contribution	2023 call	Initial Contribution	2023 call	2023 call (excl GST)
\$58,795	\$55,652	\$66,442	\$23,545	\$59,800	\$8,770	\$42,000	\$17,372	\$105,339

Riskpool seek \$105,339 (GST exclusive) for a Call from four financial years as a contribution to an outstanding claim from Napier City Council. This was unexpected and unbudgeted funds to be paid in the 2023/24 year.

6.2. Sustainability and Climate Change Impacts

The recommendations in this report do not have sustainability and/or climate change impacts.

6.3 Risk Management

There are risks arising from the adoption/implementation of the recommendations in this report. Further calls on funding to settle the claim may result.

6.3 Health and Safety

There are not health and safety risks arising from the adoption/implementation of the recommendations in this report.

7. CONTEXT**7.1. Consistency with Policy**

This matter is not a matter of significance in terms of the Council's Significance and Engagement Policy.

7.2. Authorising Legislation

Nil.

7.3. Consistency with Community Outcomes

The Council's community outcomes are not relevant to the actions arising from recommendations in this report.

7.4. Authorising Delegations

The Chief Executive has the authority for insurance payments of the value sought by Riskpool.

WAIMAKARIRI DISTRICT COUNCIL**REPORT FOR INFORMATION**

FILE NO and TRIM NO: GOV-26 / 231128190794

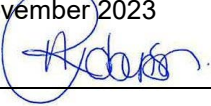
REPORT TO: AUDIT AND RISK COMMITTEE

DATE OF MEETING: 12 December 2023


AUTHOR(S): Thea Kunkel, Governance Team Leader

SUBJECT: Reporting on LGOIMA Requests for the period 1 September 2023 - 30 November 2023

ENDORSED BY:
(for Reports to Council, Committees or Boards)



General Manager



Chief Executive

1. SUMMARY

- 1.1 This report provides an update to the Audit and Risk Committee on the requests for information made under the Local Government Official Information and Meetings Act 1987 (LGOIMA).
- 1.2 The Council received 65 official requests from 1 September 2023 to 30 November 2023, which was 32 more than for the same period in 2022. Also, the Council responded to 73 official requests during the period under review, which was 30 more than the official requests responded to in the same period in 2022. The official requests were mostly for information regarding building consents, resource consents, Council-owned properties, loan funding from the Local Government Finance Agency, water quality and cycleways.

Attachments:

- i. Table of requests from 1 September 2023 to 30 November 2023 (Trim 231128191019).

2. RECOMMENDATION

THAT the Audit and Risk Committee:

- (a) **Receives** Report No. 231128190794 for information.
- (b) **Notes** that the Council received 65 requests and responded to 73 official requests of information from 1 September 2023 to 30 August 2023, which was 30 more than the 43 official requests responded to in the same period in 2022.

3. BACKGROUND

- 3.1 Any member of the public may request official information from the Council, and the LGOIMA prescribes how these requests are to be managed, the statutory timeframes for dealing with them and the basis of decision-making on the release of information. The LGOIMA is the local government version of the Official Information Act, 1982, which people may be more familiar with, which applies to central government agencies.
- 3.2 Decisions on the release of information are delegated to the Chief Executive under the LGOIMA and are sub-delegated to the Governance Manager.
- 3.3 LGOIMA information is provided weekly to the Management Team and quarterly to the Audit and Risk Committee. The previous report covered the period of 1 June to 31 August 2023. This report, therefore, covers the period of 1 September to 30 November 2023.

