

Notice is hereby given that an ordinary meeting of the Finance, Audit & Risk Subcommittee will be held on:

**Date:** Wednesday 20 September 2017  
**Time:** 4.00 pm  
**Meeting Room:** Council Chambers  
**Venue:** Horowhenua District Council  
Levin

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## **Finance, Audit & Risk Subcommittee**

### **OPEN AGENDA**

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#### **MEMBERSHIP**

<b>Chairperson</b>	Mr Philip Jones	
<b>Deputy Chairperson</b>	Cr Barry Judd	
<b>Members</b>	Cr Wayne Bishop	
	Cr Ross Brannigan	
	Cr Ross Campbell	
	Cr Neville Gimblett	
	Cr Victoria Kaye-Simmons	
	Cr Jo Mason	
	Cr Christine Mitchell	
	Cr Piri-Hira Tukapua	
	Cr Bernie Wanden	
<b>Reporting Officer</b>	Mr Doug Law	(Chief Financial Officer)
<b>Meeting Secretary</b>	Mrs Karen Corkill	

Contact Telephone: 06 366 0999  
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Website: [www.horowhenua.govt.nz](http://www.horowhenua.govt.nz)

**Full Agendas are available on Council's website**  
**[www.horowhenua.govt.nz](http://www.horowhenua.govt.nz)**

**Full Agendas are also available to be collected from:**  
**Horowhenua District Council Service Centre, 126 Oxford Street, Levin**  
**Foxton Service Centre/Library, Clyde Street, Foxton,**  
**Shannon Service Centre/Library, Plimmer Terrace, Shannon**  
**and Te Takeretanga o Kura-hau-pō, Bath Street, Levin**



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**1 Apologies**

**2 Public Speaking Rights**

Notification to speak is required by 12 noon on the day of the meeting. Further information is available on [www.horowhenua.govt.nz](http://www.horowhenua.govt.nz) or by phoning 06 366 0999.

For further information on public participation, please see over the page.

**3 Late Items**

To consider, and if thought fit, to pass a resolution to permit the Council to consider any further items which do not appear on the Agenda of this meeting and/or the meeting to be held with the public excluded.

Such resolution is required to be made pursuant to Section 46A(7) of the Local Government Official Information and Meetings Act 1987, and the Chairperson must advise:

- (i) The reason why the item was not on the Agenda, and
- (ii) The reason why the discussion of this item cannot be delayed until a subsequent meeting.

**4 Declarations of Interest**

Members are reminded of their obligation to declare any conflicts of interest they might have in respect of the items on this Agenda.

**5 Confirmation of Minutes**

**Meeting minutes Open & In Committee - Finance, Audit & Risk Subcommittee, 9 August 2017**

**6 Announcements**

Public Participation (further information):

The ability to speak at Council and Community Board meetings provides the opportunity for members of the public to express their opinions/views to Elected Members as they relate to the agenda item to be considered by the meeting.

Speakers may (within the time allotted and through the Chairperson) ask Elected Members questions as they relate to the agenda item to be considered by the meeting, however that right does not naturally extend to question Council Officers. Council Officers are available to offer advice too and answer questions from Elected Members when the meeting is formally considering the agenda item i.e. on completion of Public Participation.

Meeting protocols

1. All speakers shall address the Chair and Board Members, not other members of the public.
2. The Council Meeting is not a forum for complaints about Council staff or Council contractors. Those issues should be addressed direct to the CEO and not at a Council or Committee meeting.
3. Elected members may address the speaker with questions or for clarification on an item, but when the topic is discussed Members shall address the Chair.
4. All persons present must show respect and courtesy to those who are speaking and not interrupt nor speak out of turn.
5. Any person asked more than once to be quiet will be asked to leave the meeting.

File No.: 17/452

## Annual Report for the year ended 30 June 2017

### 1. Purpose

To recommend the adoption of the Annual Report for the year ended 30 June 2017 to Council.

### 2. Executive Summary

- 2.1 This report presents a draft copy of Council's Annual Report for the year ended 30 June 2017 that has been attached to this report.
- 2.2 Council's financial performance shows an operating deficit of \$0.942m against a budgeted surplus of \$3.182m.
- 2.3 Council has purchased \$25.415m in assets and raised \$12m in loans to help pay for these assets, during the year.
- 2.4 Mandatory prudential benchmarks have been achieved apart from Balance the Budget and Operations Control

### 3. Recommendation

- 3.1. That Report 17/452 Annual Report for the year ended 30 June 2017 is received.
- 3.2. That the Finance, Audit and Risk Subcommittee recommends to Council the adoption of the Annual Report ended 30 June 2017 at the Council meeting of 11 October 2017.

### 4. Background / Previous Council Decisions

Council is required under s98 of the Local Government Act (reproduced below) to produce and adopt an Annual Report within 4 months of the end of the financial year (i.e. by 31 October 2017):

**98 Annual Report**

- (1) *A local authority must prepare and adopt in respect of each financial year an annual report containing in respect of that year the information required by Part 3 of Schedule 10.*
- (2) *The purposes of an annual report are –*
  - (a) *to compare the actual activities and the actual performance of the local authority in the year with the intended activities and the intended level of performance as set out in respect of the year in the long-term plan and the annual plan; and*
  - (b) *to promote the local authority's accountability to the community for the decisions made throughout the year by the local authority.*
- (3) *Each annual report must be completed and adopted, by resolution, within 4 months after the end of the financial year to which it relates.*

The Draft Annual Report is being brought to the Subcommittee to enable Councillors to understand the report and ask any questions of Officers prior to Council adopting the Annual report at its meeting of 11 October.

At the time of writing this report, the audit was near completion with all known adjustments reconciled and awaiting verbal confirmation of an unqualified audit opinion from Audit NZ.

There have been a number of changes to the draft Annual Report that was tabled at the last Subcommittee meeting on the 9th August. They are summarised below.

Original deficit disclosed at the FAR Subcommittee of 9 August	(\$1,648k)
1. Recognition, for the first time, of Carbon credits	\$ 240k
2. Increase in Forestry valuation	\$ 308k
3. Decreased depreciation expense	\$ 207k
4. Earthquake prone impairment commercial Buildings	(\$ 49k)
Revised deficit	(\$ 942k)
5. Revaluation increase of Land, Buildings and Restricted Assets	\$15.473m
6. The write back of the "internal" grant Te Awahou Nieuwe Stroom	\$500k
7. Removal of "internal" revenue for roadside bin collection	\$156k

## 5. Discussion

### Financial Performance

- 5.1 Council's financial performance shows an operating deficit of \$0.942m against a budgeted operating surplus of \$3.182m. Overall Council shows a surplus of \$43.625m against a budget of \$14.173m surplus.
- 5.2 The main reason for the budgeted surplus was Council was expecting to receive \$4.1m in third party income for the funding of Te Awahou Nieuwe Stroom. However, only \$1.4m was received prior to 30 June 2017. Te Awahou Nieuwe Stroom is expected to be finished in October 2017 and it is expected the remaining committed grant funding will be received in the current financial year when the project is completed.
- 5.3 The Financial Strategy (on page 160 of the 2015/25 LTP) explained that as this "Capital subsidy income" from the Te Awahou Nieuwe Stroom grants was not in the nature of operational income, in that it cannot be spent on funding operational activities. The Council was facing an operational deficit of \$912k without these capital grants.
- 5.4 The main theme from the financial strategy was that Council was facing 3 years of such operational deficits, 2016 to 2018. These deficits mainly arose from underfunding depreciation.
- 5.5 This depreciation funding is used for debt repayments and asset replacements (commonly called asset renewals). Council was facing an increasing requirement to renew assets without the necessary rate and other operational funding required to fund these renewals.
- 5.6 If rates increases were not achieved over the first 3 years of the LTP Council would have had to either borrow more or reduce the asset renewal expenditure programme that was needed to maintain the level of service we agreed to in the LTP.
- 5.7 For the Balanced Budget prudential bench mark Council shows 95.37% against a target of 100%, similar to the 95% predicted for the 2016/17 financial year in the LTP, if the capital subsidies for Te Awahou Nieuwe Stroom are excluded. Refer to paragraph 5.3 above.
- 5.8 Other variances are:
  - Rates income \$400k lower than budget due to lower water-by-meter income, lower rates penalty income and higher rates remissions offset by higher general and targeted rates income.



- Fees and charges income is \$1.1m higher due to increased solid waste income, connection fees, trade waste income and library income previously unbudgeted but recognised now that the Library service is in-house.
- Unbudgeted income of \$275 as disclosed in the report of 9 August
- Development Contributions of \$488k (unbudgeted) were received mainly from the sale of Forbes Road subdivision sections.
- Vested assets were \$459k unbudgeted from subdivisional activity.
- Gains on valuation of derivative contracts (\$630k) where long – term interest rates have increased from last year winding back some of the \$1.1m loss on revaluations experienced last financial year.
- Depreciation is above budget by \$2.6m due to the revaluation of infrastructural assets being higher than anticipated in the Annual Plan. Refer to paragraph 5.13 below.
- Other expenditure items include;
  - Lower interest costs \$400k due to lower actual interest rates to the budget assumption of 4.75%
  - Increased employment costs \$1.2m to bring Te Takere staff in house, offset by the \$1.8m grant no longer applying.
  - Lower maintenance costs but higher professional services cost covering increased consultancy costs for strategic planning and cover for staff vacancies in the regulatory department to enable Council to continue to meet statutory deadlines for increase building and planning consents activities

5.9 The mandatory prudential benchmarks are disclosed on pages 56-65 of the report.

Each of the self-imposed target or benchmark (Rates and Debt limits) has been met:

Those prescribed in the Financial Regulations have been met except for the Balanced Budget and Operations Control bench marks.

Council meets the Balanced Budget benchmark if its revenue equals or is greater than its operating expenses. This measure was forecast to be achieved in all 10 years of the LTP with the exception of the 2017/18 year. This was after the anticipated grant income for Te Awahou Nieuwe Stroom was included for the two years 2015/16 and 2016/17. Refer to paragraph 5.3 above.

The Operations Control benchmark is met if Council's actual net cash from operations, as disclosed in the Cashflow Statement, is equal to or greater than its planned net cash from operations.

This benchmark was not met at 67.94% against a target of 100%. This was not met due to many of the issues relating to both revenue and expenses discussed above including the delay in receipt of third party funding for the Te Awahou Nieuwe Stroom project. A further contributing factor is the combination of unbudgeted spending on professional services to cover the costs of the growth strategy work and other income and expenditure items.

5.10 Standard and Poors reaffirmed Council's A+ credit rating during the year. This credit rating increases our ability to borrow at favourable interest rates. The weighted average interest

rate at 30 June 2017 was 4.14% down from 4.61% at 30 June, 2016, 5.15% at 30 June 2015 and 5.32% at 30 June 2014.

#### Financial Position

- 5.11 Council spent \$25.415m on asset purchases against a budget of \$36.8m lower by \$11.4m. A number of capital projects have been delayed and carried forward to 2017/18.
- 5.12 Borrowings are below budget by \$6m due to the lower capital expenditure. Council has raised more short term loans than budgeted (\$12m) to take advantage of the low short-term interest rates.
- 5.13 Council's cash balance was \$5.1m which is lower than last year's high of \$7.4m as last year cash was higher than usual due to additional funds required to fund capital expenditure projects that occurred in June of 2016 This was disclosed as higher "payables" in the Statement of Financial Position for last year. The \$5.1m for the current year is normal and sufficient to maintain liquidity.
- 5.14 Debtors were above last year by \$0.83m reflecting the increased Rates debt at year end partially offset by reduced general debtors.
- 5.15 The book value of the Pensioner housing portfolio (\$7.1m) is shown as a current asset as it is council's intention to sell these assets in the current financial year. Any loss on sale will also be recorded in the current financial year in the month that the settlement proceeds are received.
- 5.16 This financial year Council has revalued all its assets with the following increases occurring in the classifications;

• Land	\$3.243m
• Buildings	\$6.139m
• Restricted assets (parks)	\$6.091m
• Wastewater Schemes	\$7.809m
• Water Supplies	\$5.150m
• Stormwater	\$5.007m
• Roothing network	\$12.354m

This shows as increase in assets value in the Statement of Financial Position but also in non-cash gains on revaluation of \$44.5m in the Statement of Comprehensive Revenue and Expense.

Over half of the increases in Roothing network assets are due to recognising assets such as the Manawatu River Floodgate Bridge (formally considered to be a NZ Transport Agency asset) as well as retaining walls and better information on asset condition.

## 6. Options

There is no option but to adopt the Annual Report with or without an unqualified audit opinion.

## 6.1. Cost

The cost is the internal cost of producing the report, estimated at \$250k including the Audit cost of \$149k.

### 6.1.1. Rate Impact

There is no rating impact other than the annual cost of producing and auditing the Annual Report, both of which have been budgeted for.

## 6.2. Community Well Being

There is no impact on the Community Well Being of adopting the Annual Report.

## 6.3. Consenting Issues

There are no consenting issues related to the adoption of an Annual Report.

## 6.4. LTP Integration

The cost of the Annual Report is budgeted for in the LTP and Annual Plan.

## 7. Consultation

No consultation has been conducted or is required in relation to the adoption of the Annual Report.

## 8. Legal Considerations

Legal considerations are that Council has to adopt the audited Annual Report within four months of the balance date of 30 June 2017.

## 9. Financial Considerations

The Annual Report was produced in-house, with no external input other than from Audit New Zealand and minimal valuation, treasury and legal costs. The cost of the Annual Report is funded from the General Rate and is costed to the Representation and Governance activity.

## 10. Other Considerations

- 10.1 These accounts have been prepared under the new Public Benefit Entity (PBE) accounting standards. Some of these requirements add to the already complex nature and length of the annual report.
- 10.2 Council staff are investigating ongoing enhancements to the presentation and format of the report that hopefully will enable more readers to understand the contents and meaning.
- 10.3 However, there is a limit to these enhancements. Most of the complexity and size of the document are caused by compliance with and complexity of the legislation, regulations and accounting standards that must be met.

