



Te Kaunihera-ā-Rohe o Taratahi

CARTERTON
DISTRICT COUNCIL

AGENDA

Risk and Assurance Committee Meeting

Date: Wednesday, 12 November 2025

Time: 9:30 am

**Location: Carterton Events Centre
50 Holloway St
Carterton**

P Jones (Chair)

Deputy Mayor G Ayling (Deputy Chair)

Mayor S Cretney

Cr S Laurence

Cr J Burns

Cr S Casey

M Sebire - Hurunui-o-Rangi Marae

**Notice is hereby given that a Risk and Assurance Committee Meeting of the
Carterton District Council will be held in the Carterton Events Centre, 50 Holloway
St, Carterton on:**

Wednesday, 12 November 2025 at 9:30 am

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1 KARAKIA TIMATANGA

Mai i te pae maunga, raro ki te tai

Mai i te awa tonga, raro ki te awa raki

Tēnei te hapori awhi ai e Taratahi.

Whano whano, haramai te toki

Haumi ē, hui ē, tāiki ē!

2 APOLOGIES

3 CONFLICTS OF INTERESTS DECLARATION

4 PUBLIC FORUM

5 DISCUSSION OF THE PUBLIC FORUM

VIDEOCONFERENCE LINK

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6 REPORTS



6.1 AUDIT NEW ZEALAND REPORT ON THE 2025 ANNUAL REPORT

1. PURPOSE

To present the report by Audit New Zealand on the 2025 Annual Report for the Committee's consideration.

2. SIGNIFICANCE

The matters for decision in this report are not considered to be of significance under the Significance and Engagement Policy.

3. REPORTING BY AUDIT NEW ZEALAND

After conclusion of the audit and release of an audit report, Audit NZ prepares a detailed report on their audit of Council's Annual Report and the financial statements. The overall outcome from the report is positive, noting the issuing of an unmodified audit opinion and removal of the carried-forward qualifications from the prior year (2024). The report is in **Attachment 1**.

In addition to this report, Audit NZ intends to provide a more detailed report to management which will include recommendations on areas for improvement that were identified during the audit, and the follow up on any outstanding recommendations from previous audits. Indications from Audit NZ is that the first draft will be made available to management for comment by Friday 7 November 2025. Depending on timing, the report may be tabled at the meeting.

4. RECOMMENDATION

That the Committee:

1. **Receives** the report.

File Number: 493208

Author: Marc Ferguson, Chief Financial Officer

Attachments: 1. **Audit NZ Report to the Council for the year ended 30 June 2025**



Report to the Assurance, Risk and Finance Committee

on the audit of
Carterton District Council

For the year ended 30 June 2025

AUDIT NEW ZEALAND
Mana Arotake Aotearoa

Our audit report

We intend issuing an unmodified audit opinion

We intend issuing an unmodified audit opinion on 30 October 2025.

We are satisfied that the financial statements, statements of service provision, the statement comparing actual capital expenditure to budgeted capital expenditure for each group of activities, and funding impact statements present fairly Carterton District Council's (the District Council's) activities for the year and its financial position at the end of the year.

The qualifications on the comparatives have not been carried forward as:

- we have completed the necessary audit procedures to enable us to conclude that the comparative value disclosed in the 30 June 2025 financial statements for the valuation in Castlerock is materially correct; and
- what was reported in the statement of service performance in the prior year was correct (no survey) so there is no material error in comparative results reported this year.

Without modifying our audit opinion, we intend to include an emphasis of matter paragraph to draw the users' attention to the disclosure in *Note 26 Events after balance date – water services reform* which outlines the inherent uncertainties with the District Council's responses to the Government's Local Water Done Well reforms.

This report sets out all matters that we consider require your attention before approving the annual report. In addition to this report, we also intend to provide a more detailed report to management. This will include recommendations on areas for improvement we identified during the audit.

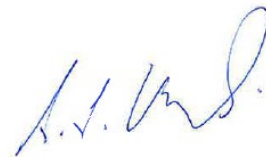
Corrected and uncorrected misstatements

We have discussed any misstatements that we found with management, other than those which were clearly trivial.

We also identified misstatements that were corrected by management. A list of corrected misstatements is available on request.

Thank you

We would like to thank the District Council, management, and staff for the assistance provided during the audit.



Sefton Vuli
Appointed Auditor
30 October 2025

Contents

This report provides an update on:

- Focus areas from the Audit Plan.
- Other matters identified during the audit.
- Financial statements and service performance information.
- Appendix 1 —Other disclosures.

Focus areas from the Audit Plan

Focus area	Outcome
Valuation of the investment in Castlerock Limited Partnership	
In 2023 the District Council acquired a minority share interest in Castlerock Limited Partnership (Castlerock) for \$1,000,000. In its 30 June 2024 financial statements, the District Council reported the fair value of this investment as \$927,000. We were unable to obtain sufficient and appropriate audit evidence to support the valuation of the investment as at that date. Consequently, a qualified audit opinion was issued on the financial statements as our work was limited with respect to the carrying value of that investment.	In the current year the District Council has reported a fair value for its investment in Castlerock at \$997,395. In response to our recommendations in the prior year and to support its fair value assessment, the District Council engaged PwC to assist it in getting sufficient support for the value arrived at/used. We have reviewed the evidence provided by the District Council in support of its valuation against the requirements of the auditing standards. Based on the supporting assessment and information provided, we have obtained sufficient audit evidence that the valuation of the investment at 30 June 2025 is reasonable and is materially in line with the fair value. Additional disclosure is included in the annual report over the inherent limitation and uncertainty in the fair value estimates and that the valuation is based on unaudited information. Specific representation is also included in Council's representation to us. In addition to the work performed on the FY25 balance, we have completed the necessary audit procedures to enable us to conclude that the comparative value disclosed in the 30 June 2025 financial statements is materially correct. We have therefore not included in our 30 June 2025 audit opinion a qualification over the comparative figures for this balance.

Focus area	Outcome
Annual residents' satisfaction survey	
In 2023 and 2024 the Council did not complete its annual residents' satisfaction survey. The results of this survey form the basis of reporting for several performance measures that we have assessed as significant because other measures of performance in the framework are not able to compensate for the lack of data on residents' satisfaction. Consequently, we qualified the Council's statement of service performance for this performance measure in 2023 and 2024. In the Council's 2024/34 Long Term Plan, a Community Survey was introduced to measure resident satisfaction with the Council's service delivery. The survey was developed internally and peer reviewed by PwC.	As part of our audit: • We met with management to gain an understanding of the methodology used to conduct the survey. • We compared the survey methodology against our audit methodology and guide for good survey design produced by Statistics New Zealand. • We confirmed that the survey did occur in 2024/25, and that the survey related disclosures in the service of performance reflect the results of the survey. As a result of Council completing the annual resident survey during the year no qualification or reference in the audit opinion is necessary. Reference to the prior year qualification was also removed as the result reported against the prior year was correct (no survey). There is therefore no material error in the comparative results reported this year.
Valuation of land and buildings	
The District Council revalue land and building assets every two years. The last revaluation was performed in 2022/23. There is a risk that the valuation included in the financial statements does not appropriately reflect the fair value of these assets.	We have completed our testing of the valuation and engaged with the valuer. We are satisfied that the financial statements appropriately reflect fair value of land and buildings at 30 June 2025.

Focus area	Outcome
Valuation of infrastructure assets	
The District Council revalue its infrastructural assets every three years. The last revaluation was performed in 2021/22. Given the significance of these assets and complexities around the methodology, estimates, and assumptions involved in their valuation, there is a risk that the financial statements may not reflect the fair value of these assets.	We have completed our testing of the valuation and engaged with the valuer. We are satisfied that the financial statements appropriately reflect fair value of the District Council's infrastructural assets as at 30 June 2025.
Service Performance Reporting – NZ AS 1 (Revised): <i>The Audit of Service Performance Information</i>	
Auditors are required to carry out an audit of service performance information prepared by Councils in accordance with NZ AS 1 (Revised): <i>The Audit of Service Performance Information</i>. This standard will be applied for the first time for the Council's 2024/25 audit and is closely related to the accounting standard for service performance reporting (PBE FRS 48). The standard will have implications for both the auditor and the District Council, as the preparer of service performance information. The changes require a shift towards clearer and more meaningful language aimed at enhancing the quality and reliability of service performance reporting.	We conducted our audit in line with the requirements of NZ AS 1 (Revised) and provided feedback to the District Council from the audit procedures performed. Those findings have been incorporated into the service performance reporting as appropriate.

Focus area	Outcome
Accounting for impairment, capitalisation of costs and recognition of completed assets	
Impairment Assets are required to be assessed for indicators of impairment at each reporting date (these include material asset classes of furniture and fittings, and library books). In addition, work in progress (WIP) values on projects that span an extended period of time should be assessed regularly for impairment over the period of the project. Capitalisation of costs The Council should ensure appropriate policies and processes are in place to identify and capitalise costs that are capital in nature. This includes both direct and indirect capital costs. Completed projects The Council also needs to ensure that, as phases of a project are completed, and assets become operational, capitalisation of the WIP balance is performed in a timely manner. This will ensure that depreciation on these assets starts when the asset is complete and ready for use. The Council should analyse the aging of WIP balances by year and consider whether any old balances should be written off or impaired.	We: - assessed the processes used by management to assess for impairment, including all significant WIP balances and review the analysis of WIP aging as appropriate; - updated our understanding of the Council policy and processes to identify and capitalise both direct and indirect capital costs; and - reviewed management's processes to ensure that the capitalisation of WIP costs is performed in a timely manner. There are no matters arising or findings to report.

Focus area	Outcome
Central Government-led reforms and other changes	
There have been a number of Central Government-led reforms which have an impact for the Council. Change will be ongoing, with further Central Government-led reforms including with the Council consulting on the proposed future water model. To deliver on the Council's strategic priorities, respond to financial pressures, and elected member direction to reduce the rates burden on the community, changes have been made. Changes and uncertainty have an impact for the financial statements and performance information. The Council will need to consider the impacts and what it means for its financial statements and performance information when it is preparing its annual report.	The annual report includes appropriate disclosure in <i>Note 26 Events after balance date – water services reform</i>. Without modifying our audit opinion, we included an emphasis of matter paragraph to draw the users' attention to the disclosure in Note 26, which outlines the inherent uncertainties with the District Council's Local Water Done Well reforms.
The risk of management override of internal controls	
There is an inherent risk in every organisation of fraud resulting from management override of internal controls.	We completed testing to address this risk and did not identify any matters that we need to bring to your attention.

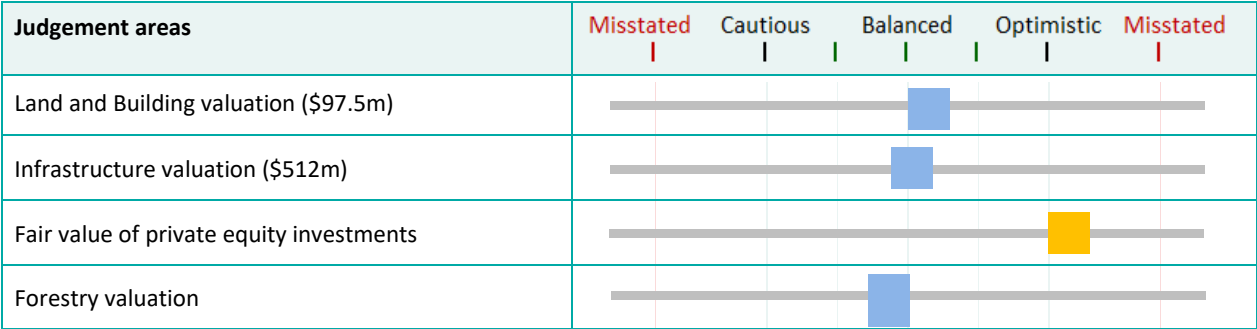
Other matters identified during the audit



Matters identified	Outcome
Mutual Liability Riskpool Scheme	
The District Council was previously a member of the New Zealand Mutual Liability Riskpool scheme (“Riskpool”). Although Riskpool is in wind down, member councils have an ongoing obligation to contribute to it should a call be made in respect of any historical claims (to the extent those claims are not covered by reinsurance), and to fund the ongoing operation of the scheme. In November 2023, Riskpool made a call on member councils to fund quantified shortfalls. The amount to be funded by member councils was \$12.9 million. Riskpool reserves the right to make further calls for additional funding if needed. The District Council will need to consider its disclosures in this regard and should specifically consider whether further information is available to allow the Council to reliably measure a provision for unpaid calls.	In August 2025, Riskpool issued a formal funding call to members totalling \$3.7 million across the membership. This call is intended to fund operational costs for FY2025/26 and legal/advisory fees related to reinsurance recovery and litigation. The District Council has included appropriate disclosure under Note 18 <i>Events after balance date</i>.

Financial statements and service performance information

Judgements made in significant accounting estimates



These are our views on the level of prudence in key judgements in this year’s financial statements, relating to accounting estimates.

Commentary

The subjective elements in the financial statements are generally balanced and align with expectations. Minor variations are within the bounds of reasonable professional judgement.

An historical valuation analysis against audited net assets of the investment in private equity Castlerock suggest the fair value of private equity investments is tending more towards a higher optimal value than that suggested by its net asset backing.

Quality and timeliness of information provided for audit

The Council's responsibilities include understanding whether management produce quality information, and whether there are

adequate resources, skills, and expertise applied in the reporting process. Our expectations were informed by the FMA's *Audit Quality Monitoring Report* (expectations for directors) and *Guidance and expectations for keeping proper accounting records*.

Expectation	Grading	Reason
Financial statements prepared by management comply with accounting standards	⚠️ Acceptable	Some disclosures including internal borrowings do not comply with GAAP.
Quality supporting financial information is prepared and available on a timely basis	✅ Good	
Accounting records and supporting documentation reconcile to the financial statements	✅ Good	
Accounting records support the accounting treatment applied by management	⚠️ Acceptable	Grant revenue accrual did not comply with GAAP.
Management prepares accounting papers for unusual or more complex transactions and estimates	✅ Good	Information in support of valuations of land and building, infrastructural assets, forestry and investments readily available.
Governors challenge the process and the outcomes of management's judgements	✅ Good	
Service performance reporting prepared by management complies with accounting standards	✅ Good	
Quality supporting service performance information is prepared and available on a timely basis	⚠️ Acceptable	Some delays in the receipt of road smoothing information.
Reported service performance agrees to supporting records	✅ Good	

Expectation	Grading	Reason
Issues raised in our previous reports are addressed in a timely manner	🟢 Good	Key recommendations on: • resident survey addressed; and • assessment in support of investment in Castlerock provided.

Grading	Explanation
🟢 Good	The quality and timeliness of the information was of a good standard with no significant deficiencies.
🟡 Acceptable	Quality and timeliness were of an acceptable standard but with some minor deficiencies and room for improvement.
🔴 Attention	There were numerous and/or significant deficiencies and/or delivery was significantly late.

Appendix 1 Disclosures

Our responsibilities in conducting the audit

We carried out this audit on behalf of the Controller and Auditor-General. We are responsible for expressing an independent opinion on the financial statements and performance information. This responsibility arises from section 15 of the Public Audit Act 2001.

The audit of the financial statements does not relieve management or the Board of their responsibilities. Our audit engagement letter contains a detailed explanation of the responsibilities of the auditor and the Board.

Auditing standards

We carry out our audit in accordance with the Auditor-General's Auditing Standards. The audit cannot and should not be relied upon to detect every instance of misstatement, fraud, irregularity, or inefficiency that are immaterial to your financial statements. The Assurance, Risk and Finance Committee and management are responsible for implementing and maintaining a system of internal control for detecting these matters.

Auditor independence

We confirm that, for the audit of Carterton District Council's financial statements and performance information for the year ended 30 June 2025, we have maintained our independence in accordance with the requirements of the Auditor-General, which incorporate the independence requirements of the External Reporting Board.

In addition to the audit and our report on the disclosure requirements, we have audited the District Council's 2024-2034 Long-term plan. We also

performed a limited assurance engagement related to the District Council debenture trust deed. These engagements are compatible with those independence requirements.

Fees

The audit fee for the year is \$165,515 (excluding disbursements and GST), as detailed in our Audit Proposal Letter. Other fees charged in the period are \$5,500, for the limited assurance engagement related to the District Council's debenture trust deed, and \$57,000 for the audit of the District Councils 2025-34 LTP.

Other relationships

We are not aware of any situations where a spouse or close relative of a staff member involved in the audit occupies a position with the District Council that is significant to the audit.

We are not aware of any situations where a staff member of Audit New Zealand has accepted a position of employment with the District Council during or since the end of the financial year.

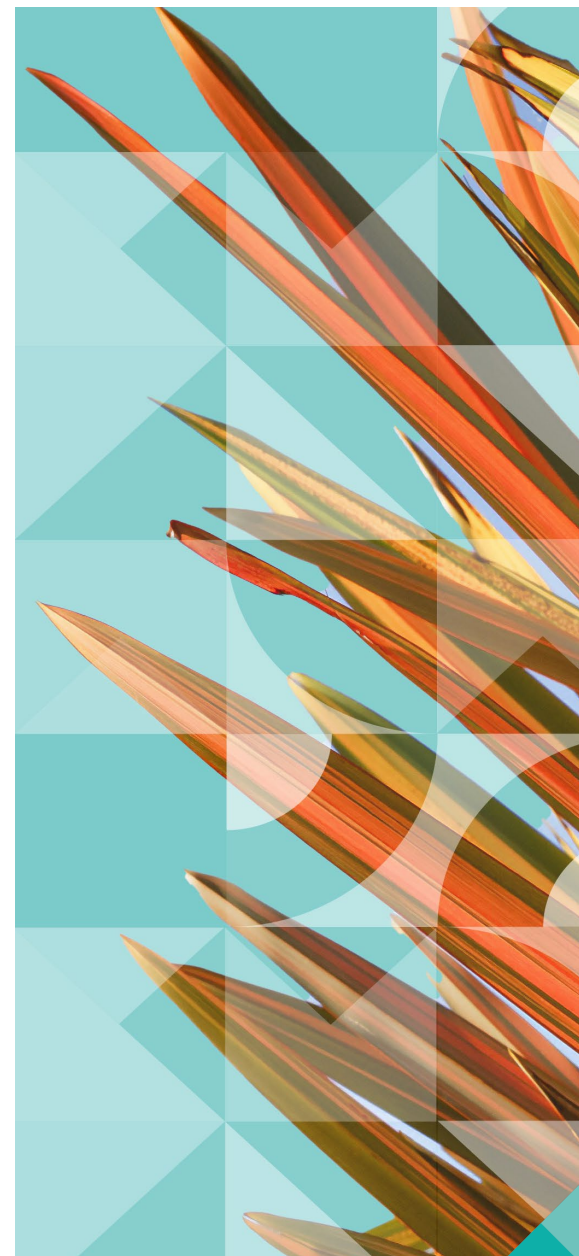
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We are not aware of any situations where a spouse or close relative of a staff member involved in the audit occupies a position with the District Council that is significant to the audit.

We are not aware of any situations where a staff member of Audit New Zealand has accepted a position of employment with the Carterton District Council during or since the end of the financial year.

AUDIT NEW ZEALAND
Mana Arotake Aotearoa

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Wellington 6140
04 496 3099
www.auditnz.parliament.nz





6.2 RISK MANAGEMENT UPDATE

1. PURPOSE

For the Committee to be updated with a summary on Council's identified and emerging risks.