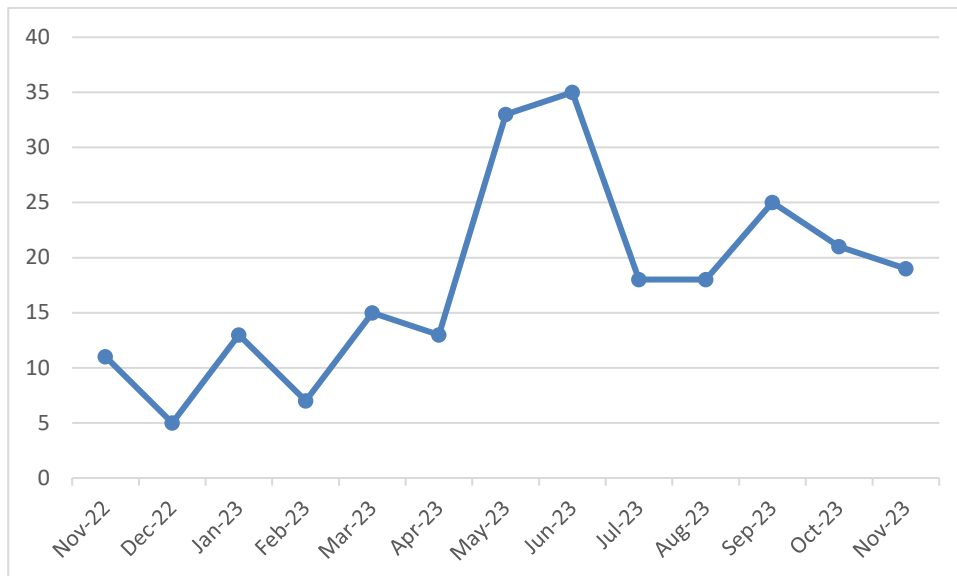
4. **ISSUES AND OPTIONS**

- 4.1 The Council processes requests for information in accordance with the LGOIMA and the Privacy Act 2020. The aim is to balance transparency and public interest issues with limits on disclosing personal information.
- 4.2 All information will be provided unless there is a good reason under the provisions of the LGOIMA for not releasing it. The Council is entitled to consider not releasing information if it would:
- prejudice the maintenance of the law.
 - endanger the safety of any person.
 - breach the privacy of any person.
 - disclose confidential or commercially sensitive information.
 - cause serious offence to Tikanga Māori or disclose the location of Waahi Tapu.
 - breach an obligation of confidence.
 - prejudice: public health or safety; the Council's right to legal professional privilege; the commercial activities of the Council; or negotiations being carried out by the Council.
- 4.3 Below in Table 1 is a summary of the number of official requests the Council responded to from 1 November 2022 to 30 November 2023. The Council took an average of 13 days to respond to official requests. In most cases, if the Council was unable to meet the statutory requirements of 20 working days, the applicant was advised of the Council's decision to provide the information and that an extension of time would be required per the provisions of Section 13(1) of the LGOIMA.

Month	Number of applications responded to	Number of responses not meeting the statutory requirements
November 2022	11	One (additional information became available about the proposed chlorination of the Oxford Township Water Supply and staff needed time to collate the information).
December 2022	7	One (delay in accumulating the information).
January 2023	10	One (delay in accumulating the information).
February 2023	8	None
March 2023	10	None
April 2023	13	One (delay in accumulating the information).
May 2023	32	One (delay in accumulating the information).
June 2023	35	One (large volumes of information requested). One (delay in accumulating the information).
July 2023	26	One (delay in accumulating the information).
August 2023	16	Two (delay in accumulating the information).
September 2023	25	Two (delay in accumulating the information).
October 2023	25	One (delay in accumulating the information). One (large volumes of information requested).
November 2023	23	One (delay in accumulating the information).
Total	241	15

Table 1: Summary of the number of Official Requests responded to from November 2022 to November 2023.

- 4.4 Graph 1 below outlines the number of requests for information received monthly during the last year. Staff spent 238 hours responding to requests from 1 September to 30 November 2023, averaging three hours per request. An internal process involves several staff and their managers checking content before releasing information. Whilst there is an option to charge under the legislation, the Council currently do not generally charge for requested information. However, the Council decided to charge for information regarding the purchase of 198 Merton Road, Fernside, as providing the requested information entailed collating data for the last five years, which would have significantly impacted the Council's resourcing ability to carry out its other operations. It was estimated that the time it would have taken to collate the information would have been over five hours. The Council is still waiting for a response from the applicant about proceeding with the request. Several other requests were refined following notification of cost that would be charged to collate the information.



Graph 1: Summary of the number of Official Request received – November 2022 to November 2023

- 4.5 Graph 1 also indicates that there has been a significant increase in the number of requests received since May 2023 due to a high number of information requests received following the 2023/24 Annal Plan Hearings and a seemingly heightened awareness of the right to access official information. Although the number of requests decreased in July and August 2023, there was again a minor spike in September 2023. The number of requests is still much higher than pre-May 2023, and a substantial increase is expected in the first half of 2024 during the 2024/34 Long-Term Plan process.
- 4.6 To promote transparency and accountability, the Council has published a list of all the Requests for Information received by the Council on its Website at <https://www.waimakariri.govt.nz/services/online-services/request-it>. However, releasing the requested information will still be subject to the provisions of LGOIMA and the Privacy Act 2020. In addition, the Council will consider any potential civil or criminal liability that might result from the publication.
- 4.7 This report serves as an accountability tool to show that the Council is meeting its statutory obligations; it also highlights the number of requests being received and what general information is being sought, which may have a public interest element.
- 4.8 **Implications for Community Wellbeing**
There are no social and cultural implications on community wellbeing by the issues and options that are the subject matter of this report.
- 4.10 The Management Team has reviewed this report and supports the recommendations.