## 11. Next Steps

The Annual Report will need to be adopted by Council on 11 October 2017 to meet the statutory deadline of 31 October. A full Annual Report and audited Summary Annual Report need to be completed and made available to the public within one month of adoption. This will include posting to our website and an article in "Community Connection".

## 12. Supporting Information

<b>Strategic Fit/Strategic Outcome</b>
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There are no implications on Community Outcomes on adopting an Annual Report
<p><b>Decision Making</b></p> <p>The adoption of an Annual Report does not require consultation prior to its adoption and can only be adopted by a full Council meeting; it cannot be delegated to a Subcommittee.</p>
<p><b>Consistency with Existing Policy</b></p> <p>There is no policy on the adoption of an Annual Report.</p>
<p><b>Funding</b></p> <p>Funding is through the General Rate.</p>

**13. Appendices**

No.	Title	Page
A	Unaudited Annual Report for the year ended 30 June 2016 ( <i>Under Separate Cover</i> )	

Author(s)	Doug Law <b>Chief Financial Officer</b>	
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Approved by	Doug Law <b>Chief Financial Officer</b>	
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# Financial Report for the two months to 31 August 2017

File No.: 17/370

## 1. Purpose

To present to the Finance, Audit & Risk Subcommittee the financial report for the two months to 31 August 2017.

## 2. Recommendation

- 2.1 That Report 17/370 Financial Report for the two months to 31 August 2017 be received.
- 2.2 That this matter or decision be recognised as not significant in terms of s76 of the Local Government Act 2002.

## 3. Issues for Consideration

As included in the **attached** report.

## Attachments


No.	Title	Page
A	Financial Reporting - Monthly Report 31 August 2017 - FAR	14


### Confirmation of statutory compliance

In accordance with section 76 of the Local Government Act 2002, this report is approved as:

- a. containing sufficient information about the options and their benefits and costs, bearing in mind the significance of the decisions; and,
- b. is based on adequate knowledge about, and adequate consideration of, the views and preferences of affected and interested parties bearing in mind the significance of the decision.

## Signatories

Author(s)	Doug Law <b>Chief Financial Officer</b>	
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Approved by	Doug Law <b>Chief Financial Officer</b>	
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# Two Month Report

1 July 2017- 31 August 2017



## Executive Summary

### A. Trends and Activity of Interest

1. Resource Consenting
  - 37 consents have been lodged and 32 approved as at 31 August 2017. Approved consents include consents under process at 30 June 2017.
  - 31 subdivision consents approved as at 31 August 2017.
  - 8 new allotments have been created as at 31 August 2017, 3 Residential and 5 Rural. 0 lots have reached either 223 or 224 stage.
2. Building Consents
  - Value of consents issued as at 31 August 2017 is \$15,666,799.
  - 40 new dwelling consents at 31 August 2017 against 38 for the same period in the 2016/2017 year.
  - 128 building consents were as at 31 August 2017, compared to 119 for the same period last year.

Both Resource Consent and Building Consent numbers, and the level of enquiries, continue to hold steady.

### B. Financial Performance

Council has achieved a surplus of \$2,127,000 as at 31 August 2017 against a budgeted surplus of \$1,082,000.

Variances are difficult to analyse this early in the year however, the following variances are evident

- Water by meter income is lower than budget by \$237k – probably just a timing issue
- Capital Grants income is over budget by \$1,295k – Te Awahou Grants income
- Fees and charges has pensioner housing rental \$138k that was not budgeted for due to anticipating the sale to occur 1 July 2017.
- Building consent revenue is \$102k ahead of budget reflecting the level of activity
- Employee costs are \$269k lower than budget reflecting several vacant positions
- Finance costs are below budget by \$54k reflecting the lower interest rates on loans; 4.08% against the Annual Plan assumption of 4.75%
- Depreciation expense is higher (\$402k) than budget due to the revaluations of assets last year that were not reflected in the annual Plan budgets. This trend will continue for the rest of the year.

**Doug Law**  
Chief Financial Officer  
14 August 2017

# Operational Summary

Total revenue	Total expenditure	Total surplus/(deficit)
<b>\$10.15m</b>	<b>\$8.02m</b>	<b>\$2.13m</b>
is 6% more than the total budget of \$9.54m	is 2% more than the total budget of \$7.85m	is 97% more than the total budgeted surplus of \$1.08m

## SUSTAINABILITY

### Rates to operating revenue 42%

Rates revenue	\$5.88m
Operating revenue	\$10.15m

42% of operating revenue is derived from rates revenue. Rates revenue excludes penalties and includes water supply by meter and gross of remissions. Operating revenue excludes vested assets, development contributions, asset revaluation gains and gains on derivatives.

### Balance budget ratio 127%

Operating revenue	\$10.15m
Operating expenditure	\$8.02m

Operating revenue should be equal or more than operating expenditure. Operating revenue excludes vested assets, development contributions, asset revaluation gains and gains on derivatives. Operating expenditure include depreciation and excludes loss on derivatives, landfill liability and loss on asset revaluations. Year to date revenue is 127% more than operating expenditure.

### Essential services ratio 36%

Capital expenditure	\$1.48m
Depreciation	\$2.33m

Capital expenditure should be equal or more than depreciation for essential services, for year to date capex is 36% less than depreciation

### Net Debt to total projected revenue 145%

Total net borrowing	\$76.19m
Total projected operating revenue	\$52.71m

With net borrowing of \$76.19m we are still under the set limit of 175% of operating revenue. Total net borrowing is external borrowing less cash at bank.

### Interest to rates revenue (LGFA Cov.) 4%

Net Interest	\$0.24m
Rates revenue	\$5.94m

4% of rates revenue is paid in interest. Our set limit is 25% of rates revenue. Net interest is interest paid less interest received. Rates revenue excludes penalties and includes water supply by meter and gross of remissions.

### Interest to operating revenue (LGFA Cov.) 2%

Net Interest	\$0.24m
Operating revenue	\$10.15m

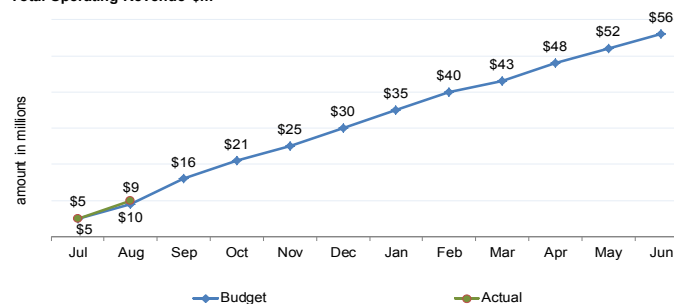
2% of operating revenue is paid in interest. Our set limit is 20% of operating revenue. Net interest is interest paid less interest received.

### Available financial accommodation to external 113%

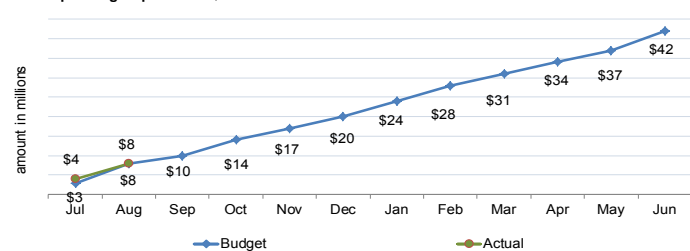
Net debt	\$76.19m
Undrawn committed facilities	\$10.00m

Committed bank facility to enable us to borrow at least 10% of our current external debt immediately, currently we can borrow 13% more than our current debt. Net debt is external debt less cash at bank.

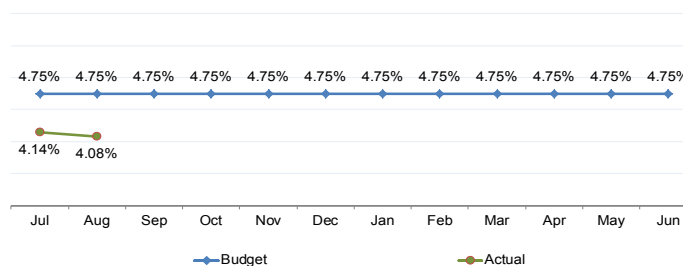
Total Operating Revenue \$m



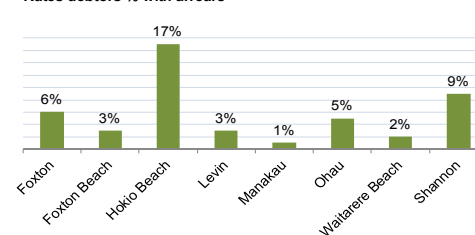
Total Operating Expenditure \$m



Interest rate movement



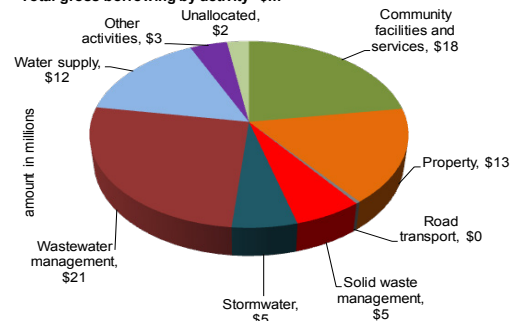
Rates debtors % with arrears



Sundry debtors by activities \$000



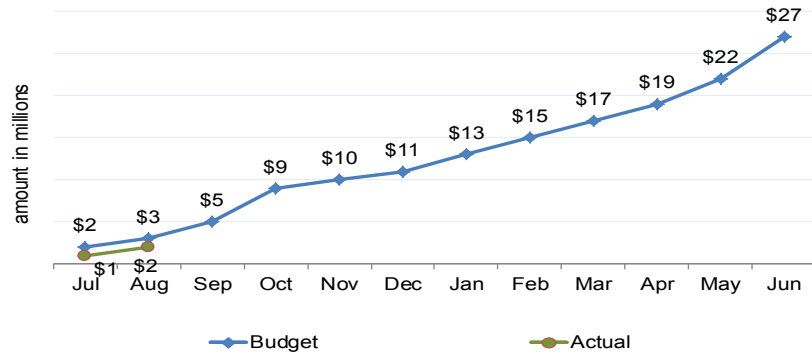
Total gross borrowing by activity \$m



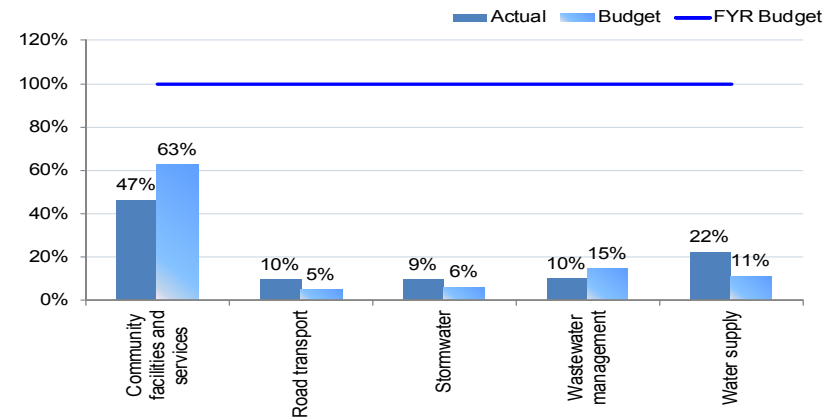


# Capital

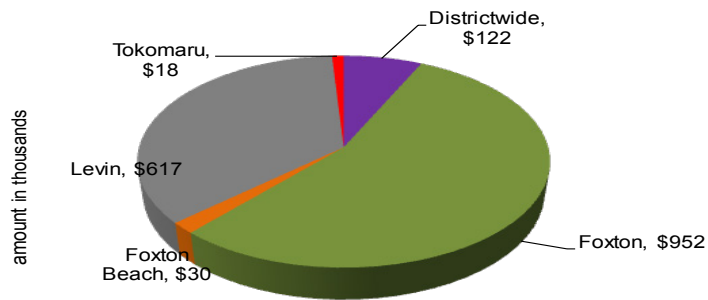
Total Capital Expenditure



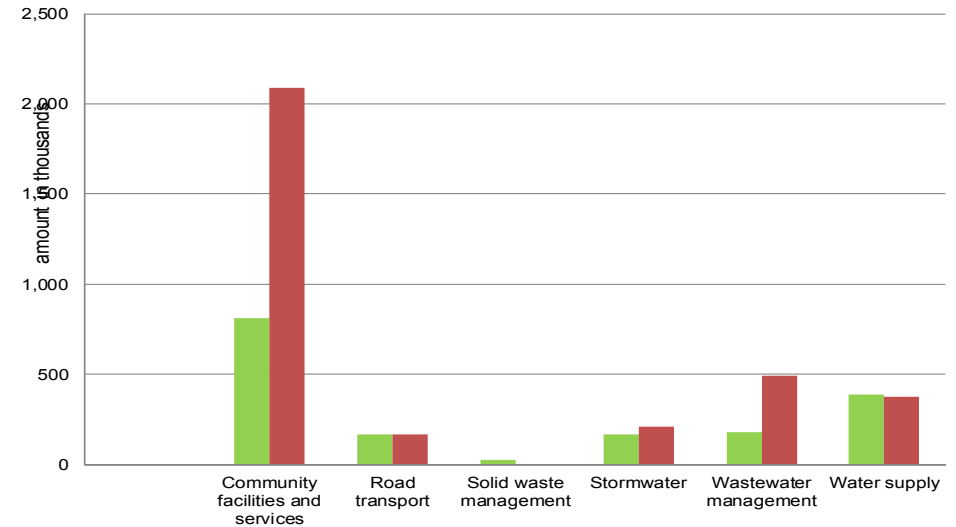
Capital Expenditure By Activity % Percentage



District View - Capital Expenditure \$000



Capital Expenditure By Activity \$000





## APPENDIX

Asset maintenance contract	General contract works, repairs, planned and unplanned maintenance, materials and consumables, cleaning and hygiene, inspections and reporting.
Finance cost	Interest on borrowings and interest on swaps.
Gains	Fair value revaluation gain and gain on sale.
General grants	Grants given to various organisations and individuals like Creative NZ, neighbourhood support, beach wardens, community development and youth scholarships.
Grants and subsidies	Grants and subsidies received from government and other organisations for roading, library, community hubs, cemeteries and aquatic centres.
Infringements and fines	Parking tickets, Prosecutions on WOFs and unregistered vehicles.
Employee benefits	Salaries and wages, training costs, FBT and ACC levies, superannuation, and staff recognition.
Other expenses	Printing, publication, postage, stationery, advertising, food and catering, photocopying, internet and communication and any other office expenses.
Professional services	Consultants, contractors, membership fees, legal fees, lab services, audit fees or any other professional services charges.
Regulatory revenue	Planning fees, building fees, animal fees, liquor fees and health fees.
Rendering of services	Commissions, car income, and any other income received for rendering services.
Rental income	Rent from Halls, residential and commercial properties, grazing land, reserves and other lease income.
Targeted rates	Rates for roading, waste management, representation and governance, stormwater, wastewater, water by meter and water supply.
User charges	Revenue received from admission, shop sale, Cemetery fees, trade waste, utility connection, events and exhibitions.
Utilities	Water use, electricity and gas charges



# Infrastructure Projects Update

File No.: 17/438

## 1. Purpose

To update the Finance, Audit & Risk Subcommittee on the projects being undertaken by the Projects' team.