2. SIGNIFICANCE

The matters for decision in this report are not considered to be of significance under the Significance and Engagement Policy.

3. BACKGROUND

Council's Risk Management Framework ensures that sound risk management practices are incorporated into Council's planning and decision-making processes. The Framework is developed by the Risk and Assurance Committee, and adopted by Council, including the risk context, risk criteria, and risk profile.

The Framework also informs the ranking for the Risk Register (**Attachment 1**) which outlines Council's identified risk items. The Register is reviewed and reported to the Committee on a quarterly basis.

4. IDENTIFIED RISKS

The Risk Register currently contains 31 identified risk items, including Council's Top 5 Strategic Risks. Each risk has an associated unmitigated 'raw score', recorded in the first column, and a subsequent score, once mitigations have been applied, in the second column.

There have been no changes to the Risk Register since the last meeting in August therefore the overall categorisations remain as below:

Risk Score (unmitigated)	Risk Score (mitigated)	Level of Risk
13	Zero	Extreme risk
14	3	Significant risk
4	14	Moderate risk
Zero	14	Low risk

5. EMERGING RISKS

Council manages a number of emerging risks, typically short term, that may or may not already be captured within the Risk Register. These will be reported to Council in detail as they arise, however the following is a summary of the predominant risks:

5.1 Local Body Elections

As outlined within Risk 7 of the Risk Register, staff managed a number of risks associated with the election period and process. These included protecting Council's integrity, transparency and reputation, ensuring compliance with legislative obligations, providing sufficient staff resourcing particularly across the Democratic Services Team and the Communications and Engagement Team, delivering engagement activities, and enabling council to complete its business within the decision-making time period requirements.

With the election process now complete, management are very happy with the successful delivery of the campaign including the coordination of the internal project team, and community engagement.

CDC again maintained its position in the top quartile of councils for voter participation nationwide with a turnout of 53.36 %, exceeding the LTP target of $\geq 50\%$.

The project team will meet to debrief and record lessons learned for the next elections including one issue raised with Elections NZ regarding the publication of nominators' details.

5.2 Local Water Done Well

Following Council's decision to join with the Tararua, Masterton, and South Wairarapa councils to deliver water services, all four councils have now had their Delivery Plans approved by the Department of Internal Affairs (DIA). Councils are now required under the water legislation to move forward together to implement the plan to establish the new company and prepare for the operational transition of water services from councils.

Identified risks CDC are managing are:

- The new company will not be operational until 1 July 2027. Until that date, water services will continue to be delivered by Councils under current arrangements. It is critical that Council's current water quality and levels of service are maintained during this period.
- Key personnel risks remain, however managers are mitigating this by keeping staff informed and managing any queries or concerns raised. This applies to not only Three Waters staff, but also to those across the Council whose roles may be impacted by the reduction in Waters service delivery. To date, we have not lost any staff due to the uncertainty or change process.
- Contractors and suppliers also had some uncertainty across the region however, with the confirmation of the establishment of the new company, any major capital projects placed on hold may now proceed.
- The establishment is being led by an external Transition Team however there is a risk that there will be increased information or activity requirements on council staff 'business as usual' workload. To mitigate this, each council has appointed an internal Transition Lead who will act as a lead point of contact with the Transition Team, coordinating and streamlining work demands.

- Other, less critical risks are present and will be encountered as the establishment and transitions plan progresses. These risks are being managed accordingly by officers, and will be escalated to Governance as required.

5.3 Annual Report

The Annual Report was endorsed by the Committee on 1 October, and adopted by Council on 30 October, meeting our legislative requirements and LTP performance measure for adoption 'on time with an unmodified audit opinion'.

The audit opinion did include an emphasis of matter paragraph regarding the Council's response to the Government's Local Water Done Well reforms, however, this was consistent across nearly all councils working through waters reform. The emphasis of matter is not a negative finding but draws attention to the financial uncertainty that exists as a result of the proposed formation of the Wairarapa-Tararua joint entity because details of the exact arrangements are still being considered.

Management are very happy with the overall result of the Report and the audit, which was made particularly successful with Audit NZ's clearance of the three qualifications reported in the 2024 Annual Report. Council teams worked very well with auditors and PriceWaterhouseCoopers (PWC) who provided support across a number of areas including a peer review of the Community Survey methodology.

Additionally, the redesigned Annual Report incorporates new non-financial performance measures aligned with LTP objectives and Office of the Auditor General (OAG) guidance, and enhances transparency and public understanding of Council's performance.

5.4 Combined District Plan

The review of the Plan is now complete, and the statutory appeal period has commenced. The risk of legal challenge or dispute is traditionally very high during this process, however the exemplary experience and professionalism of the committee and council team managing the process has enabled transparent, robust and in parts, innovative outcomes.

5.5 Organisational Changes

Management continues to review Council's organisational structure and service delivery as opportunities arise. This includes reviewing operations to ensure we are delivering as effectively and efficiently as possible, that council is well positioned to meet future potential impacts such as Local Water Done Well, legislative and regulatory change, and potential Wairarapa amalgamation developments.

5.6 Legislative Changes

The pace of change continues through a range of legislation including the Local Government (Systems Improvement) Amendment Bill. This Bill continues the government's re-focus of the purpose of councils to provide for good-quality local infrastructure, public services, and regulatory functions in a way that is most cost-effective for households and businesses, while supporting local economic growth and development. This also includes the removal of the four Community Wellbeings. Taituarā have provided a submission on behalf of member councils which can be viewed here - <https://taituara.org.nz/wp-content/uploads/Regarding-the-Regulatory-Systems-Internal-Affairs-Amendment-Bill.pdf>

The other prominent legislative changes we are monitoring are to the Resource Management Act 1991, Building Act 2004, Emergency Management Act 2002 and the Employment Relations Act 2000.

5.7 New Council

There is a small level of risk related to the election of the new council including a new Mayor and Deputy Mayor (DM), and the inexperience of new elected members. As the Mayor and DM are returning members, and there are only three new members, this risk is relatively low. Through its Induction Programme, management are supporting the need to quickly establish effective governance practices, risk management, and decision-making processes. The main goal of the programme is to ensure elected members have every opportunity to clearly understand their role and responsibilities, and develop the skills and knowledge required to perform their job well and in the best interests of the District.

6. CONSIDERATIONS

6.1 Climate change

Climate change risks and mitigations are outlined in the Risk Register.

6.2 Tāngata whenua

There are no specific tāngata whenua considerations required in this report.

6.3 Financial impact

There are no budgetary implications required in this report.

6.4 Community Engagement requirements

There are no community engagement requirements required in this report.

6.5 Risks

Council risks and mitigations are outlined in the Risk Register. There are none associated with this report.

6.6 Wellbeings

There are no community wellbeing considerations required in this report.

7. RECOMMENDATION

That the Committee:

1. **Receives** the report.

File Number: 492792

Author: Marc Ferguson, Chief Financial Officer

Attachments: 1. CDC Risk Register [↓](#)

Carterton District Council Risk Register

TOP 5 STRATEGIC RISKS	POSSIBLE CAUSE	MITIGATION	RAW Risk Score	MITIGATED Risk Score
1) Strategic partnerships	- Significant change in the local government sector at national and regional levels - Poor relationships and communication with key stakeholders including iwi, hapū, Wairarapa councils, and central government agencies - Changed and/or increased legislative obligations challenges available resource capacity - Misalignment between government and Council's strategic goals and failure to adapt to changes may affect community wellbeing outcomes	- Achievement of statutory requirements and obligations are resourced appropriately - Elected member and staff code of conduct requirements are followed - Appointment of key staff roles to support relationships and deliver common objectives - Cultural competence of elected members and staff - Partnerships supported by Memorandum of Understandings, or similar documents, where relevant		
2) Climate change	- Water supply and water supply network area at risk against extreme weather events and droughts - Wastewater and stormwater networks at risk against extreme weather events and inland flooding and inundation - Wastewater Treatment Plant at risk against extreme weather events and inland flooding - Land transport at risk against extreme weather events, erosion and inland flooding	- Climate Change strategy and action plan - Risk and Resilience Strategy - Wellington Regional Climate Change Impacts Assessment (WRCCIA) - Wellington Regional Adaptation Plan (based on the WRCCIA, an adaptation plan will be developed in 2024) - Underground reticulated networks renewal and upgrade capital programmes - Two additional 2 million litre water storage tanks built and online adding to resilience - Wastewater Treatment Plant headworks upgrades programmed (to be completed)		

Carterton District Council Risk Register

TOP 5 STRATEGIC RISKS	POSSIBLE CAUSE	MITIGATION	RAW Risk Score	MITIGATED Risk Score
	- Buildings at risk against extreme weather events and increased temperature - Swimming pools at risk against droughts - Parks, reserves and forestry at risk against extreme weather events, inland flooding, droughts, wildfire and increased temperature - Solid waste collection at risk against extreme weather events, erosion and inland flooding - Transfer station at risk against extreme weather events and wildfire - Council's budget at risk against climate change (loss of income, increased cost of doing business, increased premiums, increased carbon price, etc) - Civil defence at risk against climate change (more natural disasters) - Employees and elected members at risk against climate change (H&S risks due to natural hazards, increased temperatures, etc) - Governance at risk against climate change (maladaptation,	Encourage and support community-based action and activities		

Carterton District Council Risk Register

TOP 5 STRATEGIC RISKS	POSSIBLE CAUSE	MITIGATION	RAW Risk Score	MITIGATED Risk Score
	dropped level of service, litigation, reputation, etc)			
3) Delivery of critical services	- Inconsistent and/or ineffective performance monitoring of service level targets - Lack of investment in infrastructure to meet future needs - Poor communication with ratepayers, customers and communities - Insufficient resources and/or capability and capacity of staff - Poor project management from inception through to post-implementation reviews - Lack of capability in performing comprehensive cost benefit analysis - Inadequate financial controls or a financial system which provide an up-to-date reporting ability - Misalignment between delivery expectations and budgets	- Staff are appropriately qualified and trained in roles - Robust strategic performance measurement and reporting framework in place - Robust asset management plans in place, regularly reviewed as part of the LTP. - Sufficient funding for planned capital works and necessary asset maintenance. - Project management framework and processes are effective including appropriate monitoring and oversight - Dedicated asset management plans and tools are in place - Financial controls are well managed including governance oversight and audit processes		
4) Financial management/sustainability	- Non-compliance with legislative requirements and financial strategy - Financial systems and processes secure, reliable, and real time	- Statutory deadlines and compliance reporting maintained. - Financial policies updated. - External audit is conducted efficiently and effectively.		

Carterton District Council Risk Register

TOP 5 STRATEGIC RISKS	POSSIBLE CAUSE	MITIGATION	RAW Risk Score	MITIGATED Risk Score
	• Fraud (misappropriation on Council funds) · Inability or difficulty securing funding • Lack of internal control • Inadequate forecasting and budgeting • Poor project management and project budgets	• Budget holder review processes • Debt Collection (Dunning) processes in place. • Budget managers accountable and responsible for budget management • System controls including unique logins, e-purchase orders, and delegation processes for budget management. • Annual Leave balances reviewed frequently for high balances.		
5) Health, safety, and wellbeing	• Contractors carrying out work on Council's behalf without correct health and safety plans • Event Centre venue hirers without health and safety plans • Staff working alone in remote working areas • Staff interacting with troubled or difficult people who may react badly • Equipment misuse/failure • COVID 19 outbreak through Council Staff or from a Council run venue • Staff mental wellbeing adversely affected by stress and fatigue	• Health and Safety Policy and requirements instigated across Council • Sitewise platform to record and monitor contractor health and safety requirements • Robust contracting procurement that includes health and safety requirements • Create evacuation guide to be given to hirers and placed in main areas of high visibility • Adequate training for staff in high-risk areas • Equipment is maintained and regularly serviced • Personal camera for animal control and other high-risk roles • Policy not to work alone where possible danger exists • Use of Garmin In Reach devices for remote workers • All council vehicles have GPS tracking		

Carterton District Council Risk Register

TOP 5 STRATEGIC RISKS	POSSIBLE CAUSE	MITIGATION	RAW Risk Score	MITIGATED Risk Score
		• Pandemic response plan • Wellbeing initiatives implemented • Monitoring of staff workloads including cover for extraordinary circumstances and staff vacancies		

Carterton District Council Risk Register

CORPORATE	POSSIBLE CAUSE	MITIGATION	RAW RS	MITIGATED RS
6) Reputational damage	- Poor communication - Poor performance - Misinformed public - Poor media relationship - Conflicts of interest or perception of conflicts not managed - Inappropriate behaviour of staff or elected members - Sector damage	- Code of Conduct and/or appropriate policies - Leadership by example - Media training - Appointment of media liaison advisor		
7) Local Body elections	- Electoral fraud - Errors in election process	- Employ appropriate elected service supplier - Security measures around voting booths - Elected officer declaration		
8) Emergency Management	- Council overwhelmed in a major incident - Inappropriate decisions being made - Lack of compliance with policies and processes - Lack of capability, knowledge and ability - Lack of well-defined or practiced processes - Lack of community resilience - Lack of staff capacity - Lack of pandemic planning - Poor business continuity planning	- Emergency Management planning and delivery across the four R's – Reduction, Readiness, Response and Recovery. - Regular adequate training and competency assessment. - Policies and procedures in place and followed. - Good relationship with WREMO and other Councils, and WELA. - Ensure staff are aware of what is required and what their role is. - Asset Infrastructure resilience. - Public information and education. - Focus on potential earthquake prone buildings within the district.		

Carterton District Council Risk Register

CORPORATE	POSSIBLE CAUSE	MITIGATION	RAW RS	MITIGATED RS
		• EM and resilience factors are included in planning and regulatory considerations. • Staff have sufficient capacity to undertake training and EM duties. • Specific pandemic plan in place. • Emergency Response Plans and Business Continuity Plan regularly reviewed.		
9) Information management Cyber and Cyber Security	• Required CDC Information not stored and managed correctly. (Across all departments). • Inability to retrieve Information as required. (For Audit, LOGIMA etc) • Information and data not restored after loss. • Cyber Attack on the Council's Information and Communications infrastructure • Loss of external network Connectivity (Internet Connectivity) • Loss of Internal network Connectivity (Council network) • Council data loss Either destroyed, or loss of control of data) • Failure to comply with the Privacy Act • Weak business continuity plan	• Cyber security policies and practises in place • Business continuity plans updated to cover the changing technology environment. • Disaster recovery processes in place • Information management process in place • Enhanced remote management processes. • Multiple external network suppliers • Staff awareness and training with respect to cyber security issues • Establishment of working IT relationships across local governments • Use of NZ Archives policies for information management • Increased use of the DIA Privacy and NZ Archive frameworks. • Enhanced identity security processes		

Carterton District Council Risk Register

CORPORATE	POSSIBLE CAUSE	MITIGATION	RAW RS	MITIGATED RS
		Increased cross department awareness of information management and how it affects them.		
10) Loss of key employees	- Small Council with limited human resources resulting in a single staff member in key Council areas - Serious accident - Prolonged illness (non-accident) - Retirement - Disaffected staff resigning - Pandemic affecting staff or their families or pandemic response preventing staff from being at work - Water Services Bill - as per its first reading placing personal strict liability on Council officers	- Cross training for some work items with the wider team. - Contract availability from outside agencies - Operations manuals/Desk Files - Job Descriptions - Document extraordinary tasks - Duplicate training across staff - Succession plans where appropriate - Availability of Contractors and/or Consultants - Investment in our people - Regular communication with staff - Engaged staff - Keeping jobs interesting - Upskilling - Pandemic Policy - Business Continuity Plan - Continuing evaluation of water services being handed to a regional body		

Carterton District Council Risk Register

HUMAN RESOURCES	POSSIBLE CAUSE	MITIGATION	RAW RS	MITIGATED RS
11) Industrial action	- Unhealthy organisational culture - Autocratic management style - Workplace practices - Poor employment practices - Lack of communication - Legal action against Council	- Education and awareness of rights - Managing conflict and resolving disputes in the workplace - Effective communication with staff - Positive, solution focused relationship with Union bodies - Bargaining parties effectively represented - Organisational commitment to effective/peaceful bargaining - Respectful relationships		
12) Unethical/inappropriate behaviour	- Inappropriate computer use - Time misuse - Harassment and/or bullying of staff - Lack of policies or policies not enforced - Poor workplace culture - Lack of effective procedures and systems - Theft and fraud and other illegal acts	- Code of Conduct and/or appropriate policies including health and safety - Inspiring, capable and respected people leaders - Focus on high performance outcomes - Proactive performance coaching - Robust checks and balances		
13) Inability to retain and/or recruit workforce	- Challenging labour market - Border closures or restrictions - Wage pressures - Workplace changes (i.e. future of local Government, three waters reform) - Poor treatment of staff	- Positive work environment and culture - Regular performance review framework - Performance development opportunities - Fair remuneration - Wellbeing benefits		

Carterton District Council Risk Register

HUMAN RESOURCES	POSSIBLE CAUSE	MITIGATION	RAW RS	MITIGATED RS
14) Unfair treatment of council staff	- No framework in place to support pay, leave, overtime activities and transactions and benefits and/or bonuses - No formalised hiring processes in place - Unequal compensation and benefits	- Proactive staff engagement and open-door policy - Policies and procedures in place and followed - Checks and balances in place - Collective agreements in place - HR oversight and moderation of employment conditions		
15) Hiring of unsuitable personnel	- Discriminatory practices - Poor interviewing practices - Negligent reference checks - Hiring staff who lack capability and or knowledge	- Staff training in interviewing or accompanied by experienced interviewer - Employment Agreements comply with all employment law - Induction process in place and used - Employees required to sign off on important policies and procedures - Set paperwork as required by law completed - Dedicated HR manager position - Hiring procedure in place - Collective Employment Agreements - Proactive culture that allows people to speak up		
16) Breach of employment legislation	- Lack of knowledge/ awareness of employment law - Applicable law not complied with - Required records not kept	- Managers assisted by HR specialist staff understand basic employment law - Managers briefed by HR staff when laws changes are made		

Carterton District Council Risk Register

HUMAN RESOURCES	POSSIBLE CAUSE	MITIGATION	RAW RS	MITIGATED RS
		• Employment Agreements drafted that comply with all terms and conditions of employment required by law • Management non-compliance not tolerated • Managers are aware of the records that need to be kept • Managers and human resources monitor all staff to ensure working conditions are appropriate and are not exploitative.		