5. **COMMUNITY VIEWS**

5.1 **Mana whenua**

Taking into consideration the provisions of the Memorandum of Understanding between Te Ngāi Tūāhuriri Rūnanga and the Council, Te Ngāi Tūāhuriri hapū are not likely to be affected by or have an interest in the subject matter of this report.

5.2 **Groups and Organisations**

There are no other groups and organisations other than those who requested information likely to be affected by or interested in this report's subject matter.

5.3 **Wider Community**

This report's subject matter will not likely affect the wider community. However, some of the information requested may be of public interest.

6. OTHER IMPLICATIONS AND RISK MANAGEMENT

6.1 Financial Implications

There are no financial implications sought from this report.

Generally, the Council do not charge for LGOIMA requests. However, occasionally, if a request is received for a significant amount of information or requires substantial collation and research, or the Council receives a large number of requests from the same person in a short timeframe, which taken together require a large amount of staff resource to respond to, the Council may consider imposing a charge. In these rare instances, the applicant is advised before the work is undertaken, and options to refine the request are explored. Any charges that may be imposed align with the guidelines set by the Ministry of Justice and the Office of the Ombudsman.

6.2 Sustainability and Climate Change Impacts

The recommendations in this report do not have sustainability or climate change impacts.

6.3 Risk Management

There are no risks arising from the adoption of the recommendations in this report.

6.3 Health and Safety

None.

7. CONTEXT

7.1 Consistency with Policy

These matters are not matters of significance in terms of the Council's Significance and Engagement Policy.

7.2 Authorising Legislation

- Local Government Official Information and Meetings Act 1987 (LGOIMA).
- Privacy Act, 2020

7.3 Consistency with Community Outcomes

People have wide-ranging opportunities for learning and being informed and our people are easily able to get the information they need.

There are wide ranging opportunities for people to contribute to the decision-making that affects our District.

7.4 Authorising Delegations

Decisions on the release of information is delegated to the Chief Executive under the LGOIMA and is sub-delegated to the Governance Manager.

LGOIMA REQUESTS RECEIVED FROM 1 SEPTEMBER 2023 TO 30 NOVEMBER 2023.

DATE RECEIVED	REQUESTER	SUBJECT	DATE OF OFFICIAL RESPONSE	RESPONSE (DAYS)
1/09/2023	Private individual	Any resource consents in respect of property on Pimlico Place, Rangiora	14/09/2023	9
4/09/2023	Private individual	Council's definition for Sites and Areas of Significance to Māori	21/09/2023	13
6/09/2023	Private individual	Proposed Island/Ohoka Road Intersection upgrade	19/09/2023	9
7/09/2023	Private individual	New Zealand Local Government Funding Agency Limited also LGFA	28/09/2023	15
7/09/2023	Private individual	Camera footage at the lights on the corner of Coronation Street and Southbrook Road.	21/09/2023	10
11/09/2023	Private individual	Anomalies in planning procedures	22/09/2023	9
11/09/2023	Private individual	Funding of Mayor's candidacy of Chairperson of LGNZ	5/10/2023	18
12/09/2023 29/09/2023	Private individual	Information about Aqualand Kaiapoi	29/09/2023	13 17
12/09/2023	Private individual	Resource Consent Application for a development along Seddon Street Rangiora	28/09/2023	12
13/09/2023	Private individual	Future for Local Government	13/10/2023	9
14/09/2023	Private individual	Proclamation of the People/Living: Judicial Notice, Formal Notice in Equity to Cease and Desist Development and Rate Collection Immediately	13/10/2023	20
18/09/2023	Private individual	List of properties purported to be owned by the Council	13/10/2023	19
18/09/2023	Private individual	Setting of Rates and Proclamation	29/09/2023	19
19/09/2023	Private individual	Transcript of meeting with staff prior to purchasing a restaurant in Kaiapoi	13/10/2023	8