## 2. Recommendation

- 2.1 That Report 17/438 Infrastructure Projects Update be received.
- 2.2 That this matter or decision be recognised as not significant in terms of s76 of the Local Government Act 2002.

## 3. Background/Previous Council Decisions

Information is provided in the attached reports.

## 4. Issues for Consideration

There are no issues for consideration.

## Attachments

No.	Title	Page
A	NE Levin Stormwater	22
B	Water Reticulation Renewals 2016/17	28
C	Te Awahou Nieuwe Project Update	34


### Confirmation of statutory compliance


In accordance with section 76 of the Local Government Act 2002, this report is approved as:


- a. containing sufficient information about the options and their benefits and costs, bearing in mind the significance of the decisions; and,
- b. is based on adequate knowledge about, and adequate consideration of, the views and preferences of affected and interested parties bearing in mind the significance of the decision.

## Signatories

Author(s)	Gerry O'Neill Projects Manager	
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Approved by	Dan Gerrard Alliance Manager	
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	Gallo Saidy <b>Group Manager - Infrastructure Services</b>	
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<p><b>To: Finance, Audit &amp; Risk Committee</b>  <b>CC: Gallo Saidy – Group Manager Infrastructure Services</b>  <b>Engineers Representative : Ronaldo Serrano</b>  <b>Project Manager: Garth Flores</b></p>	<p><b>PROJECT STATUS REPORT</b>  <b>AS OF 25 AUGUST 2017</b>  <b>CONTRACT 901/2016/62</b>  <b>NORTH-EAST QUADRANT LEVIN</b>  <b>PROJECT PHASE:</b>  <b>PLANNING &amp; CONSTRUCTION</b></p>	<p><b>Overall Project Status</b></p> <p style="text-align: center;"></p>
<p><b>Project Manager Satisfaction Index (1 poor, 10 excellent)</b></p>		<p><b>7</b></p>



On Schedule



Not progressing as scheduled but no impact on deliverables



Off Track



Completed



Not Started

## PROJECT OBJECTIVES AND STATUS

- **Purpose**

The purpose of this report is to update the Finance, Audit & Risk Committee on the progress to date on the North-East (NE) Levin Quadrant Stormwater Upgrade project.

- **Progress up to 25 August 2017**

Significant milestones achieved during the reporting period include:

- The new Kennedy rising main was successfully tested and connected to the new Fairfield pipeline.
- A new 750 mm concrete pipe connecting the water race to the new stormwater pipeline on Fairfield was installed.
- The second chip seal coat was installed along Kennedy Drive.
- The pipe outlet was relocated downstream from the corner of Roslyn and Fairfield Roads and the contractor is completing the outlet works.
- Raukawa and Muaupoko have been asked to submit a cultural impact assessment (CIA).
- HDC have requested Higgins for a price to install a new gravity sewer main along Fairfield Road.

- **Key actions to progress this project over the next month**

- Installation of new pumpstations at Kennedy Park and Okarito Avenue.
- HDC to evaluate new gravity sewer main price.
- Higgins to commence sewer main installation if approved.
- Fairfield Road refurbishment to commence.

- **Project Frustrations**

- Poor weather continues to hamper progress.

Once the CIA is completed, HDC will submit resource consent application to Horizons Regional Council. This is estimated to be in November 2017.

**Project value add:** Surplus soil from the project excavations has been used as intermediate capping at the Levin landfill, reducing the need to source this material from elsewhere.

### Kennedy Park Pumpstation and Rising Main Upgrades

Key Milestone / Deliverable	Due Date	Status	% Complete	Progress
Investigation and Concept Design	August 2016	C	100%	Completed.
Tender Review and Evaluation	January 2017	C	100%	Completed.
Supply of Pumps	September 2016	C	100%	Completed.
Pumpstation Retrofitting	May 2017	NI	0%	Not started.
Rising Main Installation	May 2017	C	100%	Completed.
Road Reinstatement	July 2017	NI	95%	Remain section at Kennedy Park and Fairfield Intersection to be completed.
Project complete	July 2017	NI	0%	Not started.


### Fairfield Road Stormwater Pipeline

Key Milestone / Deliverable	Due Date	Status	% Complete	Progress
Investigation and Concept Design	August 2016	C	100%	Completed.
Tender Review and Evaluation	January 2017	C	100%	Completed.
New Pipeline with limited discharge end structure	June 2017	NI	95%	Wingwall installed. Gabions and "choke-plate" to be installed.
Rehabilitate Fairfield Road	December 2017	NI	0%	Main rehabilitation works postponed until after winter.
Remove modified end-structure	December 2017	NI	0%	Not started.
Project complete	December 2017	NI	0%	Not started.

### Koputaroa Stream Improvements

Key Milestone / Deliverable	Due Date	Status	% Complete	Progress
Investigation and Concept Design	Feb 2017	NI	90%	
Consenting Process	June 2017	OT	50%	The consent will be submitted once the Cultural Impact Assessments are completed.



Key Milestone / Deliverable	Due Date	Status	% Complete	Progress
Construction	April 2018		0%	

**Expenditure on the project**

Description	Expenditure	Contract Price / Budget	Available	% Spent
KSB Pumps	\$39,366.60	\$44,564.00	\$5,197.40	88%
Assmuss Pipes	\$53,782.55	\$52,727.99	-\$1,054.56	102%
Kennedy/ FF Pipelines	\$930,533.65	\$2,743,632.14	\$1,813,098.49	51%
Stream Improvements (Estimated budget)	\$-	\$250,000.00	\$250,000.00	0%
Contingency	\$-	\$150,000.00	\$150,000.00	0%
<b>TOTAL</b>	<b>\$1,023,682.80</b>	<b>\$3,240,924.13</b>	<b>\$2,217,241.33</b>	<b>32%</b>

Notes:

The increase in the Assmuss costs was due to additional cost for hiring a “hi-ab” to unload the pipes.

Project Risks

Risk Number	Name	Description	Mitigation measures
Risk 001	Construction risks	<i>The construction will have deep excavations.</i>	Contractors will need safe working procedures and trench shields to eliminate / mitigate these and other construction risks.
Risk 002	Construction Risks	<i>There are many unknown service crossings in the area.</i>	Contractors to have a safe work procedure to confirm if the unknown service is live or obsolete before proceeding.
Risk 003	Health and Safety	<i>Traffic Management on this section of the road has been challenging to date.</i>	Contractor is using temporary traffic lights to assist traffic management when required.
Risk 004	Public Safety	<i>There is a risk to the public if they enter work areas.</i>	Adequate site signage and cordon off works areas.
Risk 005	Consenting risk	<i>If affected parties object to the consent application, the consent process may be drawn out.</i>	HDC completed hydrological modelling which confirmed there will be less than minor negative impacts if the stormwater is attenuated upstream of SH57. HDC officers have been in ongoing consultation with iwi, farmers and HRC to determine what the expected conditions will be for the consent to be granted.



**Finishing up earthworks around the relocated outlet (August 2017).**

*The outlet was moved downstream to protect the electrical pole that is next to the outlet and to provide more space at the road intersection. The contractor will install gabion retaining walls around inlet to protect against erosion and scour.*



*New 750 mm pipe being installed to connect water race to new pipeline.*

**New 750 mm connection at 36A Fairfield Road.**



*Temporary sandbags around pipe*

<p><b>To: Finance, Audit &amp; Risk Committee</b>  <b>CC: Gallo Saily – Group Manager Infrastructure Services</b>  <b>Project Manager: Gerry O’Neill</b>  <b>Engineers Representative: Ronaldo Serrano</b></p>	<p><b>PROJECT STATUS REPORT #5</b>  <b>AS OF 25 August 2017</b>  <b>CONTRACT 901/2016/57 WATER MAIN</b>  <b>RETICULATION RENEWALS 2016/17</b>  <b>PROJECT PHASE : CONSTRUCTION</b></p>	<p><b>Overall Project Status</b></p> <p style="text-align: center;"><b>OS</b></p>
<p><b>Project Manager Satisfaction Index (1 poor, 10 excellent)</b></p>		<p><b>8</b></p>

OS On Schedule    
 NI Not progressing as scheduled but no impact on deliverables    
 OT Off Track    
 C Completed    
 NS Not Started

## PROJECT OBJECTIVES AND STATUS

### Project Summary

This project was for the renewal of approximately 615m of 100mm diameter and 380m of 63 mm diameter water mains and the associated laterals. 770m of 150mm water main on Bartholomew Road was subsequently added as a variation to the contract. The renewals of mains are in the following areas in Levin:

- Rata Street - Levin



- McKenzie Street - Levin







- William Street



- Beatty Street



**Legends**

Planned	
Laid and tested	
Deleted due to revision	
Commissioned	

### Variation works

Bartholomew Road (from Bath Street to Liverpool St)



The Contract was awarded to Higgins Contractors Ltd (Levin) and the revised completion date is 15 September 2017. The completion date has been revised from the original 30 June 2017 as a result of the additional works on Bartholomew Road that were added as a variation, and the unseasonable poor weather in July and August that prevented the contractor from completing the road reinstatement.

The total budget for this project is \$ 764,453.87 which is split as follows:

- Construction component: \$ 702,403.87 (inclusive of contingency)
- Project management: \$ 62,050.00 (HDC staff costs plus miscellaneous costs for surveys, newspaper ads etc.)

The work is being completed using a combination of trenchless and open trench methodology.

## General

At the time of writing this report all the works on Rata Street, McKenzie Street, Beatty Street and William Street have been completed including the footpath reinstatement. The road reinstatement for the variation works on Bartholomew Road has been delayed due to the unseasonably high rainfall during the months of July and August. (Carrying out road works when the underlying basecourse does not meet the required moisture specifications can lead to the road surface prematurely failing requiring rework).

The contractor has laid and commissioned 750m out of 770m of 150mm diameter PVC water main on Bartholomew Road. There is one final connection to be undertaken on Liverpool Street which will be completed at the end of the month. All existing house service connection have been transferred to the newly commissioned line along Bartholomew Road

## Financial

<i>Description</i>	<i>Expenditure</i>	<i>Contract Price / Budget</i>	<i>Available</i>	<i>Percentage Expenditure</i>
Contract Cost	\$265,797.88	\$346,736.70	\$80,938.82	77%
Variation - Bartholomew	\$242,078.80	\$355,667.17	\$113,588.37	68%
Project Management Cost	\$56,961.00	\$65,000.00	\$8,039.00	87%
Contingency Sum <sup>1</sup>	\$1,039.40		-\$1,039.40	100%
<b>TOTAL</b>	<b>\$565,877.08</b>	<b>\$767,403.87</b>	<b>\$201,526.79</b>	<b>73.74%</b>

## Variations to Date

- Variation 1 – Installation of 770m of 150mm uPVC on Bartholomew Road. With associated fittings and pavement reinstatement.
- Time extension to 31 July 2017 due to the additional works
- Time extension to 15 September 2017 (with no associated cost) due to unseasonable weather during July and August 2017

The renewal of Bartholomew Road was initially planned for 2017/18, and was brought forward to 2016/17.








## Open Risks

Poor weather may delay the project further.

## Open Issues

There are currently no open issues

<sup>1</sup> For Downer water shutdown costs and public notice

Key Milestone / Deliverable	Due Date	Status	% Planned (based on total length of main)	% Complete (based on total length of main)	Progress
Project Planning with Contractor	Start date 14 Nov 2016 End date 30 Nov 2016		100%	100%	Complete.
Rata Street Main 190m	Start 9 Jan 2017 End 29 March 2017		100%	100%	Completed
McKenzie Street Main 170m	Start 7 Dec 2016 End 20 April 2017		100%	100%	Completed
William Street and Beatty Street	Start 25 Jan 2017 End 27 Feb 2017		100%	100%	Completed
William St 208m -100mm 208m – 63mm			100%	100%	Completed
Beatty St 220m – 100m	Start 31 Jan 2017 End 22 May 2017				
Bartholomew St	Programme Revised Completion Date 31 July 2017		100%	100%	Commissioned and Completed
<ul style="list-style-type: none"> <li>Bath St to Meadowvale Road Section</li> <li>Meadowvale Road to Liverpool St Section</li> </ul>			0 %	95%	Outstanding works include connection of new 150mm PVC to 375mm steel pipe trunk main at Liverpool/Bartholomew Road intersection and final road sealing.