Carterton District Council Risk Register

OPERATIONS	POSSIBLE CAUSE	MITIGATION	RAW RS	MITIGATED RS
17) Water supply contamination	Multiple potential points of contamination: • Failure of chlorine dosing and pH adjustment • Failure of UV disinfection • Contamination of treated water storage • Contamination of ground water bores • Frederick Street reticulation pressure pump contamination • Failure of any of the distribution system connections allowing contaminant ingress • Untrained/unsupervised or poorly trained staff • Lack of monitoring • Response delays	• Sand filtration • Bag filtration • UV disinfection (x2) • pH adjustment • Chlorination • Daily monitoring • Weekly cleaning of filters • Drinking-water supply - Water Safety Plan • Supplementary supply • Ability to isolate sections of supply (contain contaminants) • External auditing		
18) Failure of asset/infrastructure (Three Waters)	• Lack of investment in maintenance and renewal of assets • Lack of knowledge of asset state • Natural disaster (flood / earthquake) causing equipment breakage • Significant loss of IT or stored data not triggering warning alert • Loss of Power PLC / Telemetry	• Renewal programmes • Staff knowledge of asset condition • Reporting of faulty plant/equipment • Updated and adhered to asset management plans • Increased monitoring • Back-up water supply • 4m litre water storage tanks • Back-up generators		

Carterton District Council Risk Register

OPERATIONS	POSSIBLE CAUSE	MITIGATION	RAW RS	MITIGATED RS
		• Use of more resilient materials and procedures in replacement and new pipework • Council investment in wastewater plant upgrade • Back-up computer server • Back-up of telemetry data • Regular updating of telemetry & PLCs • Staff capable and trained to carry out repairs • Supplementary supply stocked up with chemical for a prolonged event. • Material in stock to carry out any foreseeable repairs		
19) Poor building/asset security	• Theft or damage to assets • Theft or damage to critical machinery	• CCTV • Alarms fitted to vital buildings		
20) Non-compliance with GRWC consents	• Significant loss of IT or stored data or data telemetry • Lack of trained personal • Lack of systematic monitoring	• Regular monitoring as per consent requirements • Back up staff trained in sampling techniques • Back-up computer server • Back-up of telemetry data		
21) Poorly run roading contracts and contracting process	• In document contractual errors • No oversight on contractual work • Poor contractual service (delays / poor work) • Cost overruns • No or poor asset condition monitoring	• Employment of CDC roading manager for project oversight • Asset engineer /roading manager/ops manager closer working relationship • Best practice contractual arrangements		

Carterton District Council Risk Register

OPERATIONS	POSSIBLE CAUSE	MITIGATION	RAW RS	MITIGATED RS
	Roads and footpaths not fit for purpose leading to accident/injury			

Carterton District Council Risk Register

RESERVES AND BUILDING	POSSIBLE CAUSE	MITIGATION	RAW RS	MITIGATED RS
22) Unsafe Council buildings or grounds in use	- Failure of specified systems (air conditioning system, fire detection, fire suppression etc.) - Disturbance of asbestos in or on the building without appropriate safety procedures - Failure of fire evacuation procedures - Earthquake prone buildings in use - Uncontrolled building access	- Building warrant of Fitness closely monitored - All suspected asbestos material identified and tested - Regular fire evacuation procedures practised for events centre and administration building - Any EQP buildings operated under Legislative requirements - CCTV in place and used - Register of all access keys and fobs in development		
23) Injuries/death at the swimming pool	- Uneven /wet surfaces causing slips and falls - Oversubscribed admission to the pool overtaxing lifeguards - Incorrect dosing of chlorine pool water (poor water quality) - Untrained or undertrained lifeguards	- Safety matting provided - Manhole covers flush with surrounding paths - Chemical handling certificates and training in pool dosing for all staff undertaking the work - Contracted trained lifeguards		
24) Injuries at council parks	- Children play equipment becoming or installed as unsafe - Incompatible activities on existing equipment - Incorrect mower or power tool use around public	- Play equipment checked 6-monthly - Clear signage of intended use - Training and supervision of inexperienced staff		
25) Incorrect or delayed cemetery interments	- Interments in the wrong site - Interment site unprepared on time	Implementation of Plotbox platform cemetery software to streamline operations		

Carterton District Council Risk Register

RESERVES AND BUILDING	POSSIBLE CAUSE	MITIGATION	RAW RS	MITIGATED RS
	- Staff and public falling into prepared graves - Heavy machinery use in public area	- Burial warrants sent to four different staff to ensure action - Training and supervision of inexperienced staff		
26) Improper chemical use	Incorrect storage or use of chemical sprays	GrowSafe handling certificate for staff		

Carterton District Council Risk Register

PLANNING AND REGULATORY	POSSIBLE CAUSE	MITIGATION	RAW RS	MITIGATED RS
27) Statutory non-compliance	- IT system providing false time keeping information - Unable to complete all required statutory tasks - Lack of resources to follow regulations - Procedures inadequate or not followed	- Close monitoring of time frames with contractual arrangements in place for overflow - Regular in-house audits		
28) Non-compliance of CDC animal facility	Animal facility below MPI minimum code of welfare standards	Upgrade to existing facility and MOU with the other two Councils to utilise their facilities when built if required		
29) Poor regulatory decision making	- Inexperienced staff - Lack of care and diligence	- New staff closely supervised by competent staff - Annual competency assessments of BCOs - Peer review of technical decisions for each BCO		
30) Operational below standard food establishment	- Lack of regular inspections by Environmental Health Officer (EHO) - No competent EHO available in Council	Qualified EHO employed		
31) Disease spread by poor animal management practices	Placement of wandering diseased stock into areas that were disease free	Stock not moved into private property without owners' approval or directed by Police		



6.3 RISK AND ASSURANCE COMMITTEE WORKPLAN 2026

1. PURPOSE

For the Committee to confirm the 2026 Annual Workplan.

2. SIGNIFICANCE

The matters for decision in this report are not considered to be of significance under the Significance and Engagement Policy.

3. BACKGROUND

In accordance with the Office of the Auditor General guidelines, it is good practice that the most critical risks in the Council's operating environment are what drives the Committee's purpose and work programme.

A good work programme often has these features:

- Review and regularly scheduled discussion of key operational areas of the organisation, risks, and strategic projects.
- Internal and external audit activities and reports, including a schedule of outstanding recommendations.
- Review and discussion of a risk report.
- Review of key accountability documents and strategies before their final approval.
- Strategic topics specific to the risks facing the Council (eg, cyber security or operational performance risks). This enables the Committee to conduct "deep dives" into these topics in addition to business-as-usual work.

4. DISCUSSION

Attachment 1 outlines the 2024/2025 Committee Workplan for review and recommended changes for 2026.

Officers recommend the Committee's feedback be incorporated and the refreshed Workplan endorsed for adoption by Council at their meeting on 10 December 2026.

5. CONSIDERATIONS

5.1 Climate change

Not applicable.

5.2 Tāngata whenua

There are no direct implications for tāngata whenua related to the decisions in this paper.

5.3 Financial impact

There are no financial impacts related to the decisions in this paper.

5.4 Community Engagement requirements

Not applicable.

5.5 Risks

The workplan is important to systematically review and provide assurance on a wide range of issues, risks and potential risks.

6. RECOMMENDATION

That the Committee:

1. **Receives** the report.
2. **Endorses** the reviewed Risk & Assurance Committee Workplan for adoption by Council at their meeting on 10 December 2025.

File Number: 493608

Author: Marc Ferguson, Chief Financial Officer

Attachments: 1. Risk and Assurance - Draft Workplan 2026 [↓](#)

Existing Terms of reference	November 2024 2025	February 2025 2026	May 2025 2026	August 2025 2026	November/December 2025 2026
1. Identify, monitor, and manage risks, including emerging risks faced by the Council. - Top strategic risks limited to 10 (noting escalation of risks) - See / monitor projects with a high risk assessment - Management to determine how reviews are to be carried out to conduct appropriate reviews on internal controls	Risk update including emerging risks	Risk update including emerging risks	Risk update including emerging risks	Risk update including emerging risks	Risk update including emerging risks
	Top five risks deep dive – one each meeting Insurance review	Top five risks deep dive - one each meeting	Top five risks deep dive - one each meeting	Top five risks deep dive - two this meeting	Top five risks deep dive - one each meeting
		Risk framework review		Risk framework review	
		Insurance review			
			WWTP Review	IT security update (public excluded)	
	Key projects reported to R&A –Emergency Management	Key projects reported to R&A - TBC –LTP Review –EQP Buildings	Key projects reported to R&A - TBC –Organisational review –Staff review	Key projects reported to R&A - TBC –Pre-election update	Key projects reported to R&A - TBC
				Staff risks (resourcing, back-up key roles, Executive)	
	Government reform update (3 waters reform, RMA, review of LG)	Government reform update (3 waters reform, RMA, review of LG)	Government reform update (3 waters reform, RMA, review of LG)	Government reform update (3 waters reform, RMA, review of LG)	Government reform update (3 waters reform, RMA, review of LG)
2. Monitor the Council’s health and safety management system and identification of risks in accordance with the Health and Safety at Work Act 2015 and any substitute legislation.	Health, Safety and Wellbeing update	Health, Safety and Wellbeing update	Health, Safety and Wellbeing update	Health, Safety and Wellbeing update	Health, Safety and Wellbeing update
3. Receive the annual external audit plan.			Receive the annual external audit proposal		
4. Review the external auditor’s management letter and management responses.	LTP Management Letter (post-Consultation Document audit).		Audit NZ letter of Engagement - Invite the Auditor Director to the meeting	Audit NZ interim report for 2025 2026	Audit NZ final report for the year ending 30 June 2025 2026
	Audit NZ final report for the year ended 30 June 2025				
	Update on Audit recommendations				
5. Monitor management of the Council’s internal control environment (not just financial), and report as appropriate to the Council on compliance with all external audit/review requirements and statutory responsibilities eg BCA RCA, Waka Kotahi.		Bi-annual Building Control Authority (BCA) audit review	Annual Report timeline and risks		
			Roading Control Authority (RCA) audit review		Roading Control Authority (RCA) audit review
6. Monitor and review the Council’s policies and Treasury performance.	Treasury Report	Treasury Report	Treasury Report	Treasury Report	Treasury Report
	Review at least once a triennium –Sensitive expenditure policy –Rating systems –Treasury Policy	Review at least once a triennium - Sensitive expenditure policy - Rating systems - Treasury Policy		Procurement	
	Delegations				Delegations
7. Review the draft Annual Report prior to consideration by Council, including consideration of reports from external auditors.		LTP Review	AP review prior to adoption.	AR review prior to adoption.	
Other Business	Proposed R & A Cttee Workplan for 2025-2026	Review Audit Proposal Letter			
	Emergency Management	Emergency Management	Emergency Management	Emergency Management	Emergency Management



6.4 TREASURY REPORT

1. PURPOSE

To provide the Committee with an update on Council's current Treasury position.

2. SIGNIFICANCE

The matters for decision in this report are not considered to be of significance under the Significance and Engagement Policy.

3. BACKGROUND

CDC's Treasury position and management are reported at each Risk and Assurance Committee meeting. This covers the current debt position, forecast debt position, compliance with policy and covenants, and risks.

This report incorporates analysis undertaken by PWC who are engaged to advise on Council's Treasury management.

This report sets out the Treasury position on 30 September 2025 advising the current status of debt and compliance against the parameters outlined in the Council's Liability Management Policy.

An update on the position of investments is reported to the Investment Committee.

4. CURRENT DEBT POSITION

The council's debt position as at 30 September 2025 is:

LGFA	\$27,100,000
Internal borrowings	\$ 7,002,261
TOTAL	\$34,102,261

As well as external borrowing through LGFA, we also have internal borrowings of approximately \$7m. Internal borrowing can be a prudent way to manage debt as we effectively spend Council cash holdings on capital expenditure and reflect this use of equity as internal loans.

Internal borrowings are not always visible in financial reporting, as only external debt is shown in the Statement of Financial Position. Our internal debt is shown in our Annual Report as part of our borrowings note disclosure. The weighted average interest rate on our borrowings with LGFA is currently 2.3%.

Interest rates have responded to economic conditions arising from global supply issues, and the movement in the OCR over the last couple of years. LGFA funding continues to be competitive compared to other lenders. Council is in a good position with a low average interest rate. Currently, internal borrowings have mitigated the external interest expense. Should we choose to refinance these internal borrowings, it will increase the external interest expense.

The current interest rate has been achieved through borrowing from several different bonds, ranging from 1 to 10 years. In selecting the bonds, we along with our advisors PWC, have considered interest rates and the timing of bonds to meet the requirements of the Council's funding policy.

Any new borrowings required to fund elements of the 2025/26 capital works programme are likely to increase the weighted average borrowing rate.

5. LIABILITY MANAGEMENT COMPLIANCE

Council's Treasury Management Policy (which includes Liability Management Policy and Investment Policy) stipulates parameters relating to the prudent management of debt. For the purposes of this report, the key policies are each addressed separately, as relevant.

Borrowing limits

The policy specifies the following borrowing limits, and Council is currently within all limits:

Limit	Council Limit	LGFA Lending Policy Limit	Position on 30 September 2025
Net external interest expense as a percentage of annual rates income	<15%	<25%	4.4%
Net interest expense as a percentage of total revenue	<15%	<20%	2.7%
Net external debt as a percentage of total revenue	<150%	<175%	81%
External debt plus available committed facilities plus liquid assets over existing external debt	Are maintained at or above 110%	Are maintained at or above 110%	129%

Liquidity Risk

Liquidity refers to the availability of financial resources to meet all obligations as they arise, without incurring penalty costs. This anticipates that Council has a minimum level of surplus liquidity to meet unexpected cash expenditure or revenue shortfall. The Policy calls for Council to maintain at least \$2m in the bank, call and term deposits with a maturity date of no greater than 30 days.

On 30 September 2025, liquid assets amounted to \$7.9m with the liquidity ratio being 131%, compared to the minimum limit of 110%. Term deposits longer than 30 days or linked to debt prefunding activity are excluded from the liquidity calculations, whereas uncommitted bank facilities are included in liquidity and current ratio calculations.

Debt Funding Risk

The maturity profile of the total committed funding in respect to all external debt and committed bank facilities is to be controlled by the following system.

Period	Minimum	Maximum
0 to 3 years	15%	60%
3 to 7 years	25%	85%
7 years plus	0%	60%

The current profile on 30 September 2025 was:

Funding summary

Bucket (years)	Maturing in period (\$)	Policy	Actual
0 - 3	\$14,700,000	15% - 60%	59%
3 - 7	\$10,400,000	25% - 85%	41%
7 - 15	\$0	0% - 60%	0%
Total	\$25,100,000		100%

As shown above, as at 30 September 2025 we remain compliant with the policy.

Interest rate risk

Interest rate exposure refers to the impact that movements in interest rates have on the Council's financial performance. Council's objective in managing interest risk is to minimise debt servicing cost and to maintain stability of debt servicing costs.

Factors that influence interest rates for long and short-term securities are beyond the control of the Council. When deciding the type of borrowing to be undertaken and what arrangements might need to be entered into to manage the interest on borrowing it is prudent to be aware of where the interest rate cycles are.

Our current interest rate profile is as follows:

Interest rate summary

#	Bucket	Min	Max	Actual
1	0 - 1	40%	90%	76%
2	1 - 12	40%	90%	72%
3	12 - 24	35%	85%	67%
4	24 - 36	30%	80%	64%
5	36 - 48	25%	75%	54%
6	48 - 60	20%	70%	27%
7	60 - 72	0%	65%	9%
8	72 - 84	0%	60%	0%
9	84 - 96	0%	50%	0%
10	96 - 108	0%	50%	0%
11	108 - 120	0%	50%	0%

As shown above, as at 30 September 2025 we remain compliant with the policy.

We have considered our interest rate exposure when drawing down borrowings and have structured our borrowings across bonds that end at different dates.

Council has \$18m in interest rate swaps to help manage interest rate risk. Swaps may be used to hedge against adverse interest rate movements. Interest rate swaps allow both counterparties to benefit from the interest payment exchange by obtaining better borrowing rates. This was done to mitigate the possible interest rate increase when term bonds are required to be repaid and drawn down as they become due.

Interest rates are starting to fall. We will continue to monitor interest rates and consider ways to manage our interest expense.

6. FORECAST POSITION

We have now completed Year 1 of the Long-Term Plan (2024/34). We had forecast that debt would be \$28.8m on 30 June 2025. As at year end 2025, our debt was \$25.1m. This reflects \$27.1m gross debt less \$2m invested to cover pre-funded debt and excludes \$7 million of internal borrowing.

This level of borrowing is well within policy limits, as shown in the Borrowing Limits table above.

Currently we are still holding internal debt and will continue to assess whether it is more prudent to continue to hold this internally or transfer to external debt through the LGFA. There are a few considerations here, including interest expense, and the fact that all the internal borrowings relate to 3 waters assets.

Counterparty Credit exposure

Credit risk is the risk that a party to a transaction will default on its contractual obligation. Council is exposed to credit risk when there is a deterioration of the credit rating:

- of an entity with which the Council places its investments.
- of a counterparty with whom the Council may transact financial derivative contracts.

To avoid such risk, investment is made in instruments that are issued by entities that fit within the following:

Counterparty / Issuer	Minimum S&P long term / short term credit rating	Investments maximum per counterparty (\$m)	Interest rate risk management instrument maximum per counterparty (\$m)	Total maximum per counterparty (\$m)
NZ Government	N/A	Unlimited	None	Unlimited
Local Government Funding Agency (LGFA)	AA- / A-1	20.0	None	20.0
NZ Registered Bank	A- / A-1	10.0(1)	10.0	20.0

Currently counterparty relationships are established with BNZ, ANZ and Westpac. Involving others will be based on our requirements, and their credit rating.

7. NEXT STEPS

Staff will continue to monitor and report on the Treasury position and compliance to the Risk and Assurance Committee. As new borrowings are drawn down, compliance with policy requirements will be considered, as well as advice from PwC.

8. CONSIDERATIONS

8.1 Climate change

There are no specific climate change considerations.

8.2 Tāngata whenua

There are no specific tāngata whenua considerations.

8.3 Financial impact

There are no financial impacts resulting from the decisions in this report.

8.4 Community Engagement requirements

There are no community engagement requirements.

8.5 Risks

Key risks relate to Treasury management areas outlined above. As demonstrated, we comply with policy and have significant headroom in terms of our borrowing capacity.

As borrowings increase, risk becomes higher. For example, changes in interest rates can have a significant impact. We continue to manage these risks and meet monthly with our external advisor PwC to assist in this.

Risks related to investments, and in particular managed funds, and the management of these risks, has been discussed in the report above.

9. RECOMMENDATION

That the Committee:

1. **Receives** the report.
2. **Notes** the current Treasury position and compliance with policy limits.

File Number: 478235

Author: Natascha Anderson, Financial Accountant

Attachments: Nil



6.5 EMERGENCY MANAGEMENT UPDATE

1. PURPOSE

For the Committee to be updated on Emergency Management (EM) activities.

2. SIGNIFICANCE

The matters for decision in this report are not considered to be of significance under the Significance and Engagement Policy.

3. BACKGROUND

Quarterly EM reporting provides assurance to the Committee that relevant risks identified in Council's Risk Register are being appropriately managed. This report updates the Committee on risks, mitigations, and activities undertaken as part of EM.

The focus of activities for the reporting period July-September has been the establishment of the shared Wairarapa EM Office, and development of the Wairarapa EM Strategy 2025-2030.

4. WAIRARAPA EM OFFICE

As advised in previous reporting, the three councils of Masterton, Carterton and South Wairarapa (Wai3C) have expanded the shared Emergency Operations Centre (EOC) model used during EM responses to establish a shared, enduring, and dedicated EM capability across Wairarapa. This development has been driven off the success of the Wairarapa Recovery Office (WRO) and its ability to deliver strong outcomes with a dedicated and focussed resource pool.

The EM Office commenced on 1 July 2025, picking up EM functions being handled by the Recovery Office expanding to include response, resilience and risk reduction. Since then, the new Manager has been working with the Wai3C Managers responsible for EM across council to document the Strategy, Risk & Policy guidelines for the EM Office.