DATE RECEIVED	REQUESTER	SUBJECT	DATE OF OFFICIAL RESPONSE	RESPONSE (DAYS)
19/09/2023	Private individual	Traffic volumes on Skew Bridge	3/10/2023	10
19/09/2023	Private individual	Contract between Tag King and the Council	20/10/2023	23
21/09/2023	Private individual	Council Report that created 4ha lot size under the operative District Plan	29/09/2023	6
21/09/2023	Research	Awarding of Council contracts	29/09/2023	6
21/09/2023	Private individual	Copy of the entire District Licensing Committee file for temporary authority applications	4/10/2023	9
22/09/2023	Private individual	Inspection done to get a garage up to code in Depot Road, Oxford	5/10/2023	10
25/09/2023	Private individual	Resource consent pertaining to property in Wrights Road, Kaiapoi	4/10/2023	7
25/09/2023	Private individual	Council's plans for the replacement of Skew Bridge	4/10/2023	7
26/09/2023	Private individual	Information regarding properties part of the Northern Arterial Route	19/10/2023	17
26/09/2023	Private individual	Reducing the environmental impacts of abandoned/ junk vehicles	13/10/2023	13
29/09/2023	Private individual	All information on the proposed Southern Super-City	5/10/2023	5
2/10/2023	Private individual	Caution Notice	13/10/2023	9
2/10/2023	Private individual	Enforcement of Traffic Management Plans	19/10/2023	13
2/10/2023	Media	Council pools in the Waimakariri District	26/10/2023	17
3/10/2020	Private individual	Request for costs and Income since purchase of 107 Revells Road/ 40 Lineside Road	1/11/2023	20
3/10/2020	Private individual	Purchase of 198 Merton Road Fernside	1/11/2023	20

DATE RECEIVED	REQUESTER	SUBJECT	DATE OF OFFICIAL RESPONSE	RESPONSE (DAYS)
4/10/2020	Research	Details of all assets on reserves vested in the Council	13/10/2023	7
5/10/2023	Research	Roading classification of Woodend Beach Road	19/10/2023	1
6/10/2023	Private individual	A copy of the decision from Taumata Arowai declining the Council's exemption for chlorine, as well as the application made by the Council.	18/10/2023	8
9/10/2023	Private individual	Council loans with the New Zealand Local Government Funding Agency	9/11/2023	22
10/10/2023	Private individual	Cost of mowing and maintaining the paddocks at 198 Merton Road	18/10/2023	6
11/10/2023	Private individual	Water quality map for property on Main Race Road	26/10/2023	10
12/10/2023	Private individual	Ecological reports for the Significant Natural Areas	7/11/2023	17
17/10/2023	Private individual	All documents held by Council that relate to current and future disposal of storm water from a property in Threlkelds Road, Ohoka	9/11/2023	16
18/10/2023	Research	Establish the total bridge market size in the region	9/11/2023	15
19/10/2023	Private individual	Various Questions regarding Council loans	16/11/2023	19
20/10/2023	Private individual	Lease of the 85ha on Lineside Road	9/11/2023	13
24/10/2023	Private individual	Council spent on cycleways per year to date	13/11/2023	14
24/10/2023	Private individual	Information about Aqualand, Kaiapoi	27/10/2023	3
24/10/2023	Private individual	Documents supplied to Council by planning firm	13/11/2023	14
25/10/2023	Private individual	Information about Aqualand, Kaiapoi	27/10/2023	2
25/10/2023	Private individual	Personal information held by the Council	3/11/2023	7

DATE RECEIVED	REQUESTER	SUBJECT	DATE OF OFFICIAL RESPONSE	RESPONSE (DAYS)
1/11/2023	Private individual	Enforcement of Traffic Management Plans	23/11/2023	15
1/11/2023	Fire Emergency NZ	Details for the owner of property on Belcher Street, Kaiapoi	13/11/2023	8
3/11/2023	Private individual	Additional information on purchase of 198 Merton Road, Fernside	23/11/2023	13
3/11/2023 5/11/2023	Private individual	Speed Management Plan Consultation	23/11/2023	13
7/11/2023	Private individual	Abbeyfield Housing planned in the District		
8/11/2023	Research / Parliament	Transport Choices and Community Connect	24/11/2023	11
9/11/2023	Research Ministry of Health	Inappropriate disposal of lithium-ion batteries		
9/11/2023	Private individual	Information regarding Infringements issued by the Council	24/11/2023	10
11/11/2023	Private individual	Economic and Fiscal failures of Government		
13/11/2023	Research	Payments made to external suppliers for purchases of goods and services in 2022	21/11/2023	6
15/11/2023	Private individual	To all documents, correspondence, complaints, letters, emails, and photographs related to company at the Rangiora Airfield		
16/11/2023	Private individual	Remove a sign at the Blackett/King Street roundabout in Rangiora		
20/11/2023	Private individual	Information regarding Council Controlled Organisations		
20/11/2023	Private individual	Proof of ownership of Council properties		
20/11/2023	Private individual	Cost of recycling		

DATE RECEIVED	REQUESTER	SUBJECT	DATE OF OFFICIAL RESPONSE	RESPONSE (DAYS)
22/11/2023	Private individual	The Council's Code of Conduct		
22/11/2023	Private individual	Purchase of 154 East Belt, Rangiora		
23/11/2023	Private individual	Enforcement of Traffic Offences by the Council		
24/06/2023	Private individual	Additional information on loan funding from LGFA		