Construction Progress Photos



*Valve Replacement*



*FootPath Concreting*




*Bacterial Test (sampling)*








*Pavement (Road) Restoration (Chip Sealing)*



*Preparation for Road Sealing*

<p><b>To: Mayor and Councillors</b> <b>CC: David McCorkindale – Senior Manager Strategic Planning</b> <b>Project Manager: Cathy McCartney</b></p>	<p><b>PROJECT STATUS REPORT</b> <b>AS OF 12 September 2017</b> <b>CONTRACT 903/2016/18</b> <b>Te Awahou Nieuwe Stroom</b> <b>PROJECT PHASE</b> <b>Construction</b></p>	<p><b>Overall Project Status</b></p> <p style="text-align: center;"> OS</p>
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 On Schedule  
 Not progressing as scheduled but no impact on deliverables  
 Off Track  
 Completed  
 Not Started

## 1. PROJECT OBJECTIVES AND STATUS

Te Awahou Nieuwe Stroom is a community led world-class, multi-purpose cultural heritage centre providing a community hub for the local community, Service Centre for Horowhenua District Council (the Council) placing Foxton firmly on the tourism map.

**The overall project consists of three main elements:**

- 1) Re-development of the Mitre 10 building into a world class multipurpose facility. Home to Piriharakeke Generation Inspiration Centre, Oranjehof, Dutch Connection Centre, library and Council Services centre, including meeting rooms and spaces for hire.
- 2) Construction commenced on the re-development of the building in June 2016 and final inspection will take place on Friday 20 September.
- 3) Internal fit out is being completed by Workshop e. The development of the Piriharakeke Generation Inspiration Centre is being led by Te Taitoa Maori o Te Awahou and involves 10 hapu from Ngati Raukawa ki te Tonga. Oranjehof, Dutch Connection Centre is being led by the Dutch Connection Museum Trust. Library, Foxton history area and Council Service Centre is led by Council in conjunction with stakeholder groups.
- 4) Landscaping of Flax Mill Reserve.

### Fundraising

The Council in partnership with Te Taitoa Maori o Te Awahou and Dutch Connection Museum Trust have submitted funding applications to the following entities and been successful in securing the following amounts towards the overall project;

- Lotteries Significant Projects \$750,000
- Lotteries Community Facilities \$500,000
- Lotteries Environment and Heritage WW1 \$500,000
- Eastern and Central Community Trust \$170,000
- Ministry of Culture and Heritage \$1,026,450

Funding was also allocated from the Foxton Beach freeholding Account.

**Shared Gallery with trespa wall covering**



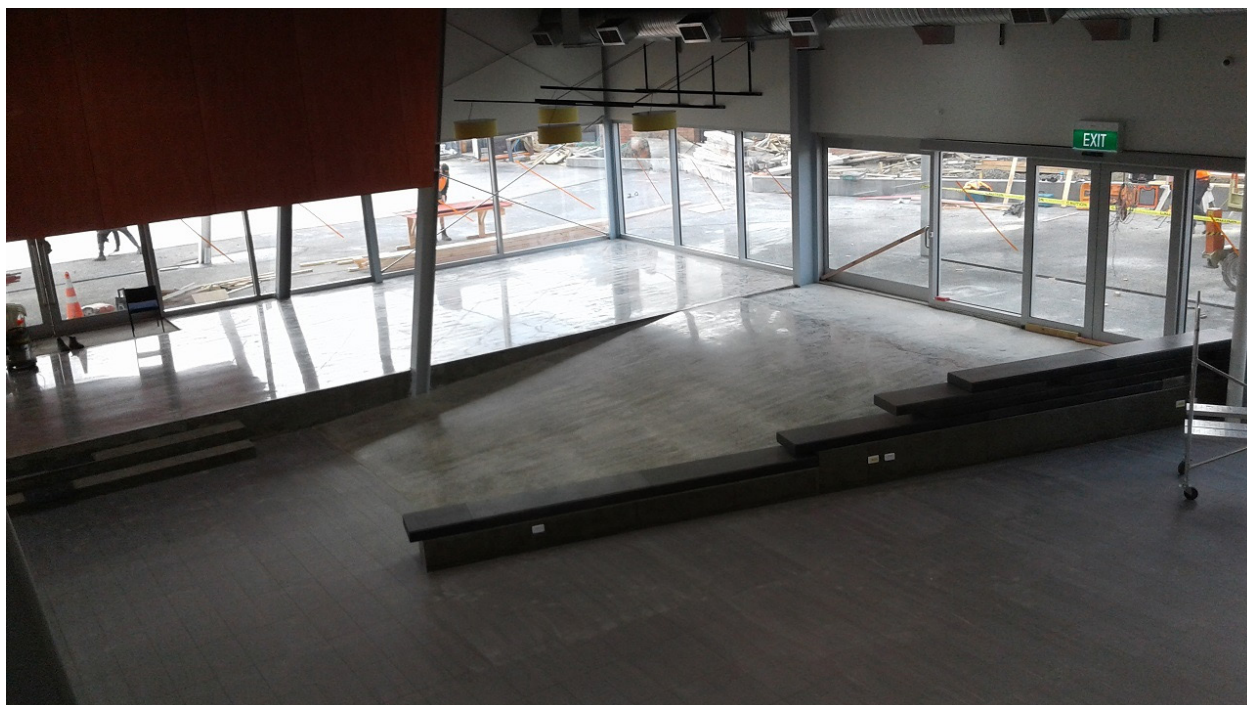
**Risks Register**

There are no open risks.

**Issues Register:**

There are some issues with the carpet however, these are being worked through with the manufacturer, the supplier and the installer.

Main entrance and foyer looking into the café.





River loop meeting room.

Mezzanine floor looking towards the river loop end of the building.



Key Milestone / Deliverable	Due Date	Status	% Planned	% Complete	Progress
Base Build Contract signing completed	June 2016	C	100%	100%	Base build contract is signed and construction underway
Construction Completed	29 September 2017	OS	100%	100%	Main construction is complete. Some minor remedial touch ups required to painting.
Commissioning of HVAC, fire and security	18 September 2017	OS	100%	100%	On schedule
Fit out underway	20 October 2017	OS	100%	80%	On schedule
Landscaping	20 October 2017	OS	100%	40%	On schedule
Climate Control testing by Te Papa Tongarewa to enable installation of objects	18 September 2017	OS	100%	0%	On schedule
Official Opening	18 November 2017	OS	100%	80%	On schedule

### Project Financials – Contract Awarded

Description	Expenditure	Contract Price	Approved Variations	
Caldow Builders Contract	\$5,019,426.00	\$4,394,800.00	\$624,626.000	
<b>TOTAL</b>	<b>\$5,019,426.00</b>	<b>\$4,394,800.00</b>	<b>\$624,626.00</b>	<b>\$5,019,426.00</b>

### Approved variations

- Heating, Ventilation and Air Conditioning system QS estimate was \$586,425. Quotes received from the market place provided pricing of \$806,032..
- Preliminaries and early set up work came in over the estimated pricing due to the unseasonally wet weather conditions which led to a review of the engineering and a modification to plans.

- Carpentry has also come in over the estimated price. This is due to the decision to have the plywood reflect the negative detail of the rest of the building and not cover the joins in the ply with battens. The effect of this decision is an exceptional feature of the building.
- The original decision on the cladding for the exterior walls was changed to a product called Trespa that has a 20 year life span with little to no maintenance. Trespa is a laminated wall board with the colour bonded through the product, it doesn't require painting. It requires a wash every six months to maintain. The decision was made to move to this product as it would eliminate on-going painting maintenance costs for 20 years.

### Project Budgets

Year	Original Budget	Carryover	Published Annual Budget	Actual spend as per annual report
2013-14	\$1,650,000		\$1,650,000	\$1,058,206
2014-15		\$808,255	\$808,255	\$921,862
2015-16	\$2,683,500		\$2,683,500	\$812,999
2016-17	\$2,750,588	\$2,133,968	\$4,884,556	\$5,989,032
2017-18	\$1,320,000		\$1,320,000	\$730,774 <sup>2</sup>
<b>TOTAL</b>	<b>\$8,404,088</b>			<b>\$8,599,756</b>

Budget spend YTD

File No.: 17/484

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## Electronic Communications (E-mail Quarantine) Policy

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### 1. Purpose

To present for the Finance Audit and Risk Subcommittee's (Committee) consideration a draft Electronic Communications (E-mail Quarantine) Policy as resolved during the confidential part of the Committee's meeting on 9 August 2017.

### 2. Recommendation

- 2.1 That Report 17/484 Electronic Communications (E-mail Quarantine) Policy be received.
- 2.2 That this decision is recognised as not significant in terms of S76 of the Local Government Act
- 2.3 That the draft Electronic Communications (E-mail Quarantine) Policy be recommended to Council for adoption subject to any comment/feedback received from the Office of the Ombudsman, Office of the Privacy Commissioner and external legal review.

### 3. Background / Previous Council Decisions

- 4.1 On 9 August 2017 the Committee considered a Peer Review of the original (unaccepted) Sensitive Expenditure Internal Audit Report undertaken in March of this year.
- 4.2 In summary the KPMG Peer Review found:
  - That the original (unaccepted) Sensitive Expenditure Internal Audit Report was not supported by appropriate working papers and therefore the findings could not be validated.
  - That six of the findings those being; KPI's, performance management, restructuring, council vehicle speeding, GPS removal, and email "blocking" process would not normally be included in the scope of a sensitive expenditure review.
  - That the Horowhenua District Council (HDC) should cease quarantining / vetting of emails into the domain in order to develop a robust process in order to protect all staff and elected officials health and safety.
- 4.3 The six findings were grouped in to three categories and assigned a risk rating by the original (unaccepted) Sensitive Expenditure Internal Audit as below:
  - Issues of Governance by Chief Executive (CE) of HDC (Extreme Risk)
  - Blocking of Emails (Extreme Risk)
  - Issues of Fleet Management (High Risk)
- 4.4 Importantly the KPMG Peer Review reviewed the risk associated with these issues and found the following:
  - Issues of Governance CE – **LOW Risk**
  - Blocking of Emails - **Not able to Determine**
  - Issues of Fleet Management - **LOW Risk**

- 4.5 On 9 August 2017 the Committee resolved that the practice of quarantining emails was to cease pending the development of a policy framework designed to protect staff and others with an HDC email address from inappropriate emails. It was requested that a policy (including an appropriate reporting framework) be brought back to the Committee for consideration and approval.

#### 4. Discussion

- 5.1 The draft Electronic Communications (E-mail Quarantine) Policy (“**the policy**”) has been developed by a working group consisting of Officers who are familiar with relevant legislation such as the Privacy Act 1993, New Zealand Bill of Rights Act 1990 (“**NZBORA**”), Local Government Official Information and Meetings Act 1987 (“**LGOIMA**”), Public Records Act 2005 and the Local Government Act 2002 as well as having a broad range of experience in relevant fields (for instance, information management and information technology) in local government and/or the private sector.
- 5.2 The policy balances Council’s obligations and individuals’ rights under the Privacy Act 1993, LGOIMA, Public Records Act 2005, Local Government Act 2002 and NZBORA against Council’s obligations to protect it’s staff’s health and safety and the health and safety of elected representatives. It is important to note that health and safety includes an individual’s mental wellbeing.
- 5.3 The policy and associated procedures largely document and strengthen what has been historic practice around the quarantining of e-mails.

##### What is quarantining?

- 5.4 Under the policy, the quarantining of e-mails means the redirection of e-mails from the individual staff member(s) the e-mail is addressed to, to a separate and restricted electronic storage location (for instance, another e-mail inbox) prior to that e-mail being received by the specific recipient.
- 5.5 In many ways this can be compared to the practice of envelopes being opened by a dedicated Officer or team who then ensure the letter is stored appropriately and delivered to the intended recipient.

##### What is the ‘quarantine list’?

- 5.6 The quarantine list is a term used in the policy to describe the records kept of individuals and their e-mail addresses which are subject to the quarantine.

##### What happens to quarantined e-mails?

- 5.7 Under the policy, when an e-mail is redirected, the e-mail will be reviewed by a Privacy Officer (Council currently has two Privacy Officers, the Information Manager and Legal Counsel) who will review the contents of the e-mail and will make a determination as to whether:
- the e-mail will be released in full;
  - the e-mail will be released with any breaches of the policy redacted (for example, racist slurs would be redacted);
  - the e-mail will not be released but specific questions or comments (legitimate business content) will be provided to the appropriate staff member(s); or
  - the e-mail will not be released or responded to as it contains no legitimate business content.



- 5.8 The above does not limit Council's ability to refer the e-mail to the appropriate authorities (for example, the New Zealand Police).

**How does an individual get placed on the quarantine list?**

- 5.9 The policy provides for three categories of breaches, these are minor, major and extreme and are defined in section 5.
- 5.10 Both minor and major breaches permit Officer discretion for referral as we acknowledge that different people have different levels of tolerance to certain language and images. We also understand that some individuals naturally use colourful language but it is not done in an offensive or intimidating way.
- 5.11 If an Officer decides to refer a minor or major breach, the referral and offending e-mail will be sent to a Privacy Officer for a determination as to whether the e-mail breaches the policy and for appropriate record-keeping. If the breach is sufficiently serious, the Privacy Officer may also refer it to the Group Manager – Corporate Services and/or the Chief Executive Officer.
- 5.12 If an individual commits 3 minor breaches of the policy within a 12 month period then all further minor breaches will be treated as major breaches. The same applies for major breaches except all future breaches will be treated as extreme breaches.
- 5.13 If an individual has previously breached the policy, an extreme breach will result in the individual having all future e-mails quarantined for a period of 6 months unless the quarantine period is extended due to ongoing breaches. If an individual's first breach of the policy is an extreme breach they will be sent a warning letter.