Priority focus areas are:

Category	Initiatives / Actions
Understanding EM Risk, Assurance & Improvement	• Develop a consolidated risk landscape of EM across Wairarapa • Implement a monitoring, assurance and continuous improvement programme to measure capability and identify gaps
Strategic Planning	• Develop a Workforce Strategy • Establish a regional CIMS specialist to strengthen EM delivery

Category	Initiatives / Actions
	• Develop a regional Common Operating Picture for enhanced situational awareness • Create an ICT strategy to future-proof interoperability with partners
Policy & Operational	• Redefine WREMO's priorities focusing on reduction and resilience • Coordinate activities and planning with stakeholder groups • Review council policies where EM is a factor and align them with emergency management objectives

The first draft of the Strategy has been reviewed by the Wai3C GM's and other stakeholders, and is in the final stages of review before release before Christmas 2025.

5. CYCLONE GABRIELLE AFTER ACTION REVIEW

In an earlier Committee meeting it was highlighted that of 37 recommendations made in the report, the following and final action remains outstanding. The following is an update as at 31 October 2025:

Finalisation of the Concept of Operations (CoO) Agreement between Masterton, Carterton & South Wairarapa District Councils

With the EMWai Strategy in the final stages of agreement, the Concept of Operations will then be updated to reflect any changes in direction and additional areas of agreement. The existing document is sufficient to operate in the meantime and work has been completed on key areas to strengthen communication between Mayors, CE's and the EM leadership to overcome the issues faced during Cyclone Gabrielle.

6. GOVERNMENT ROADMAP: STRENGTHENING EMERGENCY MANAGEMENT

As advised previously, the government released a roadmap for Investment and Implementation into Emergency Management in June 2025. The roadmap will:

- Strengthen community leadership, ownership and preparedness
- Clarify roles, strengthen accountability, set standards, and provide assurance
- Make leaders accountable, and build a trained, exercised workforce
- Update warning systems and modernise antiquated technology and facilities.

It is recognised that this will require significant future investment and Cabinet has agreed to the roadmap in principle. Further work is progressing on policy development, passage of enabling legislation, and availability of new funding through future budgets.

The National Emergency Management Agency (NEMA) is running workshops and incorporating regional and local council feedback into the proposed changes. Initial workshops have covered:

1. Expanded Resilience Fund (increased and broader access criteria)
2. Increased public readiness, community develop and outreach programmes
3. Increased national response and recovery capacity and capability supporting regions.

NEMA have identified a range of smaller recovery projects, engaging directly with councils across New Zealand including Wai3C councils to participate in and provide

feedback on the structure and outcomes of these projects. This enables the voice of smaller councils to be incorporated.

7. WELLINGTON REGION CDEM GROUP 10 YEAR STRATEGY

In June, the Wellington Region CDEM Group adopted a Ten-Year Strategy to set out the path for the communities of the Wellington Region to become better connected, capable and ready not just to survive disasters, but to face them together with confidence and thrive through adversity.

The full Strategy can be viewed on the WREMO website at <https://www.wremo.nz/assets/Library/Strategies-Plans/Wellington-Region-CDEM-Group-Strategy-2025-2035-web-high-res-1-1.pdf>

From October - December, WREMO will be holding regional workshops to bring together all partners to develop collective, realistic work programmes under each of the three Strategy Goals – Managing Risk, Effective Response and Recovery, and Community Resilience.

Each workshop will:

1. Review current initiatives/ priorities across agencies.
2. Identify collective system needs using the 'most likely plus' scenario.
3. Co-design 3–5 collaborative work programmes.
4. Prioritise those that are most deliverable and impactful.

8. GENERAL RISK MONITORING ACROSS THE FOUR R'S

Activities undertaken across the Four Rs of EM (Reduction, Readiness, Response & Recovery) support EM risk mitigations.

8.1 REDUCTION AND READINESS

Community Resilience Programme (Energy Efficiency and Conservation Authority "EECA")

EECA has agreed to funding Wairarapa as a regional partner to purchase and install solar photovoltaic and battery systems in community structures, e.g. community halls, buildings or other public areas that could be used by communities to gather during an extreme event, to enhance energy resilience and in particular support communities to be better prepared for future severe hazard events. This fund has already installed solar systems into Whareama Hall (MDC), Gladstone Sports Complex (CDC) and Hau Ariki Marae (SWDC) between 2023.

MDC, on behalf of Wai3C, will act as the regional partner with EECA to provide the co-ordination and initial reporting capability. EECA have approved funding and Wai3C are waiting for EECA to finalise timelines for delivery. With co-funding of \$198,000 and the grant up to \$792,000, the potential investment into energy efficiency across Wairarapa will be at least \$990,000.

Community Readiness

Following significant community engagement, Ngāwi has been established as the fourth Community Hub in South Wairarapa, and 17th across the Wairarapa. After recent severe weather events across New Zealand, and particularly Southland, the value of Community Hubs and enabling communities to support themselves before, during and post extreme events has become evident.

WREMO has continued engagement with Wairarapa iwi, offering support for marae emergency planning. This service compliments the current marae response capability and provides visibility to other considerations.

WREMO have also engaged with Pasifika in Wairarapa, identifying opportunities to support during and between extreme events. Along with our iwi partners, Pasifika will become engaged into our regular exercises as we build a stronger understanding of working with established community groups.

8.2 RESPONSE

RECENT SEVERE WEATHER EVENTS

During late October (21, 23 and 27), there were three key weather events that struck New Zealand and impacted Wairarapa.

On Tuesday 21 October 2025 gale force winds created storm damage to trees along the roading networks across the region, generally from branch snap outs, putting pressure on councils and contractors responsible for keeping the roading networks clear. High flow levels were evident in the Ruamāhanga and Waingawa Rivers which flowed through the river network across Wairarapa. Some flooding occurred in the north and south.

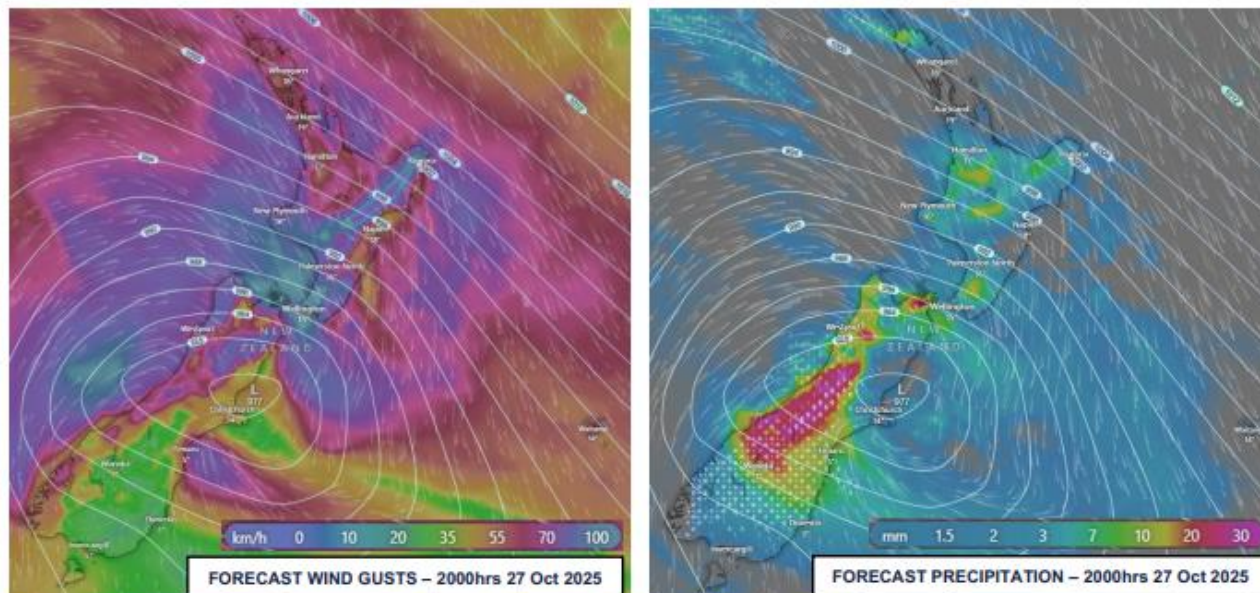
For CDC, this day was biggest impact causing widespread loss of power including the council's main office building. Staff were relocated to either work from home if they were able (some did not have power), and some worked from the Events Centre which ran on the generator. All operations staff continued to work on essential activities particularly our Roding Team, and there were no significant disruption to our services.

With a second severe weather event forecast for Thursday 24 October, the Wairarapa EOC activated and council resources assigned monitored the impact to roading and river networks, working with FENZ, WFA & Power Co to understand impact. Power outages became the primary focus as the EOC liaised with Rural Support and Dairy NZ to provide information to PowerCo on farms caught up by power failures as we asked them to consider animal welfare issues (unable to milk, cows drying off if power off for extended periods, inability for water reticulation across farms to water stock). PowerCo did prioritise areas with larger impacted properties and those who had been off for the longest periods and registered all farms provided to them so we could continue to track their progress online. Between Tuesday and Sunday, the majority of impacted properties were reconnected. The EOC closed end of day Friday and Wairarapa reverted to the duty controller to manage over the long weekend. The ECC activated and supported Wairarapa throughout. Over the weekend, the EOC offered those without power a location to charge devices and have a warm shower. While we don't believe this was taken up, it does provide us with options for future events.

The anticipated severe weather event on Monday 27 October (Labour Day) slowed and hit with less power than expected overnight Monday 27th. With already swollen rivers

and waterways, Waihenga Bridge closed and spillways activated on Tuesday 28th, closing the state highway for a period of time in South Wairarapa but we weren't hit with the high numbers of power outages experienced during 22 & 24 October.

These events continue to positively test our emergency management response capability and provide staff with real life experience outside of the artificial nature of exercises.



(Figure 1: Wind gusts and Rain/Thunder/Snow at 2000hrs 27 October 2025 – approximate peak of weather with Isobars (mean sea level air pressure in hPa) modelled by ECMWF (Source: [Windy.com](https://www.windy.com)))

EXERCISE WAI RIRI

In May and November, EMWai runs an EOC exercise that is part of a WREMO regionally co-ordinated exercise. The exercise is based on a most likely event that could impact our region. On 30 July 2025, a magnitude 8.8 earthquake occurred off the east coast of Kamchatka in the far east of Russia. The worst impact on New Zealand was at the Chatham Islands of .55m direct and .70m in rebounding waves.

In November, we are practising a distant Tsunami originating off South America that will require (simulated) evacuations of our coastline as 5m tsunami waves strike the eastern coastline of New Zealand.

Objectives set prior to the exercise include:

1	Full 8 hour shift, using reduced staffing levels
2	Induct new council employees into the EOC
3	Induct new Mayors and Deputy Mayors into the EOC operations
4	Engage directly with our Emergency Management community partners (NZP, FENZ, WFA, Health, MPI and Rural Support)
5	Expand Controller development into other CIMS functions
6	Include Recovery Managers at the beginning of the exercise to recognise learnings from the Cyclone Gabrielle After Action Review.
7	Prepare to use new GIS tools to develop a common operating picture (COP) of the size and scope of the devastation.

Additional training and workforce planning over the past 12 months has seen an improvement in the capability of EOC staff as demonstrated in the last baseline

assessment of 'basic' improving slightly to border just under 'defined' in the May 2025 exercise. Realistically we should be aiming for 'managed' over a 3-5 year period. Our path and approach is consistent with the other councils in the Wellington region.

Ad Hoc: Coordination structures in place, may be fragmented or ad hoc. Reactive preparedness measures.	Ad Hoc
Basic: Established protocols for communication, resource allocation, and control structure are documented, repeatable and followed at a basic level.	Basic
Defined: Effectively coordinates resource allocation and response activities across all responding agencies. Established protocols for information sharing and decision-making are followed.	Defined
Managed: Proactively anticipates needs of the community and other agencies and optimizes resource utilization. Decision-making is informed by real-time information and collaborative analysis.	Managed
Adaptive: Adaptive and anticipatory systems and approaches are applied.	Adaptive

Controllers

The primary role of controller is to lead teams during an event, providing the conduit for Mayors and CEs into what's happening and liaising with WREMO if the event is regionally significant. However, between events, the controllers are also on call 24/7 to assess potential impact from a variety of extreme hazard events, including earthquake, tsunami, floods, severe weather, pandemic, and lifeline failures.

In June 2025 the Joint Committee approved 2 new controllers, increasing our pool to 7 controllers available during an emergency event. In the Wairarapa, Controllers work a 24x7 duty roster and this is shared between 4 of 7 trained controllers.

Wairarapa Engineering Lifelines Association (WELA)

WELA is a group of key utility, transport, emergency management and communication stakeholders who meet regularly to assess the interdependencies and threats to each infrastructure service across Wairarapa. WELA engages with and provides regular updates on our lifeline partners, highlighting any potential risks or shared risks that Wai3C should be aware of.

As part of their role, WELA reviews key plans on a regular cycle to ensure relevancy before an event occurs. Recently they have reviewed the fuel contingency plan for Wairarapa which highlighted a number of changes required since last reviewed three years ago. This is an ongoing piece of work but required to maintain accurate information we can draw on during an event. The latest review of Hood Aerodrome identified enduring assumptions about the level of support NZDF could provide. However, the review clarified that key assumptions around fuel resupply were no longer valid, and we need to look at alternative methods for bringing in fuel in the quantity required to sustain the local population needs if cut off for an extended period of time i.e. 3 months.

WELA has also been working with councils to review Wairarapa debris disposal sites. Addressing the disposal of debris resulting from a major disaster event is important, in particular from earthquakes and tsunamis. There have been numerous examples of debris hampering urban search and rescue and the treatment and movement of the injured, as well as the restoration of lifelines. Debris may also impact on sanitation and welfare arrangements due to road access being blocked. Feedback obtained from event reports revealed that the amount of debris generated was, in some cases, equivalent to months, if not years, of normal solid waste production in the affected areas. Landfill capacities were overwhelmed; roads were damaged by trucks hauling debris; dust produced by clearance annoyed the population and caused health problems for several months. Tonnes of waste were burned, and some disposal sites were established without adequate environmental consideration (including disposal of hazardous wastes). The financial and environmental impacts may also be devastating. The importance of having a plan in place for disaster debris management has been exemplified by these experiences. There is no doubt that debris will be a major problem for the region after a major earthquake.

CDC staff recently confirmed two sites that may be suitable for debris disposal – one at the Wastewater Treatment Plant, and the second at the cemetery.

8.3 RECOVERY

Wairarapa Recovery Office Closed

Recovery as a defined activity is activated following a Response that impacts either one or more councils across Wairarapa. Learnings from the Summary Report will enable recovery to activate sooner, focus on the key areas faster, engage external stakeholders earlier and structure the recovery approach to improve outcomes for the community. EMWai has been active in supporting NEMA and WREMO to develop structured training and toolsets for use nationwide. These have already been tested in Tasman and are being adopted by regions across the country.

8.4 RESILIENCE

WREMO Regional Campaigns

WREMO staff based in Wairarapa have been supporting our communities by supporting community response practices, household and business preparedness, and 'Shake out' preparedness in schools and businesses across the region.

WREMO Wairarapa 2025/2026 work plan progress

Over the past three months the focus has been on:

- Regular continued audits of community hubs to support their readiness programme
- Facilitating radio training sessions (Hub VHF to EOC)
- Delivering emergency planning workshops to Wairarapa schools
- Engaging Iwi to upskill on the Co-ordinated Incident Management System (CIMS) and how we operate and looking for ways to support each other. This includes offering free training in the CIMS functions, including but not exclusively Welfare, Operations, Logistics, Planning, Intel and PIMS (Comms).

WREMO Wairarapa 2025/2026 work plan progress

Over the past three months the focus has been on:

- Regular audits of Community Hubs to support their readiness programme
- Facilitating radio training sessions (Hub VHF to EOC)
- Delivering emergency planning workshops to Wairarapa schools
- Engaging iwi to upskill on the Co-ordinated Incident Management System (CIMS), how we operate, and looking for ways to support each other. This includes offering free training in the CIMS functions, including but not exclusively Welfare, Operations, Logistics, Planning, Intel and PIMS (Comms).

9. CONSIDERATIONS**9.1 Climate change**

The increasing frequency of severe weather events due to climate change means we are more likely to experience environmental events such as flooding. Many EM mitigations and activities seek to address or reduce anticipated climate impacts and support adaptation strategies.

9.2 Tāngata whenua

EM activities include engagement with tāngata whenua through the EOC Pou Māori roles, and CDC Māori Liaison Team. Mana whenua representatives participate in the Wellington CDEM Group governance.

9.3 Financial impact

There are no budgetary decisions required in this report.

9.4 Community Engagement requirements

There are no community engagement requirements required in this report.

9.5 Risks

The report updates the Committee on activities and mitigations outlined in the Council's Risk Register.

9.6 Community Wellbeings

Effective EM supports the following community wellbeing outcomes:

Social

- A strong and effective council providing trusted leadership
- A caring community that is safe, healthy, happy and connected
- Fit for purpose public facilities, spaces, parks and rural reserves

Cultural

- Te Āo Māori/Māori aspirations and partnerships are valued and supported

Environmental

- A safe and resilient water supply, and wastewater and stormwater systems
- Healthy, sustainable waterways
- An environmentally responsible community committed to reducing our carbon footprint and adapting to the impacts of climate change
- A resilient community capable of responding and recovering from environmental shocks

Economic

- Quality, fit-for-purpose infrastructure and services that are cost-effective and meet future needs

10. RECOMMENDATION

That the Committee:

1. **Receives** the report.

File Number: 492794

Author: Geri Brooking, People and Wellbeing Manager

Attachments: Nil



6.6 DELEGATIONS MANUAL REVIEW

1. PURPOSE

For the Committee to review the Delegations Manual for Carterton District Council (Council).

2. SIGNIFICANCE

The matters for decision in this report are not considered to be of significance under the Significance and Engagement Policy.

3. BACKGROUND

The Delegations Manual (**Attachment 1**) sets out the Council's delegations to Council standing committees, to the Chief Executive, and to other staff. Its purpose is to clearly define the parameters under which Council committees and officers are able to act and provides a mechanism to give effective management of Council's affairs.

Council's authority to delegate to officers comes from Schedule 7 Clause 32 of the Local Government Act 2002:

Unless expressly provided otherwise in this Act, or in any other Act, for the purposes of efficiency and effectiveness in the conduct of a local authority's business a local authority may delegate to a committee or other sub-ordinate decision-making body, a community board, or member or officer of the local authority any of its responsibilities, duties, or powers.

The same clause also lists a number of matters that Council cannot delegate. These are detailed in the Delegations Manual.

4. DELEGATIONS MANUAL REVIEW

In reviewing the Delegations Manual, the Risk and Assurance Committee provide oversight and assurance to ensure the appropriate use of delegated authority, and that robust governance and control systems are in place.

The Committee's responsibilities involve:

- Reviewing and monitoring whether management's approach to the control framework, including policies and procedures for the management and exercise of delegations, is sound and effective.
- Providing assurance to the Council that appropriate systems and processes for delegations are in place and are working effectively.
- Recommending any changes or improvements to Council for their consideration.
- Ensuring that any significant issues or recommendations from internal or external audits concerning delegations are addressed by management.