**How will people know about the policy and its application?**

- 5.14 Each time an individual breaches the policy an e-mail will be sent to the individual informing them of the breach, the existence of this policy and the consequences of repeat breaches. In addition, when an individual is placed on the quarantine list they will be sent an e-mail advising them of this and what that means. Standardised responses have been provided in the policy to ensure consistent messaging.
- 5.15 Under the Privacy Act 1993, individuals can request information on the application of the policy to them. For example, an individual can request confirmation as to whether or not they are on the quarantine list or how many breaches they have committed in the last 12 month period.
- 5.16 Council Officers will also place a copy of the policy on Council's website and provide a link to the policy in the standard e-mail signature block/footer.
- 5.17 Under no circumstances would an individual be placed on the quarantine list without prior knowledge of this policy unless they are willfully ignorant, that is, they are provided with information on the policy but refuse to read it.

**What happens when an individual is removed from the quarantine list?**

- 5.18 When an individual is removed from the quarantine list, the escalation of breaches starts anew with the exception of extreme breaches. Individuals will not have the benefit of a warning if their first breach following removal from the quarantine list is an extreme breach.

### Application to Elected Representatives

- 5.19 The policy makes provision for elected representatives, notably section 7 (which deals with elected representatives) and section 11 (which deals with reporting to this Subcommittee). Sections 7 & 11 do not come into effect unless and until approved by resolution of this Subcommittee, and subsequently Council.
- 5.20 As mentioned earlier, the working group was conscious of democratic principles when drafting the policy as well as technological limitations. Accordingly, the quarantine process and quarantine functionality that applies to staff does not apply to elected members.
- 5.21 Elected members will instead be offered support to manage their existing software which enables an individual to have their e-mails treated as 'spam' and be sent to a spam/junk inbox; or have e-mails redirected to a specific folder. This is considered to be consistent with the principle of democratic accountability, in that an elected representative should decide whether or not they engage with an individual, and if they choose not to engage, they can be held to account through the election process.
- 5.22 Further, it was considered that a generic quarantine for all elected representatives was not appropriate for a democracy where individual members of the community will have very different relationships with different elected members.
- 5.23 In section 7, elected representatives are encouraged to follow the same processes as staff are required to follow. However, the ultimate discretion remains with elected representatives.
- 5.24 The reporting requirements provided in section 11 are considered to be suitable for the FAR Subcommittee to understand and monitor the policy's application without disclosing any personal information of those affected by the policy. Section 11 provides for mandatory reporting no less than half yearly.

### What other safeguards are put in place?

- 5.25 In addition to reporting to this Subcommittee, a Privacy Officer and Council's IT Operations and Projects Manager (who will be responsible for application of the IT components) will meet no less than once per month to reconcile their records and ensure no individuals are on the quarantine list who shouldn't be.
- 5.26 Further, the Chief Executive Officer must be informed if and when an individual is placed on the quarantine list. Reporting will also be provided to the Leadership Team through usual reporting processes.
- 5.27 Given the process required for an individual to be placed on the quarantine list, the risk of an individual being accidentally placed on the quarantine list is considered to be very low.
- 5.28 The policy also puts in place provision for individuals who are alleged to have breached the policy, and received correspondence to that effect, to complain to the Chief Executive Officer. This does not limit the Chief Executive Officers general power of delegation. If the Chief Executive Officer is the subject of a complaint then the complaint must be delegated to a Group Manager to investigate.

### Review

- 5.29 The policy has been sent for legal review by Council's solicitors and also sent to the Office of the Ombudsman and the Office of the Privacy Commissioner to provide comment prior to implementation of the policy.

## 5. Options

Council has the option to adopt the policy (as written) or adopt the policy (with amendments). Given the findings of the KPMG Peer review report Council would be placing itself at risk to not have a policy framework to guide any future necessary quarantining of emails.

### 5.1 Cost

There is no additional cost related to the adoption or implementation of the policy other than that associated with a proposed legal review by an external solicitor.

#### 5.1.1 Rate Impact

There will be no rate impact arising.

### 5.2 Community Wellbeing

The policy has been designed to ensure that there are no negative impacts on the well being of the Community. In particular the policy (and related procedures) ensure that any emails that are subject to quarantine are still reviewed by Council's Privacy Officer and any legitimate content is forwarded to the appropriate part of the HDC for action/response.

### 5.3 Consenting Issues

Not applicable.

### 5.4 LTP Integration

Not applicable.

## 6. Consultation

Comment/feedback has been sought from the Office of the Ombudsman, Office of the Privacy Commissioner and Council's lawyers.

## 7. Legal Considerations

The policy has been forwarded to Buddle Findlay for review. Any legal advice received will be tabled at the Committee meeting.

## 8. Financial Considerations

There are no financial considerations.

## 9. Other Considerations

There are no other considerations.

## 10. Next Steps

Following consideration by the Committee, it will go to full Council for adoption.

### **Confirmation of statutory compliance**

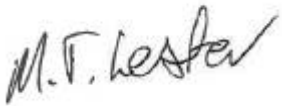
In accordance with section 76 of the Local Government Act 2002, this report is approved as:

- a. containing sufficient information about the options and their benefits and costs, bearing in mind the significance of the decisions; and,
- b. is based on adequate knowledge about, and adequate consideration of, the views and

preferences of affected and interested parties bearing in mind the significance of the decision.

## 11. Appendices

No.	Title	Page
A	DRAFT - Electronic Communications (E-mail Quarantine) Policy - September 2017	45

Author(s)	Mark Lester <b>Acting Group Manager - Corporate Services</b>	
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Approved by	David Clapperton <b>Chief Executive</b>	
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# Electronic Communications (E-mail Quarantine) Policy

Departmental Responsibility	TBC
Contact	TBC
Approval	Leadership Team
Date Approved	TBC
Next Review	TBC
TRIM Doc. No.	TBC

## 1. Purpose

The purpose of this policy is to ensure Council staff and elected members are protected from inappropriate e-mail correspondence whilst ensuring Council has robust processes around the quarantining of e-mails and to ensure it is transparent in how it applies the policy.

## 2. Scope

This policy applies to all e-mail correspondence to and from Council's e-mail domain (including Aquatics and Library Services) whether solicited or not.

## 3. Commencement

This policy comes into effect on XX Month 20XX.

## 4. Definitions

In this policy, unless the context otherwise requires:

- (a) "**Council**" means Horowhenua District Council.
- (b) "**Elected member**" means a member of the governing body of Council or community board elected under the Local Electoral Act 2001 (His Worship the Mayor, Councillors and Community Board Members).
- (c) "**Foul or offensive language**" means words, whether intended or not, that offend, intimidate, or otherwise cause emotional or psychological harm to the recipient and/or staff and includes content that incites hatred against, promotes discrimination of, or disparages an individual or group on the basis of their race, ethnic origin, religion (or lack thereof), disability, age, nationality, veteran status, sexual orientation, gender, gender identity, or other characteristic that is associated with systematic discrimination or marginalisation.

- (d) **“Inappropriate or explicit imagery”** means pictures, images or videos containing or promoting violent language, gruesome or disgusting imagery, graphic images of physical trauma, gratuitous portrayals of bodily fluids or waste, foul or offensive language, cruelty or gratuitous violence towards animals and/or pornographic images.
- (e) **“IT Operations and Projects Manager”** includes members of the IT Team who, from time-to-time, are delegated responsibilities under this policy by Council’s IT Operations and Projects Manager.
- (f) **“Privacy Officer”** means a staff member appointed as a Privacy Officer pursuant to section 23 of the Privacy Act 1993.
- (g) **“Senior staff member”** means a staff member who is a member of Council’s Leadership Team or has been designated as a ‘senior staff member’ by Council’s Chief Executive Officer for the purpose of this policy.
- (h) **“Staff member”** means an employee or agent of Council and does not include elected members.
- (i) **“Quarantine list”** means a list, in any form and in one or more parts, of individuals and their e-mail address/es who have breached this policy and a decision has been made to quarantine e-mails from those individuals under this policy.
- (j) A reference to any law, legislation or legislative provision includes any statutory modification, amendment or re-enactment, and any subordinate legislation or regulations issued under that legislation or legislative provision.
- (k) Where the context requires or admits, words importing the singular will import the plural and vice versa.
- (l) References to sections and schedules are references to sections and schedules of this policy.

## 5. Misuse of e-mail correspondence

Council accepts the benefits of e-mail correspondence when used appropriately. However, it is not acceptable for anyone to use e-mail to unduly interfere with staff and their decision-making processes, to criticise staff, or to simply abuse and harass staff. Due to the instantaneous nature of e-mails, significant criticism, abuse and harassment can occur in a relatively short period of time.

Council has three categories of misuse of e-mail correspondence, they are:

- (a) **Minor breach** being general name calling;
- (b) **Major breach** being the use of foul or offensive language; the dissemination of confidential information (whether or not that person has legitimately obtained that information); and/or inappropriate or explicit imagery; and
- (c) **Extreme breach** being threatening or explicit commentary; and/or the use of foul or offensive language and/or inappropriate or explicit imagery that is targeted at a specific staff member (whether or not that staff member is the recipient of the e-mail).

For clarity, criticism of a staff member or Council does not, on its own, constitute a breach of this policy.

If there is any question as to whether a breach is a breach or a minor, major or extreme breach a Privacy Officer will make a determination which shall be final.

## 6. Consequence of misuse of e-mail correspondence to staff members

In the event of misuse of e-mail correspondence Council will:

- (a) In the case of a **minor breach**, the staff member receiving the e-mail may either:
  - choose to ignore the breach; or
  - refer the e-mail to a Privacy Officer with the staff member's manager cc'd in; and
  - the Privacy Officer will ensure a record is kept of the referral from the staff member and the relevant e-mail itself and will send an e-mail to the person who breached this policy in accordance with the templates provided in the First Schedule
- (b) In the event of **three minor breaches** within a 12 month period, any further minor breach will be treated as a **major breach** and Council's Privacy Officer will send an e-mail to the person who breached this policy in accordance with the templates provided in the First Schedule.
- (c) In the case of a **major breach**, the staff member receiving the e-mail may either:
  - choose to ignore the breach; or
  - refer the e-mail to a Privacy Officer with the staff member's manager cc'd in; and
  - the Privacy Officer will ensure a record is kept of the referral from the staff member and the relevant e-mail itself and will send an e-mail to the person who breached this policy in accordance with the templates provided in the First Schedule.
- (d) In the event of **three major** breaches within a 12 month period, the sender will be placed on Council's quarantine list and a Privacy Officer will send an e-mail to the person who breached this policy in accordance with the templates provided in the First Schedule.
- (e) In the case of an **extreme breach**, the staff member receiving the e-mail **must**:
  - refer the e-mail to a Privacy Officer with the staff member's manager cc'd in; and
  - the Privacy Officer will ensure a record is kept of the referral from the staff member and the relevant e-mail itself and will send an e-mail to the person who breached this policy in accordance with the templates provided in the First Schedule; and
    - if the extreme breach is the first and only breach from that individual then the e-mail will be sent advising that any further breaches will result in that person's name being placed on Council's quarantine list; or
    - if the extreme breach is the second or subsequent breach (regardless of whether the previous breach was minor, major or extreme) from that individual then that individual will be placed on Council's quarantine list and an e-mail will be sent to the individual informing them of this.

Once an individual has been placed on the quarantine list, no further correspondence is required to be sent for subsequent breaches.

## 7. Consequences of misuse of e-mail correspondence to elected members

E-mails sent to elected members (His Worship the Mayor, Councillors and Community Board members) are not subject to Council's quarantining process.

If an e-mail to an elected member does get quarantined as a result of a decision to quarantine e-mails from a specific e-mail address to staff members, then that e-mail will, upon its discovery, be immediately released to the elected member/s the e-mail is addressed to.

Elected members may, in their absolute discretion, choose to 'block' an e-mail address or to redirect e-mails from an individual to their 'spam', 'junk mail' or other folder of their choosing using standard e-mail settings. In deciding whether to 'block' and e-mail address or redirect e-mails from an individual, an elected member should follow the same process contained in section 6.

It is for the elected member to decide whether and how to communicate their actions to the individual/s concerned. However, the elected member should follow the same process as set out in section 6.

Elected members will refer e-mails received which breach this policy, and which the elected member has chosen not to ignore, along-with details of action taken to the Governance and Executive Support Team Leader for referral to a Privacy Officer so that a record may be kept of the breach and action taken for reporting purposes.

Elected members may request support from, and that support will be provided by, Council's IT Team to block an e-mail address or have e-mails from a specific address redirected to the elected member's 'spam', 'junk mail' or other folder using standard e-mail software (e.g. Microsoft Outlook). Requests for support by elected members are to be sent to the Governance and Executive Support Team Leader for referral to the IT Team.

Staff members will not comment on any decision of an elected member to block an e-mail address or redirect e-mails from a specific address with the exception that a staff member may refer an individual to this policy and this section in particular.

## **8. Effect of quarantine list**

Following an individual's name being placed on Council's quarantine list, any e-mails received by Council, for staff attention, from that individual will, for a period of six months:

- (a) initially be redirected to a separate and restricted electronic storage location;
- (b) be reviewed by a Privacy Officer and, if appropriate, escalated to the Group Manager Corporate Services and/or Chief Executive Officer and a decision made as to whether the e-mail will:
  - (i) be released in its complete form to the intended recipient/s; or
  - (ii) be released to the intended recipient/s with breaches of this policy redacted/removed; or
  - (iii) not be released to the intended recipient/s but specific questions and/or comments will be provided to the intended recipient/s or another staff member for a response by the intended recipient/s of the original e-mail or another staff member; or
  - (iv) not be released and will not be responded to as the e-mail contains no legitimate business content.