5. PROPOSED CHANGES

The Delegations Manual was last adopted on 18 June 2025. Management have since reviewed and identified the following required changes:

- Clause 5.3.7
 - Addition of the People and Wellbeing Manager position to the signing authority for payment of expenditure and payroll.

Prior to a recent structure reorganisation, this position was held by an executive manager with the necessary delegated authority. Following the reorganisation, the position became a Tier 3 position and now requires a separate delegation. Authority still requires two signatures, with one being a Manager, CFO or CE.
- Clause 5.3.9
 - Addition of a new Customer Services Team Leader position to the Team Leaders authorised for financial delegations.

As the Committee do not have direct decision-making powers for the Manual's contents, or delegated authority to make or adopt changes, it is recommended that these changes are endorsed by the Committee for adoption by the Policy and Projects Committee at their next meeting on 3 December 2025.

6. CONSIDERATIONS

6.1 Climate change

There are no climate change considerations required.

6.2 Tāngata whenua

There are no tāngata whenua considerations required.

6.3 Financial impact

There are no financial considerations required.

6.4 Community Engagement requirements

There are no community engagement considerations required.

6.5 Risks

There are no risk considerations required.

6.6 Wellbeings

There are no Community Wellbeing considerations required.

7. RECOMMENDATION

That the Committee:

1. **Receives** the report.
2. **Notes** the current delegations as outlined in the Delegations Manual in **Attachment 1**.
3. **Endorses** the recommended changes for adoption by the Policy and Projects Committee at their meeting on 3 December 2025.

File Number: 493130

Author: Geri Brooking, People and Wellbeing Manager

Attachments: 1. Delegations Manual [↓](#)



Delegations Manual

Adopted by Council on 22 February 2012

Last amended on 18 June 2025

VERSION CONTROL

Date approved	Paragraph	Change
25/09/2013	8	added Land Transport Act 1998—parking wardens
27/11/ 2013	8	Sale of Liquor Act 1989 replaced with Sale and Supply of Alcohol Act 2012
18/12/2013	8	Amendment to Building Act 2004—section 371 replaces section 229(repealed)
26/03/14	8	Amendment to Sale and Supply of Alcohol Act 2012- delegated authority to Planning and Regulatory Manager and Senior Planner to assign cost/risk rating Regs 5(1), Form opinion on cost/risk rating Regs 5(6) Assign fees Regs 6(1) discretion on assigning fees Regs 6(4) and 10(2)
25/03/2015	3.6	Amendment to Hearing Appointment Committee
25/03/2015	8	Amendments to Resource Managements Act Delegations
24/09/2015	5.3.13	Minor change in “other” column to definition of Librarian and removal of Librarian \$5,000
23/03/2016	8	Inclusion of Acting Planning and Regulatory Manager for delegated authority.
23/11/2016	3.2 5.1, 5.3 5.3 6 8	Review for incoming Council: • correct the titles of committees, managers and staff • remove Creative Communities funding decisions • lower threshold for mandatory tendering • remove reporting requirements • remove sensitive expenditure policy • increase financial delegation for Corporate Services Manager • s54 added Revenue Officers • removed Acting Planning and Regulatory Manager
25/10/2017	5.3.6 5.1.1, 5.3.6 5.3.6	• add new roles of Parks and Reserves Manager (amended) and Three Waters Manager and Senior Rooding Officer • upgrade Operations Manager to Infrastructure and Services Manager • add Human Resources Manager • increase financial delegations of Infrastructure and Services Manager • remove some sections to the separate Procurement Policy • remove references to roading contract administration by consultants (now in-house)
20/06/2018		• rename Infrastructure and Services Manager as Infrastructure and Services and Planning and Regulatory Manager • remove Planning and Regulatory Manager • add Operations Manager • rename Three Waters Manager as Water Supply and Reticulation Manager • add Venue Co-ordinator and Community Development Co-ordinator as Team Leaders • remove Team Leader Water Races from Dog Control Act roles • reorder Dog Control Act sections
07/08/2019	5.3.6	• insert Ruamahanga Rooding contract delegated authority for SWDC Rooding Manager • update delegations under legislation for Environmental Health Officer
20/11/2019	3.4, 3.5	• amend delegation of authority for Council Committees.

	5.3.7	• insert financial delegation of \$10,000 for the Accountant, for planned operating expenditure. • increase delegation to write-off additional water usage to \$2,000, for Chief Executive and Corporate Services Manager.
29/01/2020	3.4	• amend delegation of authority for Council Committees.
12/08/2020	5.3.9	• Update job titles for the Infrastructure, Services and Regulatory Manager, and People and Wellbeing Manager. • Update legislative references for the Building Act 2004 and remove reference to the Fencing of Swimming Pools Act 1987 (as this has been repealed). • Add the role of Building Services Team Leader to the list of team leaders.
9/12/20	8	• Add Regulatory and Licencing Administrator to the Food Act delegations • Amend Environmental Health Officer as the Chief Liquor Licensing Inspector under the Sale and Supply of Alcohol Act delegations • Add Regulatory and Licencing Administrator under the Sale and Supply of Alcohol Act delegations
30/3/22	5-11 5.3.7 5.3.7 5.3.8 8 5.3.9	• Replace Infrastructure, Services and Regulatory Manager title with new roles of: ○ Planning and Regulatory Services Manager ○ Infrastructure Services Manager • Replace Accountant title with new roles of: ○ Project Accountant ○ Finance Team Leader • Replace Financial Services Officer with new role of Senior Financial Services Officer • Add Three Waters Compliance and Monitoring Officer • Replace Operations Manager, and Water Supply and Reticulation Manager titles with Consents, Compliance and Operations Manager • Replace Team Leader – Water Races and Stormwater, with Water Races Overseer • Add Senior Water Supply Treatment Plant Operator • Add Reticulation Service Team Leader • Change job title of Venue Coordinator to Events Centre Coordinator • Change job title of Community Development Coordinator to Community Development Team Leader
28/09/22	5.3.7	• Remove 'Write off additional water usage accounts up to \$2,000' revenue delegation to CE and Corporate Services Manager. • Replace the above by adding 'additional water usage accounts' to existing revenue write-off delegation to CE and Corporate Services Manager.
26/10/22	3.1.2 10.1.1	• Replace the Infrastructure, Services and Regulatory Manager with Planning and Regulatory Services Manager. • Replace the Chair of the Infrastructure and Services Committee with the Chair of the Policy and Projects Committee.
18/6/25	5.3.7 5.3.8 5.3.9 6 - 11	• Increase delegated limit from \$1,000 to \$5,000 • Remove delegated range from \$1,000-\$10,000 • Amend delegated range from \$10,000 - \$50,000 to \$5,000 - \$50,000

		• Remove the following positions: ○ Mechanic ○ Project Accountant ○ Finance Team Leader ○ Reticulation Team Leader ○ Senior Roding Officer • Add the following positions: ○ Chief Financial Officer (CFO) ○ Information Systems Manager ○ Senior Financial Accountant ○ Group Manager (GM) People and Corporate ○ Water Races Overseer • Change the titles of the following positions: ○ SWDC Roding Manager to Roding Manager ○ Infrastructure Services Manager to Group Manager (GM) Infrastructure ○ Consents, Compliance and Operations Manager to Waters Operations Manager ○ Community Services and Facilities Manager to Group Manager (GM) Community and Facilities ○ Planning and Regulatory Manager to Group Manager (GM) Regulatory and Planning ○ Events Centre Coordinator to Events Centre Team Leader ○ Senior Planning Officer to Planning Officer
3/12/25	5.3.7 5.3.9	• Add the People and Wellbeing Manager position to the signing authority for the payment of expenditure and payroll • Add Customer Services Team Leader position

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1. INTRODUCTION

- 1.1 This manual sets out the Council's delegations to Council Standing Committees, the Chief Executive, and sub-delegations to other staff.
- 1.2 Its purpose is to clearly define the parameters under which Council Committees and staff are able to act and provides a mechanism to give effective management of Council's affairs.
- 1.3 Council's authority to delegate to Officers comes from Schedule 7 Clause 32 of the Local Government Act 2002. The matters that Council cannot delegate are also listed in Clause 32 as follows:

"Unless expressly provided otherwise in this Act, or in any other Act, for the purposes of efficiency and effectiveness in the conduct of a local authority's business a local authority may delegate to a committee or other sub-ordinate decision-making body, a community board, or member or officer of the local authority any of its responsibilities, duties, or powers except:

- a. the power to make a rate; or*
- b. the power to make a bylaw; or*
- c. the power to borrow money, or purchase or dispose of assets, other than in accordance with the long-term community plan; or*
- d. the power to adopt a long-term community plan, or annual report; or*
- e. the power to adopt policies required to be adopted and consulted on under this Act in association with the long-term plan council community plan or developed for the purpose of the local governance statement; or*
- f. the power to adopt policies required to be adopted and consulted on under this Act in association with the long-term plan or developed for the purpose of the local governance statement"*

- 1.4 It should also be noted that Clause 32(7) states:

"To avoid doubt, no delegation relieves the local authority, member, or officer of the liability or legal responsibility to perform or ensure performance of any function or duty."

Philosophy of Council on delegations

- 1.5 The Carterton District Council believes that it is essential, in the interests of good management and effective administration, to encourage a delegation of decision making to the lowest competent level.
- 1.6 Authority and responsibility are inseparable. Those with responsibility for a task or function should always have the authority to carry it out effectively. Those with

authority should always be responsible for its wise use. Delegations should not however remove from the Council Chief Executive and managers ultimate accountability for the affairs of this Council.

- 1.7 People who have delegated authority should willingly accept authority and responsibility for decision making in the certain knowledge that their decisions, if made in a full, fair and objective manner, are unlikely to be reviewed.
- 1.8 The level of delegation is symptomatic of the health and well-being of the Council. Without it, the mutual trust and respect that should exist between members of the Council and its officers, the effectiveness and efficiency of the organisation must be at risk.

General and specific delegations

- 1.9 In this Manual, a general delegation implies the granting of authority to determine a range of matters of a similar kind as and when they arise over a period of time without further reference to the delegator.
- 1.10 From time to time the Council may delegate authority to determine a specific issue and this authority will exist only so long as that matter is unresolved and will then lapse. Such a specific delegation could occur outside the normal financial limits for tender acceptance or in any other area where the Council has confidence the correct decision will arise.
- 1.11 This Manual will be updated for general delegations as they are granted, but not those of a specific nature that will be largely historical by the time they are recorded.

Meaning of delegation

- 1.12 Delegation in this Manual means the assignment of a duty or power of action to another together with the authority to carry out that duty or complete the action assigned with responsibility for the outcome.
- 1.13 A power merely to consider a proposal is not delegation and is not therefore generally included in this Manual. It is assumed that all committees, subcommittees and officers have authority to consider any matter within their jurisdiction and submit a report or recommendation to a higher authority unless that is prohibited by law.

What may be delegated?

- 1.14 The Council itself is, in a sense, a delegatee in that its functions, powers and duties derive from Parliament through empowering legislation under which legislative, judicial and administrative authority is granted to the Council.
- 1.15 The Council is a body corporate and, for the purposes of performing its role, has full capacity to carry on or undertake any activity or business, do any act, or enter into any transaction provided it is not prohibited by legislation.

The characteristics of delegation

- 1.16 It is important to understand the following characteristics of delegation:
 - a. The delegator does not lose the functions, power or duty by delegation and may exercise this concurrently with the delegatee.
 - b. A delegation may be revoked at any time without notice.
 - c. The delegatee is acting in his or her own name on behalf of the Council when exercising delegated authority.
 - d. The Council may not rescind or amend a decision made by a committee under a delegation authorising the making of the decision. (Schedule 7 Clause 30 of the Local Government Act 2002).

Care in defining authority

- 1.17 The law recognises, in certain circumstances, the right of individuals acting in good faith in reliance of the apparent authority of a delegatee to enforce a decision of a delegatee, whether or not the delegatee in fact had the authority claimed.
- 1.18 Accuracy and precision should always be a feature when defining the scope and limitations of any delegated authority in order to protect the interests of the Council, the delegatee and any interested third party.

Statutory authority

- 1.19 The delegations contained in this Manual are made in accordance with the Local Government Act 2002 as amended and any other statutory authority permitting delegation.

2 PROCEDURES

2.1 Extent of delegation Subject to any specified limitation, term or condition applied by the delegator or by law, a delegatee may exercise the power or authority delegated in the same manner and to the same effect as could the delegator.

2.1.2 Subject to the Local Government Act 2002 and other legislation, every Committee and the Chief Executive may further delegate any power granted to them in this Manual or otherwise by the Council either generally or specifically, and may impose any term or condition upon that sub-delegation.

3 GOVERNANCE

3.1 Delegation to affix Common Seal of Council In accordance with Schedule 7 Clause 32 Local Government Act 2002 delegated authority is granted to the Mayor and Chief Executive to authorise, sign and affix the Common Seal of Council to documents requiring same.

3.1.2 This delegation extends to the Deputy Mayor and the GM Regulatory and Planning in the Mayor's or Chief Executive's absence.

3.2 World War II Memorial Trust

3.2.1 The World War II Memorial Trust Committee is delegated authority to allocate available funds in accordance with the World War II Trust Deed.

3.3 Delegations to commissioners

3.3.1 Those persons appointed from time to time by the Council as Hearings Commissioner under the Resource Management Act 1991 have the power to either individually or jointly with any other hearings commissioner hear and determine any matter raised under the Resource Management Act 1991, including such functions as Resource Consents, Variations, Plan Changes and Designations, except those functions expressly excluded by section 34A of the Act.

3.3.2 The power to process any of the aforementioned matters includes the power to decide whether to require any further information not already requested by Council staff and whether the application is to be notified or non-notified.

3.3.3 The following members shall be deemed for the purposes of this delegation to be a Hearings Commissioner:

- a. all Council members having passed the relevant qualification to adjudicate on resource consent applications
- b. any independent resource management commissioner that holds current relevant qualifications

- c. for the purpose of adjudicating on a non-complying activity to form part of the Hearings Panel, any member of the Combined Councils Hearings Committee outside of the Carterton District.

3.4 Hearings Committee

- 3.4.1 The primary purpose of the Hearings Committee is to address matters relating to the regulatory and judicial responsibilities of Council.
- 3.4.2 The Hearing Committee will have the authority to act and make decisions in accordance with its Terms of Reference, authorised by the Council.

3.5 Other Committees

- 3.5.1 The Committees of the Council, that may be established by the Council from time-to-time, will have the authority to act and make decisions in accordance with their Terms of Reference, authorised by the Council.

4 DELEGATIONS TO CHIEF EXECUTIVE

4.1 Appointment of staff

- 4.1.1 The Chief Executive is responsible under the Local Government Act for employing, on behalf of the Council, all of the Council's staff and negotiating their terms of employment.

4.2 General delegations

- 4.2.1 The Chief Executive, as head of the Council staff, has delegated responsibility and accountability for managing the administrative affairs of the Council. He or she may exercise any of the powers granted under this Manual to any officer and may without further authority exercise all reasonable powers incidental to the position of Chief Executive. Decisions made by him or her, nevertheless, shall conform with legislation and with Council bylaws, resolutions, policies and plans.
- 4.2.2 The Chief Executive may delegate any powers granted to him or her to any officer of the Council.
- 4.2.3 The Chief Executive may temporarily curtail any authority delegated to any officer or apply any term or condition to its use.
- 4.2.4 Subject only to the ultimate power of the Council to interpret its own delegations, the Chief Executive shall be the principal advisor on the extent and nature of delegated authority granted under this Manual.

- 4.2.5 The Chief Executive may make minor amendments to any Council document or policy where the substance is not modified or altered.
- 4.2.6 The Chief Executive has general delegated authority to take such action as is necessary to implement the decisions of Council, discharge the responsibilities of the position, and promote efficiency.

4.3 Specific delegations

- 4.3.1 The following delegated authority is specified to provide some control and clarity with respect to identified functions. The exclusion of any particular authority or power from these delegations shall not limit or prevent the Chief Executive from reasonably and effectively carrying out the responsibilities of the position.
- 4.3.2 Authorities delegated by Council:
 - a. The Chief Executive may enter into arrangements for the placement of all the Council's insurance policies.
 - b. The Council authorises the Chief Executive to be the person in lawful occupation of land owned, occupied or controlled by the Council for the purposes of the Trespass Act 1980, and the Chief Executive may make further delegations of this power, as appropriate.
 - c. The Council delegates to its Chief Executive:
 - (i) all of its powers under Carterton District Council Bylaws and Model Standards Bylaws
 - (ii) its powers to appoint authorised officers for the purposes of performing duties under any of the Council's bylaws
 - (iii) its powers to institute any enforcement action, including a prosecution for an offence against any of the Council's bylaws, together with the power to make any decision pertaining to such enforcement or prosecution.
 - d. The Council delegates to the Chief Executive its powers to temporarily close part or all of a recreation reserve (noting that the Chief Executive must seek consent from the Minister of Conservation as required by section 53(1)(d) or 53(1)(e) of the Reserves Act 1977 where it is proposed to close part or all of the recreation reserve).

5 FINANCIAL DELEGATIONS

5.1 Delegations

- 5.1.1 In exercise of the power vested in Council pursuant to Schedule 7(32) Local Government Act 2002 and all other powers enabling it in that behalf, the delegations listed in the schedule hereunder are approved with immediate effect and are subject to the following limitations:
- a. Council or Committee approval is required for any actions exceeding the limits delegated to the Chief Executive.
 - b. No employee shall approve timesheets, leave, expenditure or a benefit that relates to themselves or for the purpose of personal gain. In all such instances the individual's Manager must give approval. The Mayor shall approve the Chief Executive's expenses and leave. The Chief Executive must approve Managers' expenses and leave.
 - c. The procurement and approval of goods and services must be done in accordance with the provisions of the Procurement Policy.

5.2 Variation of budgets

- 5.2.1 "Budget" means the sum represented by any item contained in a significant activity of the budgets adopted by the Council for that financial year.
- 5.2.2 The Chief Executive may vary any budget where the variation will allow the Department concerned to better achieve the purpose or purposes for which the budget was adopted.
- 5.2.3 The Chief Executive may vary the constituent sums that make up a budget where:
- a. the relevant Manager and the Chief Executive confirm that the variation can be appropriately funded or will be funded from savings made on other sums within the same budget
 - b. the variation will allow the Department concerned to better achieve the purpose or purposes for which the budget was adopted.

5.3 Financial policy and delegations purpose

- 5.3.1 This policy establishes a set of principles and rules by which the Carterton District Council will manage its finances.

Commitments

- 5.3.2 All commitments and payments are to be processed in accordance with the delegations schedules that follow.

- 5.3.3 Where practicable the purchase of goods and services will be secured by a pre-approved Purchase Order, which must be signed off by the Officer approving the purchase, or by an Office who has the financial delegation levels required for that purchase. Prior to payment, all invoices must be matched against the approved purchase order.

Operational

- 5.3.4 Delegated staff may enter into contracts for the purchase of materials and works and services (operating budget), subject to the specified amounts in respect of the purchases being provided for in the Long Term Plan or Annual Plan. The dollar amount of the delegations in respect to these individuals is scheduled below.