The six month quarantine period is to be calculated from, and includes, the day the individual is placed on the quarantine list.



## 9. End of quarantine period

At the end of the quarantine period, Council's Chief Executive Officer may, following a referral by a Privacy Officer, instruct a Privacy Officer to extend an individual's quarantine period for a period of no more than six months, where:

- (i) During the quarantine period, the individual has continued to send e-mails which contain **minor, major** and/or **extreme breaches**; and
- (ii) The last e-mail sent containing a **major** or **extreme breach** was received by Council within three calendar months of the end of the quarantine period.

The quarantine period may continue to be extended for multiple periods of no more than six months until such time as the above criteria for extension are not met.

If the quarantine period is not extended under the above provisions, the individual's name will be removed from the quarantine list and the quarantining of e-mails for that individual will cease. This policy will then apply to that individual as if they had not previously breached the policy and been on the quarantine list.

## 10. Internal reporting requirements

Council's Information Manager, in conjunction with all Privacy Officers, is responsible for ensuring the following records are kept and are readily accessible:

- Copy of e-mails forwarded under this policy;
- Copy of staff e-mails referring the above e-mails;
- Name of persons and associated e-mail addresses on the quarantine list;
- Where persons have been placed on the quarantine list, the reasons for the quarantine;
- Date when persons were placed on the quarantine list;
- Date when persons are due to be removed from the quarantine list;
- Date when persons had their quarantine extended;
- Where persons have had their quarantine extended, the reasons for the extension; and
- Date when persons were removed from the quarantine list.

Council's IT Operations and Projects Manager is responsible for ensuring the following records are kept and are readily accessible:

- Name of persons and associated e-mail addresses quarantined;
- Date when persons were quarantined; and
- Date when persons are due to be removed from the quarantine list.

The Information Manager and IT Operations and Projects Member will reconcile their records not less than once per calendar month to ensure records are accurate.

Records must be kept for sufficient time to ensure compliance with Council's Information Management Policy and associated legislation and legislative instruments.

A Privacy Officer will report to the Chief Executive Officer whenever a person has been placed on, or is due to be removed from, the quarantine list.

## 11. FAR Subcommittee reporting requirements

The Chief Executive Officer will report to the Finance, Audit and Risk (“FAR”) Subcommittee no less than half yearly as to the operation of the quarantining system. The report will include:

- The total number of individuals on the quarantine list;
- Reasons for those individuals in terms of breaches committed.
- The length of time individuals have been on the quarantine list;
- The length of time until individuals are removed from the quarantine list;
- The number of individuals who have had their quarantine period extended, the length of the extension and the reason(s) for the extension;
- The total number of breaches which have occurred for the current financial year to date;
- The total number of complaints received under this policy;
- Non-identifying details of the complaints received (for example, ‘complaint that alleged breach was not a breach’);
- The number of complaints found to be justified; and
- Details of any breaches which have been referred to external authorities (e.g. NZ Police) and the outcome of those referrals.

No identifying details or information which would lead to the identification of the individuals on the quarantine list will be reported to the FAR Subcommittee regardless of whether or not elected members are aware of specific individuals on the quarantine list.

## 12. Complaints

Individuals who are alleged to have breached this policy and have received an e-mail or letter from Council acknowledging the breach may complain to the Chief Executive Officer on the grounds that:

- (a) The alleged breach was not a breach of this policy;
- (b) The alleged breach was of a lower category than that reported;
- (c) The complainant was incorrectly placed on the quarantine list;
- (d) The complainant was due to be removed from the quarantine list and has not been removed; or
- (e) There is any other non-adherence to this policy.

The Chief Executive Officer must delegate an investigation to a Group Manager where the Chief Executive Officer’s actions are the subject of the complaint.

Complaints are to be acknowledged within 5 working days of receipt.

Complaints are to be investigated and communicated to the individual within 10 working days of receipt of the complaint unless circumstances mean this is not practicable. Where a complaint cannot be investigated within 10 working days, the complainant is to be informed of the delay along with the reason for the delay.

Where a series of complaints show a systematic failure, steps will be taken to prevent a repeat of that failure. Such steps may include:

- Staff training;
- Amendment to this policy; and/or
- Amendment to process.

**13. Effect on Secure E-mail Gateway software (aka Mail Marshal)**

This policy has no effect on the use of Council's Secure E-mail Gateway software (known as 'Mail Marshal') which is utilised to quarantine e-mails that contain spam, pornographic and sexually explicit words and phrases and common and mild profanity.

**14. Effect on Privacy Act and LGOIMA**

This policy has no effect on an individual's rights or Council's obligations under the Privacy Act 1993 or Local Government Official Information and Meetings Act 1987. Council will ensure it continues to meet its obligations under these Acts.

**15. Relevant Documents & Materials**

Electronic Communications Policy  
Information Management Policy

Privacy Act 1993  
Local Government Official Information and Meetings Act 1987

**Signed** by the Leadership Team:

Chief Executive: \_\_\_\_\_ Date: \_\_\_\_\_

Group Manager  
Community Services: \_\_\_\_\_ Date: \_\_\_\_\_

Group Manager  
Customer &  
Regulatory Services: \_\_\_\_\_ Date: \_\_\_\_\_

Group Manager  
Infrastructure Services: \_\_\_\_\_ Date: \_\_\_\_\_

Group Manager  
Corporate Services: \_\_\_\_\_ Date: \_\_\_\_\_

Group Manager  
Strategy &  
Development: \_\_\_\_\_ Date: \_\_\_\_\_

Project Coordination  
Manager: \_\_\_\_\_ Date: \_\_\_\_\_

**FIRST SCHEDULE  
E-MAIL TEMPLATES**

**Template 1: Minor breach reported (first or second)**

Dear [Name],

We refer to your e-mail of XX Month 20XX. Council has a policy regarding misuse of e-mail correspondence, the Electronic Communications (E-mail Quarantine) Policy. A copy of this policy is **attached** to this e-mail and can also be viewed on Council's website [www.horowhenua.govt.nz](http://www.horowhenua.govt.nz) under the Local Bylaws & Policies section.

Your e-mail contains a **minor breach** of this policy, specifically: *[Insert relevant words &/or detail breach, use of asterisks may be required]*

If staff members report three or more minor breaches of this policy (including this breach) by you within a 12 month period any further minor breaches will be treated as major breaches under the policy for a period of 12 months.

Continual breach of this policy may result in your name and associated e-mail addresses being placed on Council's quarantine list. E-mail addresses on the quarantine list are subject to review by a senior member of staff upon receipt and may be subject to:

- Release of the e-mail in complete form to the intended recipient;
- Release to the intended recipient with breaches of this policy redacted/removed;
- Specific questions being addressed to the appropriate staff member without release of the e-mail and a response being provided by the intended recipient or another staff member;
- or
- If there is no legitimate business content in your e-mail, Council may choose to ignore your e-mail in its entirety and provide no response.

Yours faithfully,

[Signature Block]

**Template 2: Three minor breaches resulting in escalation to major breach**

Dear [Name],

We refer to your e-mail of XX Month 20XX. Council has a policy regarding misuse of e-mail correspondence, the Electronic Communications (E-mail Quarantine) Policy. A copy of this policy is **attached** to this e-mail and can also be viewed on Council's website [www.horowhenua.govt.nz](http://www.horowhenua.govt.nz) under the Local Bylaws & Policies section.

Within the last 12 months, staff members have reported three or more **minor breaches** of this policy by you. Accordingly, for the next 12 months commencing on XX Month 20XX any further **minor breach** by you will be treated as a **major breach** under the policy.

The events reported include:

- XX Month 20XX e-mail to [e-mail address] and the words: *[Insert relevant words &/or detail breach, use of asterisks may be required]*

- XX Month 20XX e-mail to [e-mail address] and the words: *[Insert relevant words &/or detail breach, use of asterisks may be required]*
- XX Month 20XX e-mail to [e-mail address] and the words: *[Insert relevant words &/or detail breach, use of asterisks may be required]*

In the unfortunate event that you commit a further two major breaches, or a single extreme breach, within the next 12 months and these are reported by staff, your e-mail address/es will be placed on Council's quarantine list. E-mail addresses on the quarantine list are subject to review by a senior member of staff upon receipt and may be subject to:

- Release of the e-mail in complete form to the intended recipient;
- Release to the intended recipient with breaches of this policy redacted/removed;
- Specific questions being addressed to the appropriate staff member without release of the e-mail and a response being provided by the intended recipient or another staff member;  
or
- If there is no legitimate business content in your e-mail, Council may choose to ignore your e-mail in its entirety and provide no response.

Yours faithfully,

[Signature Block]

### Template 3: First major breach where not an escalation of minor breaches

Dear [Name],

We refer to your e-mail of XX Month 20XX. Council has a policy regarding misuse of e-mail correspondence, the Electronic Communications (E-mail Quarantine) Policy. A copy of this policy is **attached** to this e-mail and can also be viewed on Council's website [www.horowhenua.govt.nz](http://www.horowhenua.govt.nz) under the Local Bylaws & Policies section.

The content of your e-mail constitutes a major breach of this policy, specifically *[Insert relevant words &/or detail breach, use of asterisks may be required]*.

In the unfortunate event that a further two breaches of the Electronic Communications (E-mail Quarantine) Policy are reported within the next 12 months, your e-mail address/es may be placed on Council's quarantine list. This means any e-mails received from you by Council will be reviewed by a senior member of staff and may be subject to:

- Release of the e-mail in complete form to the intended recipient;
- Release to the intended recipient with breaches of this policy redacted/removed;
- Specific questions being addressed to the appropriate staff member without release of the e-mail and a response being provided by the intended recipient or another staff member;  
or
- If there is no legitimate business content in your e-mail, Council may choose to ignore your e-mail in its entirety and provide no response.

Yours faithfully,

[Signature Block]

**Template 4: Second major breach**

Dear [Name],

We refer to your e-mail of XX Month 20XX. Council has a policy regarding misuse of e-mail correspondence, the Electronic Communications (E-mail Quarantine) Policy. A copy of this policy is **attached** to this e-mail and can also be viewed on Council's website [www.horowhenua.govt.nz](http://www.horowhenua.govt.nz) under the Local Bylaws & Policies section.

The content of your e-mail constitutes a major breach of this policy, specifically *[Insert relevant words &/or detail breach, use of asterisks may be required]*. This is the second major breach reported within a 12 month period.

In the unfortunate event that a further breach of the Electronic Communications (E-mail Quarantine) Policy is reported between now and [Insert end of 12 month period in format XX Month 20XX], your e-mail address/es will be placed on Council's quarantine list. E-mail addresses on the quarantine list are subject to review by a senior member of staff upon receipt and may be subject to:

- Release of the e-mail in complete form to the intended recipient;
- Release to the intended recipient with breaches of this policy redacted/removed;
- Specific questions being addressed to the appropriate staff member without release of the e-mail and a response being provided by the intended recipient or another staff member; or
- If there is no legitimate business content in your e-mail, Council may choose to ignore your e-mail in its entirety and provide no response.

Yours faithfully,

[Signature Block]

**Template 5: Third major breach – on quarantine list**

Dear [Name],

We refer to your e-mail of XX Month 20XX. Council has a policy regarding misuse of e-mail correspondence, the Electronic Communications (E-mail Quarantine) Policy. A copy of this policy is **attached** to this e-mail and can also be viewed on Council's website [www.horowhenua.govt.nz](http://www.horowhenua.govt.nz) under the Local Bylaws & Policies section.

The content of your e-mail constitutes a major breach of this policy, specifically *[Insert relevant words &/or detail breach, use of asterisks may be required]*. This is the third major breach reported within a 12 month period.

As this is the third major breach reported within a 12 month period, your e-mail address will be placed on Council's e-mail quarantine list. This means any e-mails received from you by Council will be reviewed by a senior member of staff and may be subject to:

- Release of the e-mail in complete form to the intended recipient;
- Release to the intended recipient with breaches of this policy redacted/removed;
- Specific questions being addressed to the appropriate staff member without release of the e-mail and a response being provided by the intended recipient or another staff member; or

- If there is no legitimate business content in your e-mail, Council may choose to ignore your e-mail in its entirety and provide no response.

You will remain on Council's e-mail quarantine list for a period of 6 months commencing XX Month 20XX and ending at 5.00 p.m. on XX Month 20XX. However, further breaches during this period may result in an extension to your quarantine period.

Yours faithfully,

[Signature Block]

#### Template 6: First extreme breach – no previous breaches

Dear [Name],

We refer to your e-mail of XX Month 20XX. Council has a policy regarding misuse of e-mail correspondence, the Electronic Communications (E-mail Quarantine) Policy. A copy of this policy is **attached** to this e-mail and can also be viewed on Council's website [www.horowhenua.govt.nz](http://www.horowhenua.govt.nz) under the Local Bylaws & Policies section.

The content of your e-mail constitutes an extreme breach of this policy, specifically *[Insert relevant words &/or detail breach, use of asterisks may be required]*. This is the most serious type of breach under this policy.

As you have not previously breached this policy, your e-mail address will not be placed on Council's e-mail quarantine list. However, any further breaches of this policy will be treated as an extreme breach and will result in your e-mail address/es being placed on Council's quarantine list. This means any e-mails received from you by Council will be reviewed by a senior member of staff and may be subject to:

- Release of the e-mail in complete form to the intended recipient;
- Release to the intended recipient with breaches of this policy redacted/removed;
- Specific questions being addressed to the appropriate staff member without release of the e-mail and a response being provided by the intended recipient or another staff member; or
- If there is no legitimate business content in your e-mail, Council may choose to ignore your e-mail in its entirety and provide no response.

Yours faithfully,

[Signature Block]

#### Template 7: First extreme breach following a previous breach – on quarantine list

Dear [Name],

We refer to your e-mail of XX Month 20XX. Council has a policy regarding misuse of e-mail correspondence, the Electronic Communications (E-mail Quarantine) Policy. A copy of this policy is **attached** to this e-mail and can also be viewed on Council's website [www.horowhenua.govt.nz](http://www.horowhenua.govt.nz) under the Local Bylaws & Policies section.

The content of your e-mail constitutes an extreme breach of this policy, specifically *[Insert relevant words &/or detail breach, use of asterisks may be required]*. This is the most serious type of breach under this policy.

As you have previously breached this policy, your e-mail address/es will be placed on Council's e-mail quarantine list. This means any e-mails received from you by Council will be reviewed by a senior member of staff and may be subject to:

- Release of the e-mail in complete form to the intended recipient;
- Release to the intended recipient with breaches of this policy redacted/removed;
- Specific questions being addressed to the appropriate staff member without release of the e-mail and a response being provided by the intended recipient or another staff member; or
- If there is no legitimate business content in your e-mail, Council may choose to ignore your e-mail in its entirety and provide no response.

You will remain on Council's e-mail quarantine list for a period of 6 months commencing XX Month 20XX and ending at 5.00 p.m. on XX Month 20XX. However, further breaches during this period may result in an extension to your quarantine period.

Yours faithfully,

[Signature Block]

#### Template 8: Quarantine period renewed for up to 6 months

Dear [Name],

As you will be aware you were placed on Council's quarantine list on XX Month 20XX. You were due to be removed from the quarantine list on XX Month 20XX.

During the quarantine period you have continued to send e-mails which constitute a breach of Council's Electronic Communications (E-mail Quarantine) Policy. This has included e-mails which would constitute a breach being sent in the last three months of your quarantine period.

Given your ongoing breaches, we have made the decision to extend your quarantine period for a further period of X months.

This is not a decision we make lightly. However, our staff must be protected from your ongoing behaviour.

At the end of the new quarantine period, a decision will be made as to whether or not to renew your quarantine period for a further period of up to six months. We trust this will not be necessary.

Yours faithfully,

[Signature Block]

#### Template 9: End of quarantine

Dear [Name],

As you will be aware you were placed on Council's quarantine list on XX Month 20XX. You were/are due to be removed from the quarantine list on XX Month 20XX.

We are pleased to inform you that due to a lack of ongoing breaches of Council's Electronic Communications (E-mail Quarantine) Policy your name has been removed from Council's



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quarantine list and your e-mails to Council staff will no longer be quarantined upon receipt by Council.

We remind you that any further breaches may result in your name being returned to the quarantine list. We trust this will not be necessary and look forward to communicating with you in future.

Yours faithfully,

[Signature Block]



# Mayoral Discretionary Fund

File No.: 17/451

## 1. Purpose

To report to the Finance, Audit & Risk Subcommittee on the grants made from the Mayoral Discretionary Fund during the 2016/17 financial year.

## 2. Recommendation

- 2.1 That Report 17/451 Mayoral Discretionary Fund be received.
- 2.2 That this matter or decision be recognised as not significant in terms of s76 of the Local Government Act 2002.

## 3. Background/Previous Council Decisions

In late 2016 a Mayoral Discretionary Fund was established as a response to requests for financial assistance that are not covered under existing funding avenues within Council, or are of an emergency assistance nature.

The Mayoral Discretionary Fund Guidelines are **attached**.

## 4. Issues for Consideration

The Fund Guidelines require grants made to be reported to this Committee.

The following grants have been made to date:

Mayoral Fund 2016/2017				
<b>Total</b>	<b>\$</b>	<b>20,000.00</b>		
Date	Group or Individual	Purpose	Amount	Balance
25.01.2017	Horowhenua Bluelight Incorporated	International Food & Cultural Festival	1,000.00	\$ 19,000.00
01.02.17	Save Our River Trust	Foxton River Loop Beautification	1,000.00	\$ 18,000.00
02.02.17	Poutu Pa Incorporated	Waitangi Day Celebrations	1,500.00	\$ 16,500.00
03.02.17	Children's Day Committee	Children's Day - photo booth	386.96	\$ 16,113.04
01.03.17	Fale Pasifika Horowhenua	Pasifika Celebration Day	1,000.00	\$ 15,113.04
01.03.17	Mauria Te Pono Trust	Noho Marae	1,000.00	\$ 14,113.04
01.06.17	CYN Trust / Horowhenua College	CYN Concert - stage repairs	2,000.00	\$ 12,113.04
		<b>Total</b>	<b>7,886.96</b>	

### Horowhenua Bluelight Incorporated – International Food & Cultural Festival – March 2017

This event celebrated cultural diversity in the Horowhenua. Horowhenua International Food and Cultural Festival was held at Solway Park with over 2,500 people attending to sample a variety of food from different ethnic groups, entertainment, music and cultural performances all of which were provided free.

### Save Our River Trust – March 201

Funding was granted for maintenance to the Piriharakeke walkway on the Manawatu River Loop at Foxton. This included felling of willows and weed removal adjacent to the river loop. This work is part of an ongoing maintenance plan for the River Loop.

### **Poutu Pa Incorporated – Waitangi Day Celebrations – February 2017**

A family day spent at Whakawehi Marae – Poutu recognising the significance of Waitangi Day. The day included a concert with performances by local bands and musicians. There were games, arts and crafts and food stalls. Organisers were very pleased with the turnout to celebrate Waitangi Day 2017.

### **Children's Day Committee – Children's Day Event – March 2017**

This is an annual event held at the Levin Adventure Park, this year attracting over 3,000 people throughout the day. Children's Day is a free family fun packed day with a variety of activities for children of all ages and their whanau to participate in. Funding was provided for the photo booth costs which enabled children and their family to have photos at no cost.

### **Fale Pasifika Horowhenua – Pasifika Celebration Day – March 2017**

This event celebrated the vibrant Pacific Island cultures within the district. Held at the Levin Adventure Park, there were craft and food stalls, and service providers with promotional booths. Approximately 1,500 people attended the event which included over 120 performers from local Pacific Island Churches and groups. Funding was provided to assist with event costs.

### **Mauria Te Pono Trust – April 2017**

This was a marae-based peer wananga for taiohi/pakeke (young adults) focusing on leadership and utilising the strengths of peers to develop and design their own strategies in dealing with social issues. Approximately 100 young people from within the Raukawa/Rangitāne region attended the three day wananga at Motuiti Marae Foxton.

### **CYN Trust / Horowhenua College – June 2017**

Funding was provided to rebuild the stage extension at Horowhenua College. The old stage was no longer able to be utilised and without the stage extension, the annual CYN Concert could not proceed. A larger stage is needed for this event due to the number of performers on the stage and size of the sets used for Stage Challenge. This annual event celebrates youth within the district and provides an opportunity for schools participating in Stage Challenge regionals in Palmerston North, to perform at home in front of their family and friends. The event also enables the community to celebrate the special talents of our young people.

Future reporting on this Fund will be quarterly.

## **Attachments**



<b>No.</b>	<b>Title</b>	<b>Page</b>
A	Mayoral Fund - Guidelines - November 2016	63

### **Confirmation of statutory compliance**

In accordance with section 76 of the Local Government Act 2002, this report is approved as:

- containing sufficient information about the options and their benefits and costs, bearing in mind the significance of the decisions; and,
- is based on adequate knowledge about, and adequate consideration of, the views and preferences of affected and interested parties bearing in mind the significance of the decision.

## Signatories

Author(s)	Mark Lester <b>Acting Group Manager - Corporate Services</b>	
Approved by	David Clapperton <b>Chief Executive</b>	



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**HOROWHENUA DISTRICT COUNCIL  
MAYORAL DISCRETIONARY FUND GUIDELINES**

**BACKGROUND**

The Mayoral Discretionary Fund has been established as a response to requests for financial assistance that are not eligible under existing funding avenues within Council, or are of an emergency assistance nature.

**OBJECTIVES**

The objective of these guidelines is to provide both a mechanism and criteria for distribution of discretionary funds by the Mayor for the purpose of supporting organisations and/or individuals or as a response to emergency situations.

**CRITERIA**

1. In order to be eligible for consideration for funding, all applicants must meet the criteria below. Requests for funding must:
  - come from organisations and/or individuals within the Horowhenua District,
  - not be for recurrent funding; however, applicants may apply for funding over successive years,
  - not be for private gain or for waiving any Council fees or charges,
  - not be eligible for funding from another Council source.
2. Generally the maximum amount that will be allocated per grant will be \$1,000.
3. At least 2 references are required to testify to the bona fides of the requesting person/organisation, as well as the need/justification for the donation.
4. If the organisation/person has applied to other organisations for funding the list of organisations that have received requests for funding should be included on the application letter.
5. All decisions on funding are at the discretion of the Mayor.
6. Applications that meet the eligibility criteria may not necessarily receive funding.
7. Consideration of requests is subject to the availability of funds remaining in the Mayoral Discretionary Fund.

**PROCEDURES**

1. The Fund is to be expended at the discretion of the Mayor. All grants are to be reported to Council's Audit, Finance and Risk Committee on a quarterly basis. The Fund is to be included as a recurrent item in Council's annual operational budget.
2. Letters of Application should be sent to the Mayor. Requests for financial assistance must be received in writing and include the following details:
  - name and contact details of person or organisation seeking the financial assistance
  - purpose of the requested donation and the anticipated benefit to the Horowhenua District
  - amount requested

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- indication of the total funds required for the project/activity, and any other sources of funding applied for and/or received
  - details of who the payment is to be made to, if application is successful (including bank deposit slip)
  - information on the Organisation's incorporation status and GST number where applicable
3. If assistance is provided from the Mayoral Discretionary Fund, recipients will be required to:
- provide a written receipt for the amount provided
  - acknowledge Council's contribution at the event and/or in the documentation e.g. annual report
  - write to the Mayor at the conclusion of the event/programme indicating the outcome, and including relevant photos/press articles.



# Health & Safety - Quarterly Report

File No.: 17/450

## 1. Purpose

To provide an update to Elected members on health and safety matters at Horowhenua District Council for the previous four months.

## 2. Recommendation

- 2.1 That Report 17/450 on Health & Safety - Quarterly Report be received.
- 2.2 That this matter or decision be recognised as not significant in terms of s76 of the Local Government Act 2002.

## 3. Background/Previous Council Decisions

As outlined in the report to Finance, Audit & Risk Subcommittee on 27 July 2016, Council will undertake quarterly reporting on health and safety matters. The last quarterly report was delivered in April 2017.

## 4. Issues for Consideration

This report will include high level health and safety statistics; information about actions taken by the Health and Safety Committee around continuous improvement of health and safety practices and processes at HDC; outcome of external health and safety audit; any significant matters arising and an overview of the hazards and risks associated with Council operations.

## Attachments


No.	Title	Page
A	Health & Safety Quarterly Report to the Elected Members - September 2017	67

### Confirmation of statutory compliance

In accordance with section 76 of the Local Government Act 2002, this report is approved as:

- a. containing sufficient information about the options and their benefits and costs, bearing in mind the significance of the decisions; and,
- b. is based on adequate knowledge about, and adequate consideration of, the views and preferences of affected and interested parties bearing in mind the significance of the decision.

## Signatories

Author(s)	Denise Weir <b>People &amp; Capability Manager</b>	
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Approved by	David McCorkindale <b>Senior Manager - Strategic Planning</b>	
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# Health & Safety Quarterly Report to the Elected Members

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As at 11 September  
2017

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Horowhenua  
District  
Council

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## 1. HEALTH AND SAFETY MATTERS

### a. Overview from previous three months

- **Health and Safety Committee:** The H & S policy has been reviewed and re-signed by the Leadership Team, this has been launched to staff. The H & S Manual review calendar is in place and reviews are occurring as part of the H & S Committee meetings. The Fire Wardens review of processes, training and equipment is currently occurring. An HDC fire drill took place in the last quarter.
- **Health and Safety Contractor Sub-Committee:** We are looking at how this will work with the Three Waters Alliance. We are in discussions with the Alliance Manager and Downers to review/compare H & S requirements.
- **Health and Safety Wellbeing Sub-Committee:** The HDC High Fives have been introduced to celebrate staff H & S contributions. A large number of staff are participating in September. Approximately 40 staff participated in the Legal Health Check session run by local firm CS Law. Approximately 40 staff including some of our Council's contractors attended the Men's Health presentation which included BMI and blood pressure checks.
- **Completed Site Audits by H & S Committee:** Three site audits have occurred in the last quarter. Ongoing audits of Contractors are being managed on a frequent basis.
- **Health and Safety Training:** The Three Waters Alliance staff have completed Traffic Management training.

### Focus for next Quarter:

- **Internal H & S Audits:** Ongoing internal audits are arranged as per the audit plan. Contractor audits will continue to be focused on in the next quarter.
- **External H & S Audits:** HDC will participate in the MWLASS H & S Audit programme. Staff from HDC will Audit other MWLASS Council sites and vice versa.
- **Health and Safety Training:** ACC Injury Prevention training is arranged for the next quarter.
- **External H & S Audit Recommendations:** Whilst HDC achieved Tertiary standard the ACC Workplace Safety Management Practices Audit Report noted that there are some ongoing risks/issues for the Council relating to driving, contractor management, animal control, swimming pools and members of the public. The report recommended four areas for improvement:
  - Continue to look for health and safety objectives that are project based and based on continuous health and safety improvements.
  - Expand the review of the effectiveness of hazard management to include processes that have an impact on hazard management, such as incident reporting and training.
  - Consider reviewing the safety equipment inspection register to include safety equipment other than PPE, such as ladders forklift attachments, body harnesses and safety signage.
  - Consider a time frame for contractors to resubmit their health and safety plans and related health and safety documentation to ensure currency.