Capital works and maintenance contracts

- 5.3.5 Delegated staff may enter into contracts for capital works or for maintenance contracts provided that the contract is within the budget approved in Council's Long Term Plan or an Annual Plan. The dollar amount of the delegations in respect to these individuals is scheduled below.
- 5.3.6 From 1 July 2019, South Wairarapa District Council (SWDC) and Carterton District Council (CDC) have entered a Multi Party Funding agreement creating the Ruamāhanga Roads Business Unit. Staff from CDC and SWDC work as one team to deliver the Roding Asset Management Plan on the principle of a joint network covering the roads in both districts. Delegated authority is given to the Ruamāhanga Roads Roding Manager up to \$75,000 for purchase on behalf of the Ruamāhanga Roads business unit. Anything over this amount will be approved in line with normal delegation policies for each respective council. The purpose of this delegation is to ensure the smooth running of the roading shared service between SWDC and CDC known as Ruamāhanga Roads.

Financial delegations

- 5.3.7 The dollar amount of financial delegations in respect to individuals is scheduled below. It applies to each item of expenditure, excluding GST, at the time a liability is incurred.

Financial delegation	Council	CE	Manager	Team Leader	Other	Comments
Planned operating expenditure						
\$0 to \$5,000		✓	✓	✓		
\$5,000 to \$50,000		✓	✓			

Financial delegation	Council	CE	Manager	Team Leader	Other	Comments
\$50,000 to \$200,000		√	Group Manager Infrastructure Chief Financial Officer			
\$200,000 to \$400,000		√				
Planned capital expenditure and maintenance contracts						
Up to \$75,000		√	√			
\$75,000 to \$500,000		√	Group Manager Infrastructure Chief Financial Officer			
\$500,000 to \$2,000,000		√				
Unplanned expenditure						
Capital expenditure – emergency works up to \$50,000		√				
Unplanned other work up to \$10,000		√				
Unplanned other work greater than \$10,000	√					
Signing authority						
For payment of expenditure and payroll by cheque or electronic transfer. Two signatures, one must be a manager, CFO or CE.		√	√		Senior Financial Accountant People and Wellbeing Manager	
Sale/disposal of obsolete, surplus or non-repairable fixed assets						
Land and buildings	√					
Vehicles		√	√			
Plant and equipment up to \$2,000 net book value		√	√			
Plant and equipment greater than \$2,000 up to \$50,000		√				
Computer equipment		√	√			
Stock						
Sale of surplus/obsolete or damaged stock		√	√			
Write off stock		√	√ In consultation with CE			
Transfer/Investment of Reserve Funds						
Transfer and payments – approved within the Annual Plan		√	Chief Financial Officer			
Transfers not within Annual Plan	√					
Transfer funds between Council's bank accounts		√	Chief Financial Officer			
Invest surplus funds		√	Chief Financial Officer			
Revenue						

Financial delegation	Council	CE	Manager	Team Leader	Other	Comments
Write off debts including additional water usage accounts, up to \$5000		√	√ In consultation with CE			
Write off debts including additional water usage accounts, excluding rates, greater than \$5,000 up to \$10,000	√					
Write off additional water usage accounts up to \$20					Revenue Officers	

5.3.8 Managers in respect of the above financial delegations are:

- a. Group Manager Community and Facilities
- b. Group Manager Infrastructure
- c. Group Manager Regulatory and Planning
- d. Chief Financial Officer
- e. Senior Financial Accountant
- f. Group Manager People and Corporate
- g. Parks and Reserves Manager
- h. Rooding Manager
- i. Waters Operations Manager.

5.3.9 Team Leaders in respect of the above financial delegations are:

- a. Community Development Team Leader
- b. Library Services Manager
- c. Information Systems Manager
- d. Water Races Overseer
- e. People and Wellbeing Manager
- f. Senior Water Supply Treatment Plant Operator
- g. Team Leader – Waste Water Treatment Plant
- h. Events Centre Team Leader
- i. Building Services Team Leader
- j. Parks and Reserves Team Leader
- k. Communications and Engagement Manager
- l. **Customer Services Team Leader**

6 DELEGATIONS WITHIN LOCAL GOVERNMENT (RATING) ACT 2002

Section	Details of Power	Reasons	Delegations
27(5)	The decision on whether to divide rating units and the methodology for division.	A division may be required where a single rating unit falls into a number of differential categories.	CE GM Infrastructure GM Regulatory and Planning

Section	Details of Power	Reasons	Delegations
			CFO Revenue Officers
28(2)	The decision on whether the disclosure of the name of any person is necessary to identify a rating unit.	The Rating Information Database (RID) may not contain the name of any person unless this is necessary to identify the particular property.	CE CFO Revenue Officers
29	Authority to determine objections to the RID.	An owner has the right to object to any entry in the RID on a number of grounds. Council determines whether the objection is valid and any actions required correcting it.	CE CFO Revenue Officers
35	Authority to remove a name from the RID.	A person's name may be removed from the RID in circumstances outlined in Section 35. Generally this is as a result of a sale or disposal of the property.	CE CFO Revenue Officers
39	Authority to determine objections to rates records.	A ratepayer may object to information contained in the rates records on the ground that the rates are calculated incorrectly or that the rates balance is incorrect.	CE CFO
40	Authority to correct errors in the RID and Rate Records.	Errors in the RID or rate records may be corrected even if there was no objection.	CE CFO Revenue Officers
52	Authority to agreed methods of payments for rates.	The Act allows rates to be paid by any method that is agreed by the local authority.	CE CFO
54	Authority not to collect small amounts, up to \$20.00.	The Act allows the authority to not collect small amounts where, in its opinion, it is uneconomic to do so. It is envisaged that this will only occur where the cost to collect a debt is likely to exceed the amount of the debt due.	CE CFO Revenue Officers
61	Authority to collect unpaid rates from the owner.	Where a ratepayer, other than the owner, is in default, the local authority may collect rates that are in default, from the owner.	CE CFO Revenue Officers
62	Authority to collect unpaid rates from persons other than the owner.	Where the owner is in default of their rates, the local authority may recover the rates from a mortgagee.	CE CFO
63	Ability to commence legal proceedings for the recovery of rates that are in default.	Where rates are in default, the local authority may commence legal proceedings against the owner for recovery of the rates.	CE CFO
67	Commencement of rating sales or lease provisions.	Once a local authority has received judgement and payment had not been received within the prescribed period, the authority may commence the process to carry out a rating sale or lease of the land to satisfy the level of the debt. <i>Note: This process is carried out by the District Court Registrar and does not apply to Māori Freehold Land.</i>	CE CFO
72	Authority to sell land by private treaty.	If land that was the subject of a rating rate does not sell above the reserve set by the	CE CFO

Section	Details of Power	Reasons	Delegations
		Registrar, the Registrar may, with the consent of the local authority, sell the land by private treaty for any consideration that the Registrar thinks reasonable. <i>Note: This does not apply to Māori Freehold Land.</i>	
77–83	Authority to sell abandoned land.	A local authority has the power to commence the process to have land declared 'abandoned' if rates have not been paid on it for three years, and the ratepayer: • is unknown, or • cannot be found after due enquiry, or • is deceased and has no personal representative, or • has given notice of the intention to abandon or has abandoned the land. The process is carried out through the District Court and the Court has to be satisfied the appropriate endeavours have been made to discover the owner. <i>Note: This does not apply to Māori Freehold Land.</i>	CE CFO
85	Authority to administer rate remission and postponement policies.	As defined within the remission and postponement policies.	CE CFO GM People and Corporate
99	Authority to apply for charging orders.	The Act provides that where it has proved impossible to obtain rates on Māori Freehold Land, a local authority may apply to the Māori Land Court for a charging order on the land.	CE CFO GM People and Corporate
135	Authority to sign documents for Court proceedings.	The Act authorises Council to commence legal proceedings. The authority to sign such documents needs to be delegated to appropriate officers.	CE GM Infrastructure GM Regulatory and Planning Manager CFO GM People and Corporate

7 WARRANTS OF APPOINTMENT

- 7.1 The Council must approve all warrants for Enforcement Officers pursuant to Sections 171, 172, 174, and 177 and Schedule 7 Clause 32(1)(g) of the Local Government Act 2002.
- 7.2 The Mayor with the Chief Executive has delegated authority to endorse warrants for enforcement officers; and in the absence of the Mayor and Chief Executive, the Deputy Mayor with the GM Regulatory and Planning.

- 7.3 “Enforcement Officer” means a person appointed to exercise powers of an Enforcement Officer in relation to offences against, and infringement offences under the Local Government Act including enforcement of bylaws of the local authority.
- 7.4 The Warrant of Appointment shall state the statutory authority able to be exercised by the appointee named in the warrant.
- 7.5 The appointee does not necessarily need to be an employee of Council.

8 DELEGATIONS UNDER LEGISLATION

Legislation and delegation to Chief Executive	Power to sub-delegate to	Power delegated by statute
Building Act 2004	• GM Regulatory and Planning • Environmental Health Officer • Building Team Leader • Building Control Officer	• Section 371B(1)(2)(3) Authorisation to issue Infringement Notice and Responsibility of Enforcement Officer • Sections 372(1)(a)(b), 372(2)(a)(b), and 372(3) Issue of Infringement Notice • Section 222 Entry on land and/or premises for the purpose of inspection of building and/or building works • Section 224 Holder of Warrant • Section 230 Conditions of Authorisation.
Building Act 2004 and Regulations made under that Act	• GM Regulatory and Planning • Building Team Leader • Building Control Officers • Administration Officer	Section 232 Delegation of all functions and powers of the Carterton District Council as a Territorial Authority and Building Consent Authority under the Building Act with the exception of: • Section 131 and 132 Adoption, amendment or replacement of Council’s policy on dangerous, earthquake prone and insanitary buildings • Section 213 Making of arrangements to transfer functions to another building authority • Sections 233–236 Transfer of functions, duties or powers of a territorial authority to another territorial authority • Section 219 Setting of fees and charges.
Burial and Cremation Act 1964 and Burial and Cremation (Removal of Monuments and Tablets) Regulations 1967	• Parks and Reserves Manager	• Sections 8 and 9 Manage cemeteries • Section 10 Sell burial plots • Section 49 Enable burial of poor persons to take place free of charge • Sections 54–57 Prosecute in relation to offences • Give notice, advertise and remove dilapidated or neglected monuments or tablets under the Regulations.
Dog Control Act 1996	• GM Regulatory and Planning • Animal Control Officer	• Section 14 Power of entry to land or premises to inspect and/or seize or take custody of a dog • Section 15 Power to feed and water dogs and enter a dwelling house (with consent of occupier) • Section 17 In relation to protected wildlife • Section 19 Power to request information (name, address and date of birth) for persons in charge of dogs or occupiers of land or premises on which a dog is kept

Legislation and delegation to Chief Executive	Power to sub-delegate to	Power delegated by statute
		• Section 20 Enforcement of District Council bylaws • Section 21 Classify a person as a probationary owner • Section 25 Disqualify a person from being an owner of a dog • Section 31 Classify a dog as dangerous • Section 33 Provide consent for disposal of dangerous dogs to other persons if satisfied that conditions are met • Sections 33A and 33C Classify as menacing by behaviour, characteristic or breed • Issue refunds or reduce fees • Section 52 Power to seize a dog not under control • Section 55 In the case of barking dogs, power to enter land or premises (other than a dwelling house) to inspect conditions under which a dog is kept and give written notice requiring provision to be made to abate the nuisance • Section 56 Power to remove barking dogs from land or premises • Section 57 Power to seize and destroy a dog for attacking persons, animals or protected wildlife • Section 59 Power to seize and destroy a dog in the vicinity of protected wildlife • Section 60 Power to seize and destroy a dog running at large amongst stock or poultry • Section 66 Authorise persons other than animal control officers to issue infringement notices. • Section 69 Impose and subsequently dispose of a dog • Section 70 Dispose of or return a dog impounded for barking • Section 71 Retain a dog threatening public safety • Section 71A Dispose of a dog seized.
Control of Dogs Bylaw Amendment 2007	GM Regulatory and Planning	Clause 12(1) Issuing of licences to keep three or more dogs on an urban property.
Food Act 2014	• GM Regulatory and Planning • Environmental Health Officer	• All powers, requirements and functions of Council under the Act and Regulations made under that Act.
Food Regulations 2015	• Environmental Health Officer	• Section 54 Power to refuse to process application for registration of food control plan • Section 55 Power to require further information and allow further time • Section 56-61 Power to register food control plan or not to register, and impose and vary conditions, and decide duration • Section 62, 63, 65 Power to suspend operations under registered food control plan and give directions • Section 67, 69, 70 Power to cancel registration and give directions • Section 84 Power to refuse application for registration of food business subject to national programme • Section 85 Power to require further information and allow further time

Legislation and delegation to Chief Executive	Power to sub-delegate to	Power delegated by statute
		• Section 86-89 Power to register business subject to national programme or not to register, and impose and vary conditions • Section 90-93 Power to suspend operations of business subject to national programme and give directions • Section 95-97 Power to cancel registration business subject to national programme and give directions • Section 250 Power to file charging document • Section 331 Power to apply for Compliance Order • Section 355 Reconsider a decision described in s 354(4) • Clause 3, Schedule 4 Renewal of registration.
Forest and Rural Fires Act 1977	• Principal Rural Fire Officer on behalf of the Wairarapa Rural Fire District • GM Regulatory and Planning as Deputy Principal Rural Fire Officer	• Section 19 Publish fire control measures for the district • Section 20 Prohibit fires during periods of extreme fire hazard • Section 21 Prohibit certain operations during periods of extreme fire hazard • Section 23 Issue permits to persons who wish to light fires in open air • Section 24 Issue special permits when lighting of fires in open air is prohibited • Section 27 Issue notices making or clearance of fire breaks and/or to clear land for the purpose of fire control • Section 36 Specific Powers of Fire Officer at fires to by all practical means extinguish the fire and prevent the spread thereof and to save lives and property in danger • Section 38 Issue requisitions of assistance to extinguish fires. To requisition assistance of any fit person over the age of 18 years residing or working within the Carterton district or within 8 kilometres of the boundary thereof to assist in extinguishing a fire. • Section 58 To undertake inspections and have free access at all reasonable times to the area, building, land, premises or property or to any part thereof for the purposes of ascertaining danger of fire or the spreading of fire exists thereon and otherwise for the purposes of the Act • Section 63 Give public notice of the exercise of any powers under this Act.
Gambling Act 2003	GM Regulatory and Planning	Consider applications for territorial consent for class 4 venue licences in accordance with the Class 4 Venue Policy.
Health Act 1956 and Regulations made under that Act	• Chief Executive	• Section 28 Appoint Environmental Health Officers.
	• GM Regulatory and Planning	• Section 33 Initiate proceedings in respect of nuisances • Section 41 Issue cleansing orders • Section 42 Issue repair or closing orders • Section 54 Issue consent for the establishment of any offensive trade.
	• Environmental Health Officer	• Section 81 and 82 Power to enter premises and disinfect • Section 83 Power to destroy infected articles • Section 128 Entry into dwelling house, building, land, shop or other premises and inspect same and execute works authorised under or pursuant to this Act.

Legislation and delegation to Chief Executive	Power to sub-delegate to	Power delegated by statute
HSNO Act 1996	• Environmental Health Officer	• Section 103 Entry for inspection. • Section 104 Serve a compliance order • Section 112 Issue an infringement notice • Section 136 Declare a hazardous substance or new organism emergency • Section 137 Exercise emergency powers.
Impounding Act 1955	• GM Regulatory and Planning • Animal Control Officer	All powers, requirements and functions of Council under the Act including the power to appoint pound keepers, deputies, rangers under Section 8 and Section 9 for the proper carrying out of the provisions of this Act, except the powers contained in Section 14(1) of the Act.
Land Transport Act 1998	• GM Regulatory and Planning • Environmental Health Officer • Private contractor	A parking warden may perform the functions and duties, and exercise the powers, of a parking warden that are conferred or imposed by or under this or any other Act only on a road within the district or region of the local authority that appointed the parking warden.
Litter Act 1979	• GM Regulatory and Planning	All powers, requirements and functions of Council under the Act including: • Section 5 Appoint Litter Control Officers • Section 7 Enforcement provisions • Section 10 Issue notices in relation to litter • Section 11 Make grants or spend money on campaigns for the abatement or prevention of litter • Section 13 Issue infringement notices.
	• Parks and Reserves Manager • GM Regulatory and Planning • Team Leaders • Water Races Overseer • Animal Control Officer • Environmental Health Officer	• Section 7 Powers and duties of Litter Control Officers.
Local Government Act 1974	• GM Infrastructure • GM Regulatory and Planning	• Section 319B Allocate property numbers. • Section 331 Construct footpaths and channels • Section 332 Cycle tracks • Section 333 Dividing strips • Section 334 Monuments • Section 334A Lights • Section 335 Vehicle crossings • Section 356 Remove abandoned vehicles from roads • Section 337 Require alterations to pipes and drains and apparatus on or under roads • Sections 509–511 Make and maintain drainage channels.
	• Animal Control Officer	• Section 353(c) Determine properties with substandard roadside fences and give details to the GM Infrastructure and GM Regulatory and Planning Manager.
	• GM Infrastructure • GM Regulatory and Planning	• Sections 319 and 319A Repair and naming of local roads • Section 324 Contribute to an adjoining district road maintenance • Section 326 Seek payment for betterment • Section 327A Cancel building line restrictions

Legislation and delegation to Chief Executive	Power to sub-delegate to	Power delegated by statute
		- Sections 342 and 345 Stop roads and dispose of surplus land - Sections 347–349 Impose conditions and approve any right of way plans - Section 353(c) Service and legal follow-up of notices to property owners where roadside fences have been determined to be substandard and notices not complied with - Section 357 Prosecute in relation to penalties for damage to roads - Section 338 Grant rights to lay pipes - Section 344 Enable gates and cattle stops - Section 346A Declare roads to be limited access roads - Section 461(1) To furnish certificate of land served by a private drain - Section 514 Make allowances (grants) to the owner of land to enable work to keep drainage channels clear - Schedule 10 clause 11 Authorise road closures - The making of submissions in respect of any matter arising under the Act.
	- GM Infrastructure - GM Regulatory and Planning - Parks and Reserves Manager	- Section 355 To give notice requiring the removal of overhanging trees - Section 468(1) Give notice to occupier to remove tree roots obstructing public drains.
Local Government Act 2002	- GM People and Corporate - GM Infrastructure - GM Regulatory and Planning - Waters Operations Manager - Parks and Reserves Manager - GM Community and Facilities - CFO	- Implement any proposal or decision within Council's Long Term Plan or Annual Plan except: - the powers set out in Schedule 7 Clause 31(1)(a)–(f) - any matter expressly reserved to a Committee or the Council. - Commit Council expenditure for any contract up to the value as defined under the financial delegation schedule for any one contract, subject to the Chief Executive being satisfied that the proposed expenditure is in an approved budget.
	- GM People and Corporate - GM Infrastructure - GM Regulatory and Planning	Section 241 Laying an information for a summary offence under this Act.
	- GM People and Corporate - GM Infrastructure - GM Regulatory and Planning - Parks and Reserves Manager - Environmental Health Officer - Building Control Officer - Animal Control Officer - Noise Control Officer	Appointment of Enforcement Officers and Authority to Act under Sections 171, 172, 174, and 177.
Local Government Official Information and Meetings Act 1987	- GM People and Corporate - GM Infrastructure - GM Regulatory and Planning - Waters Operations Manager - Parks and Reserves Manager - GM Community and Facilities	Section 42 All powers, requirements and functions of Council under Parts 2 to 4 of the Act.