**Top Eight Risks:**

Risk	What are we currently doing about it	Identified Improvement Opportunities
Falls/Slips/Trips	<p><b>General:</b></p> <ul style="list-style-type: none"> <li>➤ Commercial cleaners are contracted to keep floor surfaces clean.</li> <li>➤ Appropriate standard slip resistance polish is used on smooth floor surfaces.</li> <li>➤ A wall mounted First Aid kit is located in the sick Bay on first floor, Customer Services, Ground Floor Tea Station, and Civic Kitchen</li> <li>➤ First Aid kits are maintained internally on a quarterly basis.</li> <li>➤ The Health and Safety Committee do regularly walk throughs of building to check housekeeping standards and identify any new trip hazards.</li> <li>➤ Staff are aware of self-responsibility to isolate or remove the hazard, report, record and review interventions.</li> <li>➤ All incidents or near misses recorded in PeopleSafe Data Base and reviewed by H &amp; S Committee each month</li> </ul> <p><b>Aquatics:</b></p> <ul style="list-style-type: none"> <li>➤ Clean and scrub floors every day by making us of the cleaning schedule.</li> <li>➤ Keep floors clean and dry as far as possible. Making use of wet or cleaning floor signs.</li> <li>➤ Slippery floors are minimized by having anti-slip surface applied. Some areas might get a build up over time and still cause a slip</li> </ul>	
Abuse/Threatening Behaviour/Bullying	<p><b>General</b></p> <ul style="list-style-type: none"> <li>➤ Counter staff have monitored panic buttons under the front desk to be used in the case of threatening behaviour.</li> <li>➤ Allowing the use of security guards during site visits that are perceived as high risk.</li> <li>➤ Staff receive training on personal</li> </ul>	<ul style="list-style-type: none"> <li>➤ An independent Risk Assessment will be completed of the HDC Foyer area to ensure improved staff safety from threatening customer behaviour.</li> <li>➤ Develop and implement an incident response team.</li> <li>➤ Develop and implement a</li> </ul>

	<p>safety and security in threatening situations</p> <ul style="list-style-type: none"> <li>➤ Staff working after hours are to notify Main Security of their presence.</li> <li>➤ Council actively supports the Employee Assistance Programme and staff will be assisted through this should they identify a need.</li> <li>➤ Staff report to management and People and Capability on alleged bullying and harassment behavior. Allegations are investigated.</li> </ul> <p><b>Parking Roles Specific</b></p> <ul style="list-style-type: none"> <li>➤ We have a parking enforcement plan which contains the following general health and safety information:</li> <li>➤ Call the Compliance Lead or the Compliance Support Officer immediately if you need assistance or support (obviously call emergency services if necessary also).</li> <li>➤ Tell the Compliance Lead if you have been injured or feel upset or “shaken” as a result of an incident and record the incident in Peoplesafe.</li> <li>➤ While on duty <b>do not</b> do the following: <ul style="list-style-type: none"> <li>➤ Enter or drive a customer's vehicle</li> <li>➤ Assist customers with carrying personal items or loading and unloading items into vehicles</li> <li>➤ Tell customers that they need to put money in meters unless the customers’ request assistance</li> <li>➤ Tell the customers that their warrant and rego is out of date unless ticketing the vehicle</li> <li>➤ Don’t issue ticket for no WOF or rego when customer is in vehicle – includes children – unless the vehicle is being ticketed for another reason (e.g. parking at an expired meter).</li> </ul> </li> <li>➤ This information is designed to reduce the likelihood of conflict situations occurring which could lead to abuse or threatening</li> </ul>	<p>prevention of bullying and harassment framework.</p> <ul style="list-style-type: none"> <li>➤ Formal training in managing conflict situations and situational safety will be provided.</li> </ul>
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	<p>behaviour.</p> <ul style="list-style-type: none"> <li>➤ Officers also have a KPI in their performance and development plan around walking away from conflict situations.</li> </ul> <p><b>Aquatics</b></p> <ul style="list-style-type: none"> <li>➤ Staff training and refreshers on personal safety and to seek senior staff attention when feeling uncomfortable.</li> <li>➤ Contact the police.</li> <li>➤ No less than 2 staff on site at any time.</li> <li>➤ Complete the course on "Dealing with difficult people".</li> <li>➤ Bumbags and whistles provided for additional support when needed.</li> <li>➤ We train staff to deal with these situation or difficult people.</li> <li>➤ If they find themselves in a situation they can contact management to assist.</li> <li>➤ Identify the issue before it happens.</li> <li>➤ Report to management and apply training skills.</li> <li>➤ Debrief after an event and offer EAP to staff.</li> <li>➤ Call 111 ASAP and contact management. Staff to use their radios as support to call for help.</li> </ul>	
Working Outside	<ul style="list-style-type: none"> <li>➤ Training</li> <li>➤ Protective clothing</li> <li>➤ Sun screen - information re use of sunscreen</li> <li>➤ Regular breaks</li> <li>➤ Suitable footwear</li> <li>➤ Heavy work programmed for early morning when cooler.</li> <li>➤ Care when opening car doors and getting in and out of the company vehicles in strong windy conditions</li> <li>➤ Tying down all tools and equipment if outside work is necessary during windy conditions</li> </ul>	
Using Council Vehicles	<ul style="list-style-type: none"> <li>➤ Conducting Defensive driving training</li> <li>➤ Full driver license checks</li> <li>➤ WoF</li> <li>➤ Regular maintenance regime</li> <li>➤ Generally low speed operation – urban.</li> <li>➤ First aid kits and fire extinguishers in</li> </ul>	

	<ul style="list-style-type: none"> <li>all vehicles</li> <li>➤ Taking care when opening vehicle doors and getting in and out of vehicles, especially in strong windy conditions</li> <li>➤ Pre-use vehicle inspections</li> </ul>	
Deep Water	<p><b>Aquatics</b></p> <ul style="list-style-type: none"> <li>➤ Educate public about deep water in the facility.</li> <li>➤ Actively supervising all bodies of water.</li> <li>➤ Refresh awareness of supervision in training with lifeguards. All bodies of water are This report will include high level health and safety statistics; information about actions taken by the Health and Safety Committee around continuous improvement of health and safety practices and processes at HDC; outcome of external health and safety audit; any significant matters arising and an overview of the hazards and risks associated with Council operations.</li> <li>➤ supervised by a qualified lifeguard at all times during operational time.</li> <li>➤ Well supervised by a qualified lifeguard at all times during operational time.</li> <li>➤ A lifeguard is always present with the knowledge of emergency procedures.</li> <li>➤ Lifeguard to follow process. Call for help over the radio, address the issue in the pool as per lifeguard training and if needed call 111.</li> </ul>	
Working with Contractors /Contractor Management	<ul style="list-style-type: none"> <li>➤ Pre-qualification training</li> <li>➤ Assessment checklist to establish contractor relationship</li> <li>➤ Monitoring and communication</li> <li>➤ Frequent Site Audits</li> </ul>	<ul style="list-style-type: none"> <li>➤ Pre-qualification training needs reviewing</li> <li>➤ Develop training programme on Safety Plans to include external organisations that use Aquatics facilities for swimming lessons.</li> </ul>
Working at Height	<ul style="list-style-type: none"> <li>➤ Ladder inspection</li> <li>➤ Correct ladder angle, ladder secured, ladder training, correct and proper ladder storage.</li> <li>➤ Scaffolding erected or provided by certified suppliers/scaffolders</li> <li>➤ All employees working at height are</li> </ul>	



	<p>competent and experienced in working with ladders and on scaffolding, storage of light weight items at height</p>	
<p>Hazardous Chemicals/Substances</p>	<ul style="list-style-type: none"> <li>➤ First aid kits</li> <li>➤ Current and qualified First aiders</li> <li>➤ Local exhaust ventilation</li> <li>➤ Correct storage</li> <li>➤ Substitution for less hazardous chemical</li> <li>➤ Safety data sheets, labelling.</li> <li>➤ Checking use by date</li> </ul> <p><b>Aquatics</b></p> <ul style="list-style-type: none"> <li>➤ Be qualified to use chemicals (Advance water treatment and operations/ Approved Handler). Only trained staff to use chemicals. PPE must be used. Any spills cleaned up after usage. Any confusion must be passed on to management.</li> <li>➤ Chemicals are stored at specific locations within the plant room behind locked doors. Only staff have access to the plant room. Staff must be qualified and or trained to handle these chemicals. Chemicals are stored in specific drums/ blocked off partitions to prevent spills/ leaks. Staff to use PPE provided when using chemicals.</li> <li>➤ All trained, approved and qualified staff will have their own Personal Protective Equipment (PPE). This is to be used when working/ operating with hazardous chemicals in the plant room. Staff also know where to find Material Safety Data Sheets (MSDS) in case of an emergency. Only authorized and qualified staff to work with chemicals. No unauthorized staff to work with chemicals within a qualified person present.</li> <li>➤ Depending on the level of emergency. For minor issues staff will report any issues and or will be referred to the Doctor. For more serious or major issues 111 will be called and our facility evacuation procedure will be activated if required.</li> </ul>	<p>Monitoring Worksafe information for the new Health and Safety at Work (Hazardous Substances) Regulations 2017 that is due to come into force on the 1<sup>st</sup> December. Review guidance information from Worksafe as this is developed to keep on top of the new regulation requirements.</p>



# Monitoring Report to 20 September 2017

File No.: 17/454

## 1. Purpose

To present to the Finance, Audit & Risk Subcommittee Monitoring Reports covering requested actions from previous meetings of the Subcommittee.

## 2. Recommendation

- 2.1 That Report 17/454 on Monitoring Report to 20 September 2017 be received.
- 2.2 That this matter or decision be recognised as not significant in terms of s76 of the Local Government Act 2002.

## Attachments



No.	Title	Page
A	Finance Audit & Risk Subcommittee - Monitoring Report from 28 June 2017	76

### Confirmation of statutory compliance

In accordance with section 76 of the Local Government Act 2002, this report is approved as:

- a. containing sufficient information about the options and their benefits and costs, bearing in mind the significance of the decisions; and,
- b. is based on adequate knowledge about, and adequate consideration of, the views and preferences of affected and interested parties bearing in mind the significance of the decision.

## Signatories

Author(s)	Nicki Brady <b>Group Manager - Customer &amp; Regulatory Services</b>	
Approved by	David Clapperton <b>Chief Executive</b>	

<b>MONITORING REPORT</b>  <b>HOROWHENUA DISTRICT COUNCIL</b> <b>Finance, Audit &amp; Risk Subcommittee</b>							
Meeting Date	Item No.	Item Description	Resolved/Action Required	Responsible Officer	Date to Action by	Date Completed	Officer Comment
28 June 2017	17/292	Financial Report for the eleven months to 31 May 2017	Email Crs - Resource Consents created – split a to which were at the s223 and s224 stage	D Law		9 <sup>th</sup> August	New format adopted for this section of the report following discussion with regulatory staff
			Cash flow statement to be included each meeting	D Law			Will be done for September after year end roll of GL
			Annual Report and key monthly reports to be in the same format	D Law			
	17/297	Audit Engagement & Arrangement letter	First draft of Annual Report to FARS mtg	D Law	9 August	Complete	
			<i>THAT the ordinary Finance Audit and Risk Subcommittee meeting scheduled for 20 September 2016 considers the draft Annual Report and recommends its adoption to Council.</i>	D Law	20 Sept	20 Sept	Report attached to the agenda
	18/299	Horowhenua District Council's risk of future involvement in the LAPP fund	<i>THAT the Subcommittee continues to review the risks associated with continued LAPP</i>	D Law			Report will be done for FAR meeting of 1 November

<b>MONITORING REPORT</b>  <b>HOROWHENUA DISTRICT COUNCIL</b> <b>Finance, Audit &amp; Risk Subcommittee</b>							
Meeting Date	Item No.	Item Description	Resolved/Action Required	Responsible Officer	Date to Action by	Date Completed	Officer Comment
		insurance facility	<p><i>membership and reviews its membership before April 2018 in time for a possible withdrawal from LAPP.</i></p> <p><i>THAT the Subcommittee be informed of the number of participating Councils as soon as practicable after that information is available.</i></p>				
	17/286	Health and Safety Quarterly Report to 31 May 2017	For next quarterly report key statistics to provide a trend analysis of near misses and reportable instances – what are the top 5-10 risks, what needed to be done to reduce those risks, and timetable for same.	D Weir	1 November 2017		This information will be included in the next Quarterly Health and Safety Report .
	17/293	Standard and Poors Credit Rating	<i>THAT the Finance, Audit &amp; Risk Subcommittee requests the Chief Financial Officer submit a report to the 9 August</i>	D Law	1 November 2017		Awaiting a feed back from Treasury advisor's conversation with S&P staff. A report will be done for the 1 November

<b>MONITORING REPORT</b> <b>HOROWHENUA DISTRICT COUNCIL</b> <b>Finance, Audit &amp; Risk Subcommittee</b>							
Meeting Date	Item No.	Item Description	Resolved/Action Required	Responsible Officer	Date to Action by	Date Completed	Officer Comment
			<i>2017 Subcommittee meeting exploring options for addressing the liquidity risk identified in the Standard and Poors Credit Rating report</i>				meeting
	17/528	Projects Update	North East Levin Stormwater – report requested on the status of the RMA process	G O'Neill	9 August 2017	Complete	
			To be reported back to the FARS: - Non-capital projects - Policy Development - Holistic update on overall growth response - LTP development process	D Haigh  N Mangione			Report to be provided to the next FAR Subcommittee. Growth Response being reported to Strategy Committee on regular basis.
	17/307	Risk Management Update	Risk Management Framework to be emailed to Subcommittee seeking to identify the five top risks and how these should be reported	N Brady	9 August 2017	9 August 2017	Further discussions held at 13 September 2017 workshop with Philip Jones.