Legislation and delegation to Chief Executive	Power to sub-delegate to	Power delegated by statute
	• CFO • GM Regulatory and Planning	Section 44A Issue Land Information Memoranda.
Machinery Act 1950 and Amusement Devices Regulations 1978	• Environmental Health Officer	Section 21a and Amusement Devices Regulations 1978 Authorise, permit, and carry out inspections in relation to amusement devices.
Privacy Act 1993	• GM People and Corporate • GM Infrastructure • GM Regulatory and Planning • Waters Operations Manager • Parks and Reserves Manager • GM Community and Facilities • CFO	Section 124 Administer all powers, requirements and functions of Council under the Act.
Public Works Act 1981	• Parks and Reserves Manager • GM Infrastructure • GM Regulatory and Planning	All powers, requirements and functions of Council under the Act, including: • Sections 133–135 Deal with trees on roads • Section 234 Emergency entry onto land to repair public works • Section 237 Control excavations near public works • Section 238 Bring action for damages for public works • Section 239 Remove property abandoned on land for a public work • Section 240 Recover land from persons holding illegal possession • To prosecute in respect of offences against the Act.
	• GM Infrastructure • GM Regulatory and Planning	• Section 23(1)(c) and First Schedule To sign notices of intention to take land for essential work • Section 107 To execute certificates of grants for land • Section 115(9) To sign certificate or notice of discharge.
Rates Rebate Act 1973	• CFO	All powers, requirements and functions of Council under the Act.
Rating Valuations Act 1988	• CFO	Section 50(1) All powers, requirements and functions of Council under the Act.
Reserves Act 1977	• Parks and Reserves Manager • Environmental Health Officer	All matters of administration enabling the Council to perform all functions of an Administering Body (including those delegated from the Minister of Conservation) under the Act and management plans with the exception of the power to: • declare land to be a reserve under Section 14 • exchange reserve land for other land under Section 15 • make bylaws under Section 106.
Resource Management Act 1991	• GM Infrastructure • GM Regulatory and Planning • Parks and Reserves Manager • Environmental Health Officer • Building Control Officer • Team Leaders	• Sections 315, 316, 320 and 321 Ensure compliance with an Enforcement Order, apply for an interim order and change or cancel an enforcement order • Section 322 Service of abatement notices. • Section 323-324 Power to enter premises for compliance with an abatement notice and form and content of abatement notice

Legislation and delegation to Chief Executive	Power to sub-delegate to	Power delegated by statute
	Enforcement Officer appointed under s38 (except for sections 330, 331 and 336)	- Sections 327–328 The functions and powers relating to excessive noise - Section 330 Power to undertake emergency works or remedial action - Section 331 Reimbursement or compensation for emergency works - Section 332 Power of entry onto any place or structure (except dwelling) for inspection and/or to take samples - Section 333 Power of entry (except dwelling house) to carry out survey investigations, tests or measurements. - Section 336 Return of property seized under s323 and s328 - Section 343C Power to prepare and deliver infringement notice
	- Environmental Health Officer - Private contractor	Sections 327–328 Functions and powers relating to excessive noise.
	- GM Infrastructure - GM Regulatory and Planning - Planning Officer	- Section 10 Power to determine the existing use rights apply to a proposal - Section 20A Power to evaluate effects of activity and period of discontinuance - Section 32 Consideration of alternatives, benefits and costs - Section 34A Power to appoint independent Commissioner or panel of independent Commissioners - Section 34A Power to appoint extra Commissioner/s to assist the panel in determining application - Section 36 Require additional and administrative charges - Section 36 Remission of charges on application - Section 37 and 37A Power to waive or extend time periods - Section 38 Enforcement powers - Section 42 Authority to respond to requests to protect sensitive information and to make orders prohibiting or restricting publication and communication - Section 42A Power to require or commission report on information - Section 73 Write reports for the preparation and changes to District Plan - Section 87D Request for application to go directly to Environment Court - Section 88 Power to determine on initial receipt of an application the adequacy of an application and whether or not it should be accepted for further processing as a complete and valid application - Section 91 Deferral of application pending additional applications - Section 92 Request for further information - Section 92 Power to commission a report on any matters raised in relation to the application - Sections 95A–C Decisions on public notification, limited notification and notification - Sections 95D–F Decisions relating to adverse effects and affected persons - RMA Regulations - Public display of application notices

Legislation and delegation to Chief Executive	Power to sub-delegate to	Power delegated by statute
		• Section 96 Making submissions on applications • Section 98 To provide applicant for resource consent with a list of submissions received • Section 99 Power to initiate pre-hearing meetings • Section 99A Power to mediate • Section 100 Power to determine that a formal hearing is not needed • Section 101 Power to set hearing date and inform all parties • Section 102 Decision to waive the need for a joint hearing by agreement with the applicant • Section 103 Decision to waive the need for a combined hearing by agreement with the applicant • Section 104A–D To process applications for resource consents, including determining conditions • Section 106 Authority to decline subdivision • Section 108 Authority to impose conditions on consents • Section 108A Power to impose bonds • Section 109 Special provisions in respect of bonds or covenants • Section 110 Refund of money and return of land if activity does not proceed • Section 111 Power to impose financial contributions • Section 113 Write decisions on applications for resource consent • Section 114 To arrange notification of such decisions to appropriate parties • Section 120 Right of Appeal of a Decision of a consent authority • Section 125 Power to extend the period in which a resource consent lapses • Section 126 Power to cancel unexercised consents • Section 127 Power to change or cancel a consent condition • Section 128–132 Power to review consent conditions • Section 133A Power to make minor corrections to resource consents • Section 136 To authorise transfer of holder's interest in a water permit (other than for damming or diverting water) • Section 138 Decisions in relation to the surrender of consent • Section 139 Power to issue Certificates of Compliance • Section 139A Power to issue Existing Use Rights Certificates • Sections 142–149, 149E, 149F, 149I, 149K, 149M, 149Q, 149V Consent authority's obligations as to proposals of national significance. • Section 149G Provision of report to EPA • Section 149ZD Power to recover costs of processes from applicant • Sections 168A, 169, and 171 To receive, request additional information, notify, make reports and recommendations for Council

Legislation and delegation to Chief Executive	Power to sub-delegate to	Power delegated by statute
		• Section 172 Decision of Requiring Authority • Section 173 Notify decisions • Section 174 Appeals against a decision of a requiring authority • Section 175 Provisions of designation in combined district plan • Section 176 Effect of Designation • Section 176A Approval of outline Plans and requests for changes • Section 181(3) Minor alteration of designation • Section 182 Removal of designation on request of Requiring Authority • Section 184 Lapsing of designations which have not been given effect to • Section 189 Notice of Requirement (Heritage Order) to the Council • Section 189A Powers to decide whether to notify a notice of requirement for a heritage order • Section 190 Procedural matters relating to notice of requirement (Heritage Orders). • Section 191 Consideration of Notice of requirement (Heritage Order). • Section 192 Consideration of application for Heritage Order • Section 195A Minor alteration of Heritage Order • Section 196 Removal of Heritage Order on request of Heritage Protection Authority • Section 198C Territorial authority's decision on request • Section 198D Preparation of report regarding request in relation to Heritage Order • Section 198H–198M Procedures and requirements under section 168A or 189A • Section 220 Authority to impose conditions on subdivision consent • Section 221 Power to issue consent notice • Section 222 Power to issue completion certificate • Section 223 Power to approve a survey plan • Section 224 Power to issue a completion certificate that all conditions of subdivision consent are complied with • Section 224(f) Power to issue a completion certificate confirming that every building or part of a building complies with Section 46(4) of the Building Act 1991 • Section 226(1)(e) Power to issue a certificate confirming allotments are in accordance with the provisions of the relevant district plans and statutory documents • Sections 230, 232, and 234 Power to require an esplanade reserve or strip or access strip, to vary or cancel them • Section 235 Creation of esplanade strips by agreement • Section 237B Access strips and conditions of use of such easement, variation and cancellation of conditions • Section 237C Closure of strips to public and erection of signs

Legislation and delegation to Chief Executive	Power to sub-delegate to	Power delegated by statute
		• Section 240 Power to endorse or cancel a covenant against transfer of allotment • Section 241 Power to cancel conditions relating to amalgamation of allotments • Section 243 Power to grant, surrender, transfer, vary or cancel easements • Section 245 Power to approve a plan or survey for a reclamation • Section 267 Appearance at Environment Court Conference • Section 268 Authority to accept, on behalf of the Council, any decision reached as a result of alternative dispute resolution • Section 281 Authority to make application to Environment Court for waiver or direction • Section 294 Review of decision by Environment Court • Section 299 Appeal to High Court on question of law • Section 311–312 To apply for a declaration notification of an application • Section 316–317 To seek an enforcement order and notify same • Section 322 To serve an abatement notice • Section 325A To cancel an abatement notice • Section 325B Restrictions on certain applications for enforcement orders and abatement notices • Section 355 Vesting of reclaimed land • Section 357 Right of objection against certain decisions. • Section 388 Requirement to supply information for transitional resource consents • To make submissions in respect of any matter arising under the Resource Management Act 1991. • To enter into negotiations about, and agreeing to, costs, consent orders, withdrawals and modifications which may arise during the course of any appeal or other matter relating to a Resource Consent decision before the Environment Court
Sale and Supply of Alcohol Act 2012 Sale and Supply of Alcohol (Fees) Regulations 2013	• GM Regulatory and Planning • Environmental Health Officer	As Secretary to do all things necessary for administration of the Act including: • Section 103 authority to appoint inspectors. • Section 5(1) Assign cost/risk rating • Section 5(6) Form opinion on cost/risk rating • Section 6(1) Assign Fees • Section 6(4) and 10(2) Discretion to assign fees
	• Environmental Health Officer	Section 197 Appointment of Chief Licensing Inspector
	• Planning and Regulatory Administrator	Section 197 Appointment of Licensing Inspector
Statutory Land Charges Registration Act 1928	• GM Regulatory and Planning	Sections 6(1) and 7(2) To sign notice of a statutory land charge and to sign releases of such charges.

9 PLANNING AND REGULATORY

9.1 Where no hearing is required

9.1.1 Council grants delegated authority to the GM Regulatory and Planning to:

- a. grant or decline applications for resource consent for controlled activities or discretionary activities for which a hearing need not be held, except in the case of an application for a resource consent that has been previously determined by a hearing, in which case a hearing will be held unless after consultation with the Chairperson, or in his or her absence, the Deputy Chairperson, of the Hearings Committee, that person agreed that the matter should be dealt with under delegated authority.
- b. grant or decline applications for non-complying activities where notification is not required or a hearing is not needed.

9.2 Relocated and reconstructed dwellings

9.2.1 The GM Regulatory and Planning may approve routine straightforward, non-notified applications for dwelling relocation/reconstruction, either not requiring deposit or bond or requiring maximum deposit or bond, up to \$50,000.

9.3 Revocation of health licence registration

- 9.3.1 The Hearing Panel and Chief Executive are the Council's nominated representatives for attending health licence revocation hearings. In the absence of the Chief Executive, the GM Regulatory and Planning will replace the Chief Executive, in all cases with the power to act.

9.4 Approve applications to lay pesticides

- 9.4.1 Authority is granted to the GM Regulatory and Planning to consider applications from Greater Wellington and the Department of Conservation for consent to lay pesticides for control of Bovine Tuberculosis. Any such approval is subject to the approval of the Medical Officer of Health.

9.5 Hawkers licences

- 9.5.1 The GM Regulatory and Planning is given delegated authority to issue hawkers licences and, in his absence, the Environmental Health Officer. If any conditions pertaining to such licences are breached, approval is withdrawn immediately.

10 ROADING**10.1 Road closures where objections are received**

- 10.1.1 The Chair of the Policy and Projects Committee is given delegated authority to decide upon road closures in the event of objections being received.

10.2 Stock grazing

- 10.2.1 The bylaws pertaining to the grazing of stock on residential land shall be enforced as they read with a permit being required from Council to keep stock on such land.
- 10.2.2 Further the GM Regulatory and Planning is given delegated authority to grant such permits imposing such conditions as applicable to the application.
- 10.2.3 The GM Regulatory and Planning is authorised to sub-delegate this authority to the Animal Control Officer.

11 WATER

11.1 Water restrictions

- 11.1.1 The GM Infrastructure, in consultation with the Chief Executive, has delegated authority to impose water restrictions when and as required.



6.7 HEALTH, SAFETY AND WELLBEING UPDATE

1. PURPOSE

This report updates the Risk and Assurance Committee on recent health, safety and wellbeing (HS&W) activities.

2. SIGNIFICANCE

The matters for decision in this report are not considered to be of significance under the Significance and Engagement Policy.

3. BACKGROUND

Quarterly HS&W reporting provides assurance to the Committee that relevant risks identified in Council's Risk Register are being appropriately managed.

The People and Wellbeing (P&W) Team is responsible for reporting on risks, mitigations, and activities undertaken across People Management, Health and Safety (H&S), and Staff Wellbeing. A separate report for People Management will also be tabled.

4. FOCUS OF ACTIVITIES

The main focus of activities for the reporting period August – November has been reviewing staff policies, ongoing training of our digital HS&W platform, and maintaining staff wellbeing.

4.1 STAFF POLICIES

The following policies have been reviewed by the HS&W Committee and endorsed by ELT, and the key changes are as follows:

- Health and Safety Policy – we expect staff to report incidents, accidents and near misses as soon as is practicable, but by the end of the working day. Managers and Team leaders are expected complete and close out incidents reported within 5 working day.
- Substance and Alcohol Abuse Policy – The People and Wellbeing Manager is trained and qualified to carry out drug and alcohol testing. The policy has been updated to reflect that post-incident and random testing will now be completed “in-house”. Conducting testing internally significantly reduces costs associated with external providers and allows employees to be tested immediately, enabling a faster return to work if a negative result is confirmed.

Policies currently under review:

- Employee Code of Conduct - updating to reflect expected reporting timeframes and closing out of incidents reported.
- Training Policy

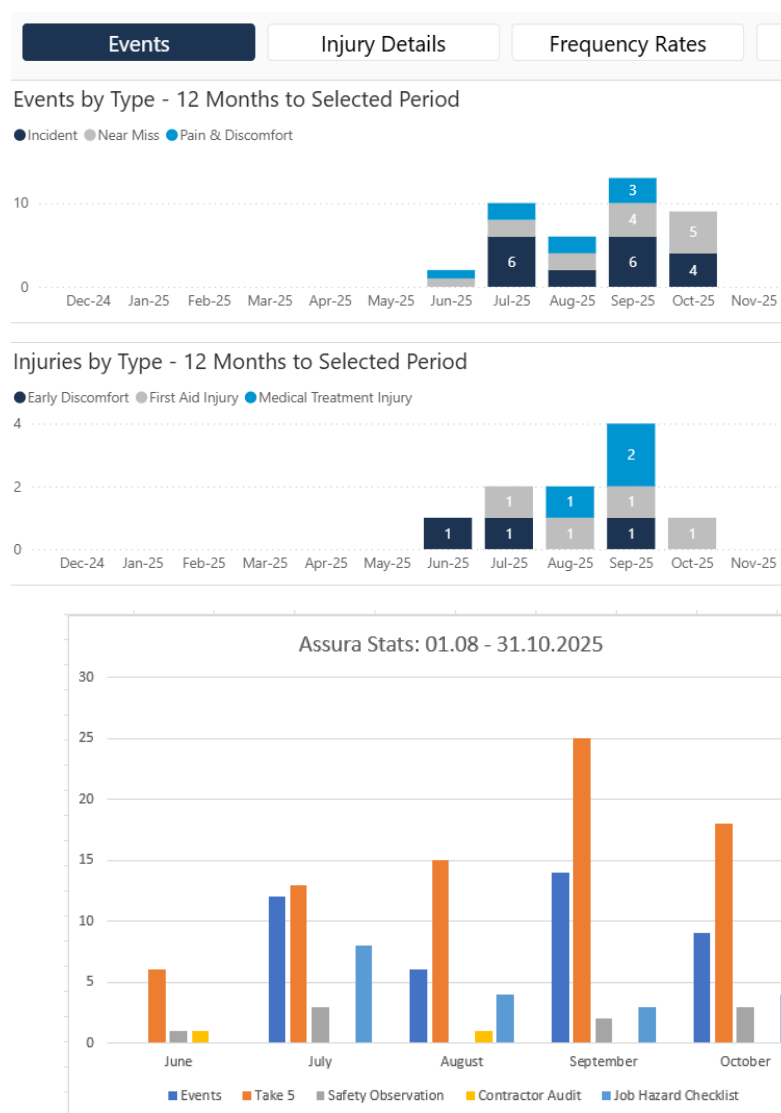
4.2 HS&W PLATFORM

Reporting of incidents by staff, including near miss reporting, continues to be consistent across all departments. Staff are reminded of the importance of reporting through our staff newsletter, toolbox/team meetings and posters displayed in staff lunchrooms. The HS&W Committee remains active and continues to demonstrate leadership in promoting a strong health and safety culture across Council.

Since the introduction of our digital reporting platform, Assura, staff have consistently used it to report incidents, accidents and near misses. Vehicle pre-start checks are completed weekly, and pool vehicle pre-checks are undertaken by each driver before use.

Since Assura went live in June we have had 40 events reported - 13 near misses, 9 reports of pain or discomfort, and 18 incidents. The majority of "incidents" (those not reported specifically as a near miss, damage etc) relate to damage to vehicles or equipment, and interactions with members of the public.

The HS&W Committee and HS&W Advisor have reviewed all incidents and are satisfied that the responsible managers and team leaders are taking appropriate actions in each case. None of the accidents have highlighted major systemic failings. The HS&W Committee supports a no-blame culture so we can continue to be working proactively in health and safety.



4.3 STAFF WELLBEING

Staff have continued to perform well, maintaining service levels despite managing absences, challenging working conditions, and an increase in weather-related service requests. During the recent severe weather event, which resulted in fallen trees, road closures, and power outages, Council staff from across all teams worked collaboratively to ensure essential services were maintained. Their collective efforts ensured that staff were well supported and that the most critical tasks were prioritised to keep the community safe.

5. GENERAL RISK MONITORING

Near miss report:

A staff member was concerned about the staffroom floor being left wet without any warning signage. Slips on wet floors can pose a high risk of injury. A new sign was ordered, and the cleaning company were asked to ensure it gets put out every day after the floors have been mopped.



Incident report:

While carrying out a work-related task in public, a CDC staff member was approached by a member of the public who attempted to intimidate them and requested a ride in the Council vehicle. The staff member appropriately left the scene immediately. The individual, along with two others, followed the staff member for a short distance.

The staff member proceeded to a safe location and contacted their manager to report the incident. After discussing the situation, the manager advised that if a similar event occurs in the future, the staff member should return directly to the Operations Yard.

This guidance was subsequently shared with the wider team during the toolbox meeting to reinforce safety procedures and ensure consistent response to similar incidents.

Pain and discomfort report:

A staff member cut their finger on their locker door. The cut was not severe, and the sharp edge of the locker was filed down immediately following the incident.

6. CONTRACTORS

Contractors are one of our 'Five Biggest Risks'.

Contractor Management

We are pleased to see that by continuing to work with our lower scoring contractors, the number of contractors in red (scores of 0-50%) and orange (scores of 51-74%) are still 0. This is a fantastic result with our average score above the national average. This reflects the excellent work of the HS&W Advisor and managers in their positive working relationships with contractors.



Two contractors are currently updating their assessments, and three contractors are to update their current insurance documents.

Contractor Audit

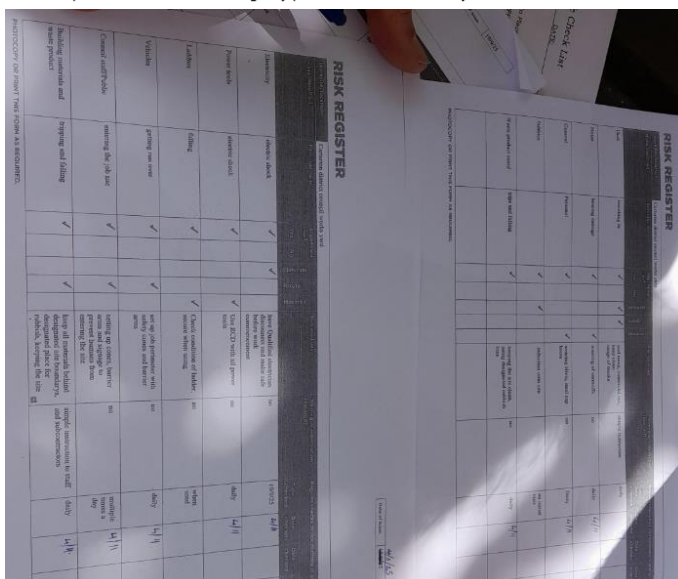
One contractor audit has been completed using Assura. The CDC staff member completing the audit noted that the contractor was missing some hazard and risk controls for the work activity and has requested their emergency procedures be added to their paperwork by 10 November.

Summary of Standards

Has the Contractor identified Safety Hazards and Risks associated with the work activity?	Yes
Are Hazard and Risk Controls in place for the work activity? (i.e. Risk Register / Task Analysis / JSA)	No
Hazards communicated to the Work Team? (Induction / Prestart / Toolbox)	Yes
Have worksite inductions been carried out for site staff / subcontractors / visitors?	Yes
Emergency procedure details are on site and available?	Yes
Site and work area adequately isolated and sign posted?	Yes
Regular Health and Safety meetings are being held?	Yes
Are hazardous substances and chemicals stored correctly?	N/A

Feedback to Contractor

Feedback provided	Emergency procedures to be added to paperwork
Follow Up Notes	Emergency procedures to be added by 10.11.2025



7. VEHICLE AND DRIVER SAFETY

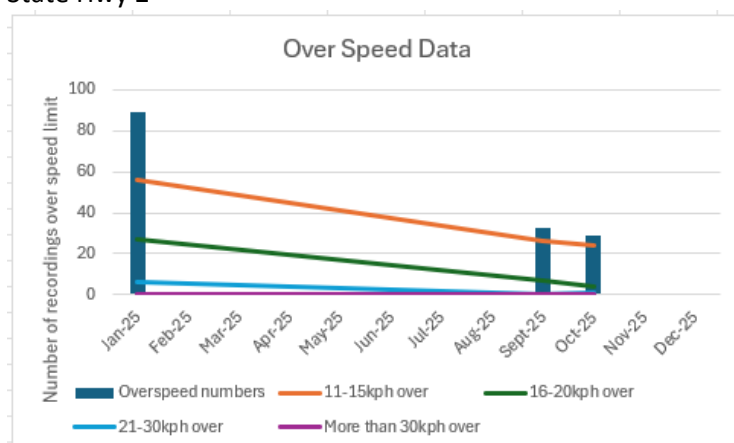
Managers and team leaders regularly monitor speed and safe driving behaviour through regular reporting from the HS&W Advisor.

We were able to restart speed data recording in August following the completion of updates to reflect the recent speed limit changes across all roads. Managing over speeding has been a key priority, and through proactive follow-up with those who have exceeded speed limits, we have seen a significant reduction in offences from January this year to the past two months. We will continue to monitor results and hold staff accountable to ensure this positive downward trend continues.

At this stage, the vehicle monitoring company we use is still unable to provide accurate data on the duration of each overspeed incident.

The roads with the most over speeds recorded were

- Moreton Road
- Pahiatua Aokautere Road
- Ludlam Street
- State Hwy 2



**Data is taken from the Cartrack Monitoring System installed in all Carterton District Council vehicles. Multiple over speed recordings may be generated by one vehicle on a single journey.*

8. TRAINING AND DEVELOPMENT

- A number of first aid refresher courses have been completed.
- Two staff members from the Waters team are completing their Certificate in applying risk management to drinking water supplies.

9. ENGAGING WITH OUR PEOPLE

9.1 HEALTH, SAFETY AND WELLBEING (HS&W) COMMITTEE

The Committee meets bi-monthly to report on HS&W issues and review incidents, near misses and hazards. The Committee remains well engaged and committed to leading HS&W across the Council. With internal promotions of some HS&W representatives, we have had two employees stand down from the committee. There are currently 7 members representing all teams across the council and supported by the HS&W Advisor. The committee will be replacing the two vacant positions.

This year the Committee will also be focusing on the implementation of the Assura Health and Safety platform, review of the council Hazard Register, and review of the Health and Safety Strategy.

9.2 STAFF WELLBEING

The council has obligations under the Health and Safety at Work Act 2015 (HSWA) to manage hazards that may impact employees H&S. This also includes personal risks such as fatigue, illness, injury, stress and emotional wellbeing.

Staff Wellbeing has been identified as one of our 'Five Biggest Risks'.

The Wellbeing Strategy details objectives and outcomes that are important to our staff and their wellbeing. Initiatives and activities undertaken directly contribute to the four segments of the Staff Wellbeing Strategy: 'Healthy Lifestyle', 'Good Working Relationships', 'Job Satisfaction' and 'Positive Culture'. Staff engagement in wellbeing and development initiatives continues to be strong, reflecting a growing culture of proactive learning and support.

Wellbeing Initiatives and Activities

Activities were:

- Weekly karakia and waiata classes
- Staff newsletter posts
- Celebrate Ya Mate
- Celebrating staff anniversaries, and acknowledgement of staff services of 5, 10 and 20 years.
- BBQ lunch to thank staff for their extra work undertaken during the storm in October.
- Skin check clinic.



My Everyday Wellbeing Platform

My Everyday Wellbeing provides a wide range of information and activities to increase the wellbeing of staff and their whānau. It provides both an interactive website and direct weekly emails to offer support and advice across wellbeing topics such as healthy eating, exercise, illness information, mental health, and financial wellbeing. This month *My Everyday Wellbeing* is focusing on managing overwhelm. This is further supported with a free webinar available to staff which will offer no-cost strategies to reset energy, feel calmer and more focused.

Managing overwhelm

♥ Save to favs

♥ Favs List

PRINT

Feeling stretched too thin? In today's fast-paced world, it's easy to get caught up in endless demands. This practical 30-minute session with our very own nutrition and wellbeing expert [Claire Turnbull](#) will share no-cost strategies to create more breathing space in your day, reset your energy, and feel calmer and more focused. You'll leave with tools you can start using straight away!



10. EMPLOYEE ASSISTANCE PROGRAMME

The Employee Assistance Programme (EAP) is a workplace wellness programme designed to boost staff performance by proactively helping them resolve personal and work issues. The programme offers confidential and short-term support that assists with a variety of issues, including financial, legal, physical and mental health. EAPs are an essential part of supporting the health and wellbeing of Council staff, increasing productivity and encouraging a positive work environment.

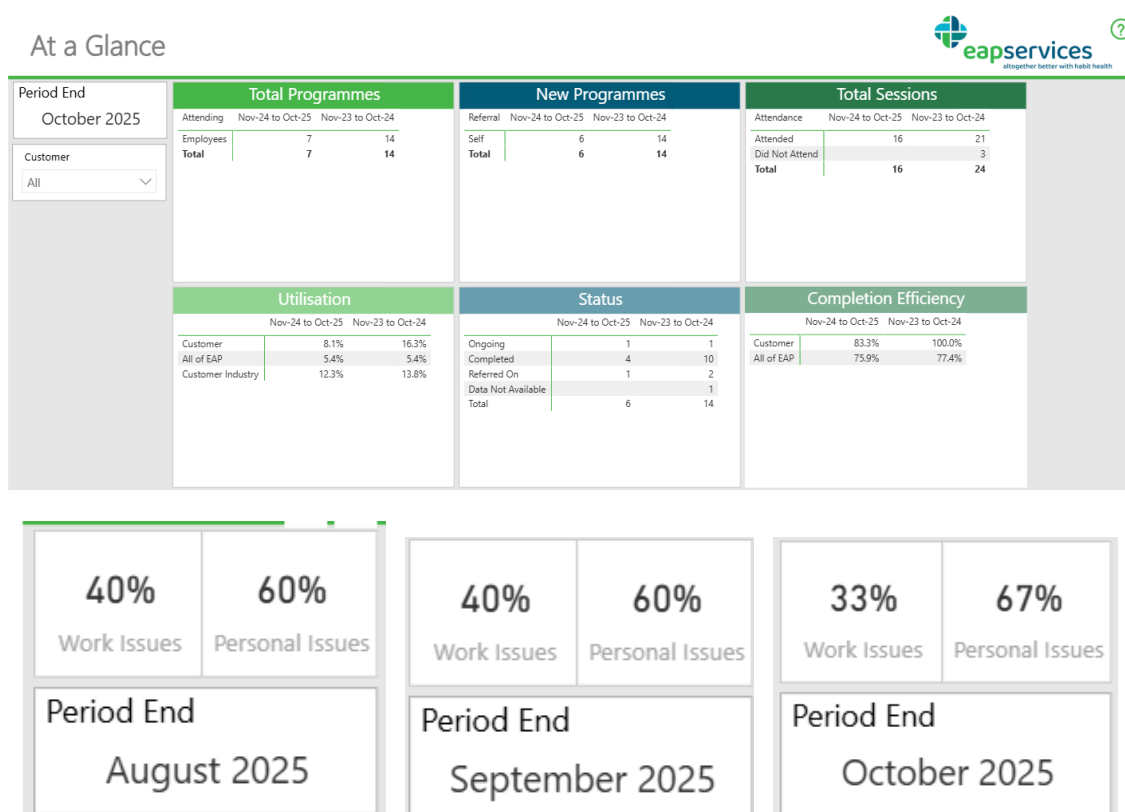
EAP services have been accessed once from August to November 2025.

At a Glance 

Period End	Total Programmes			New Programmes			Total Sessions		
August 2025	Attending	Sep-24 to Aug-25	Sep-23 to Aug-24	Referral	Sep-24 to Aug-25	Sep-23 to Aug-24	Attendance	Sep-24 to Aug-25	Sep-23 to Aug-24
Customer	Employees	6	16	Self	5	16	Attended	15	23
Carterton District C...	Total	6	16	Total	5	16	Did Not Attend	4	27
							Total	15	27
	Utilisation			Status			Completion Efficiency		
		Sep-24 to Aug-25	Sep-23 to Aug-24		Sep-24 to Aug-25	Sep-23 to Aug-24		Sep-24 to Aug-25	Sep-23 to Aug-24
Customer		7.0%	18.6%	Ongoing	1	3	Customer	85.7%	100.0%
All of EAP		5.5%	5.5%	Completed	3	10	All of EAP	76.3%	77.6%
Customer Industry		12.7%	13.3%	Referred On	1	2			
				Data Not Available	1	1			
				Total	5	16			

At a Glance 

Period End	Total Programmes			New Programmes			Total Sessions		
September 2025	Attending	Oct-24 to Sep-25	Oct-23 to Sep-24	Referral	Oct-24 to Sep-25	Oct-23 to Sep-24	Attendance	Oct-24 to Sep-25	Oct-23 to Sep-24
Customer	Employees	6	15	Self	5	14	Attended	15	21
All	Total	6	15	Total	5	14	Did Not Attend	3	3
							Total	15	24
	Utilisation			Status			Completion Efficiency		
		Oct-24 to Sep-25	Oct-23 to Sep-24		Oct-24 to Sep-25	Oct-23 to Sep-24		Oct-24 to Sep-25	Oct-23 to Sep-24
Customer		7.0%	17.4%	Ongoing	1	1	Customer	83.3%	100.0%
All of EAP		5.5%	5.5%	Completed	4	10	All of EAP	76.0%	77.5%
Customer Industry		12.6%	13.6%	Referred On	1	2			
				Data Not Available	1	1			
				Total	5	14			



11. FIVE BIGGEST HEALTH AND SAFETY RISKS

The Five Biggest H&S Risks are identified and actively monitored to ensure control and reduction measures are in place.

Currently the Five Biggest Risks we are focusing on are:

1. Contractors
2. Working alone and remotely
3. Under reporting
4. Behaviour
5. Staff wellbeing

Risk	Controls and reduction measures	Actions
Contractors Council hires contractors because it doesn't always have the expertise or capacity to undertake the activities. Contractors pose a risk principally because we have little control over their staff and their work standards while they are on the job. It is not possible for us to supervise them at a micro level. We are reliant on them to employ staff who are trained and competent to undertake the work assigned while at all times observing safe practices and their	• SiteWise contractor management system • Contractor briefing and induction processes • Site safety checklists • H&S plans included in procurement process	• All CDC contractors are being moved to SiteWise, an online contractor management platform. H&S information is provided and assessed. An assessment score of 75% or over indicates competency. At present 94% of CDC contractors are at competency level.

obligations under the Health and Safety at Work Act.	Regular contractor audits	ONGOING. - Managers and team leaders will be receiving training on the reviewed contractor processes for Sitewise. COMPLETE. - Managers and Team Leaders have the Assura App on their phones enabling them to complete contractor audits on site. ONGOING.
Working Alone and Remotely Being such a small organisation, it is often impossible for staff to work in teams or even in pairs. Staff are often required to work alone and remotely, where in some cases poor cell phone coverage is an additional factor. With the introduction of flexible working arrangements due to COVID-19, we have staff working from home more than we have had in the past.	- Staff policies: - Working From Home Policy - Remote Working Guidelines - Appropriate communication devices and body cameras - Sign in/sign out systems - Leadership support	- Lone worker app has been trialled. Information to be collated for recommendation to the ELT for purchase of lone App and to engage with a monitoring service. IN PROGRESS. - Working Alone policies and associated Standard Operating Procedures (SOPs) reviewed. COMPLETE. - Hazard Register category – Working alone and working remotely updated. COMPLETE.
Under Reporting While there is a good level of reporting any physical accidents, the risk of under-reporting of near misses needs to be constantly monitored. This is due to a combination of staff thinking “nothing happened so why report it,” and the perceived amount of time required to make a report.	- Introduction of a digital H&S platform. - Staff policies: - H&S Policy - Employment Agreement and Job Description obligations - H&S induction process - H&S communications through posters, T.V. screen notices, and staff newsletters - H&S Committee - Staff meeting, and Leaders Roopu, agenda item	- Train and encourage staff to use the digital platform for reporting, audits, observations. - Encouragement of reporting. ONGOING. - Site inspections. ONGOING.

	• ELT reporting • Site inspections	
Behaviour An unintended consequence of changes in our environment has seen Carterton District Council having to manage situations where people's behaviours pose a risk of somebody threatening or assaulting them, possibly with a weapon with potential of a fatality. Introduction of a range of services and experiences such as social media engagement and public Wi-Fi, together with external environmental factors such as mental health issues, anti-establishment sentiment, conspiracy theories, economic pressures, troublesome youth, drug and alcohol abuse have potential to result in an increase in problematic individuals frequenting CDC premises and dealing with CDC staff in the community. Cash held on premises also presents potential for robbery.	• Staff policies: ○ Robbery Policy ○ H&S Policy • Staff training: ○ De-escalation ○ Personal safety ○ Customer service ○ Cash handling and robbery • Appropriate physical office design and security measures including cameras and communication devices • Electronic payment mechanisms • Community engagement and risk awareness • Leadership support	• Refresher customer service and de-escalation training delivered (Feb 2024) COMPLETE. • Signs displayed in public offices. COMPLETE. • Online training available for staff and people leaders COMPLETE.
Staff Wellbeing Being a small organisation and having departments under-staffed is placing some teams under pressure and the need to work long hours. Staff under pressure pose a risk to themselves, the organisation, and customers. Staff under pressure can lead to burnout, stress, fatigue, all leading to both mental/physical and social affects, contributing to lower performance levels. Working long hours under pressure can lead to poorer mental health including stressful feelings, an increase in anxiety, depression and lower quality sleep patterns. This will contribute to a higher number of accidents occurring, bad decisions being made, irritability and concentration/memory issues. Employees physical health can be compromised with the increased risk of a stroke, heart problems, high cholesterol and high blood pressure.	• Staff policies: ○ Staff Wellbeing Strategy ○ Hours of Work and Fatigue Policy ○ Leave Policy • Wellbeing communications through posters, T.V. screen notices, and staff newsletters • Early recognition of stress, fatigue and burnout symptoms • Managers support a safe environment to talk • EAP Services available • Clearly defined position descriptions and resourcing • Relieving staff available from councils	• Filling of vacant roles. ONGOING. • Address lack of work-space issues through physical relocation, working from home flexibility where appropriate. ONGOING. • Undertake office accommodation assessment. COMPLETE. • Support staff uncertainty caused by Local Waters Done Well, RMA, and local government reforms. ONGOING. • Provide change management training for staff. COMPLETE. • People leaders to highlight the issue of

Combined stressors of busy workloads, staff vacancies and absences, local government reforms, and COVID-19 can impact staff wellbeing. Negative social media comments can cause stress and anxiety for staff. While we have communications specialists that can mitigate and manage these issues on the council page, many comments are made on private and community pages.	Staff training to manage negative social media impacts	negative social media behaviour at Team meetings and provide helpful tips and resources including ensuring staff raise specific issues to managers when they occur. ONGOING.
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12. CONSIDERATIONS

12.1 Climate change

None of the issues reported in this paper are considered to have climate change implications.

12.2 Tāngata whenua

There are no decision implications for tāngata whenua.

12.3 Financial impact

All work undertaken is within planned budgets.

12.4 Community Engagement requirements

No community engagement is required.

12.5 Risks

There are no risk considerations related to decisions required in this report.

12.6 Community Wellbeing

There are no community wellbeing considerations related to decisions required in this report.

13. RECOMMENDATION

That the Council:

1. **Receives** the report.

File Number: 479186

Author: Vicki McLachlan, People and Wellbeing Manager

Attachments: Nil

7 EXCLUSION OF THE PUBLIC

RESOLUTION TO EXCLUDE THE PUBLIC

RECOMMENDATION

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

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

General subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Ground(s) under section 48 for the passing of this resolution
7.1 - People Update	s7(2)(a) - the withholding of the information is necessary to protect the privacy of natural persons, including that of deceased natural persons s7(2)(f)(i) - free and frank expression of opinions by or between or to members or officers or employees of any local authority	s48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7

Kia whakairia te tapu

Kia wātea ai te ara

Kia turuki whakataha ai

Kia turuki whakataha ai

Haumi ē, hui ē, taiki ē