



**AGENDA AND SUPPORTING PAPERS**

**FOR COUNCIL'S RISK AND ASSURANCE COMMITTEE MEETING**

**West Coast Regional Council Chambers, 388 Main South Road, Greymouth  
and**

**Live Streamed via Council's Facebook Page:**

**<https://www.facebook.com/WestCoastRegionalCouncil>**

**THURSDAY, 10 February 2022**

**COMMENCING AT 10.30 a.m.**



**Committee Members**

Cr Debra Magner (Chair)  
Cr Stuart Challenger  
Cr Brett Cummings  
Cr Laura Coll McLaughlin  
Cr John Hill  
Cr Allan Birchfield  
Cr Peter Ewen

Heather Mabin (CEO)



## **RISK & ASSURANCE COMMITTEE**

### **A G E N D A *(Rarangī Take)***

**10.30 a.m.**

**Thursday 10 February 2022**

1. Welcome (*Haere mai*)
2. Apologies (*Ngā pa pouri*)
3. Declarations of Interest
4. Confirmation of Minutes (*Whakau korero*) – 1 November 2021
5. Matters Arising
6. Notification of Extraordinary and Urgent Business (*He Panui Autaia hei Totoia Pakihi*)
7. Questions (*Patai*)
8. Chairperson's Report – Verbal Update (*Nga Purongo-a-Tumuaki me nga Kaunihera*)

#### **Reports**

9. Risk Register
10. Local Government Official Information (LGOIMA) requests report
11. Quarterly Financial Report
12. Report on IT Progress and Budget
13. Change of Auditor
14. COVID Vaccination Policy
  
15. General Business

H. Mabin  
**Chief Executive**



## **THE WEST COAST REGIONAL COUNCIL**

### **MINUTES OF THE MEETING OF THE RISK & ASSURANCE COMMITTEE, HELD ON 1 NOVEMBER 2021 AT THE OFFICES OF THE WEST COAST REGIONAL COUNCIL, 388 MAIN SOUTH ROAD, GREYMOUTH, COMMENCING 10.38 AM**

#### **PRESENT:**

D. Magner (Chairperson), A. Birchfield, S. Challenger, B. Cummings via Zoom, L. Coll-McLaughlin, J. Hill via Zoom, P. Ewen

#### **IN ATTENDANCE:**

H. Mabin (Acting Chief Executive Officer) via Zoom, N. Selman (Acting Corporate Services Manager), K. Hibbs (People and Capability Manager), T. Jellyman (Executive Assistant), P. Hibbs (Information Technology), P. Jones (Risk Advisor) (left meeting at 10.46).

**Cr Magner read the prayer**

#### **APOLOGIES:**

There were no apologies.

**DECLARATIONS OF INTEREST:** There were no declarations of interest.

#### **CONFIRMATION OF MINUTES OF MEETING HELD 30 AUGUST 2021**

**Moved** (Challenger / Coll McLaughlin)

*That the minutes of the meeting held 30 August 2021 be confirmed as correct.*

*Carried*

#### **MATTERS ARISING**

There were no matters arising.

Cr Magner asked if there is any extraordinary or urgent business. There was none.

#### **CHAIR AND COUNCILLORS' REPORTS:**

Cr Magner provided a verbal report on the meetings she has attended since the last meeting, which included a number of meetings with Auditors.

#### **DRAFT RISK POLICY**

N. Selman spoke to this report and advised that Mr Philip Jones is present. N. Selman advised that a brief workshop is to be held following today's meeting.

Mr Jones advised that the objective is for the RAC to agree the policy in principle, subject to amendments, and staff will present the policy to Council on 9 November for adoption. Mr Jones advised he will be meeting with key staff over the next two days to agree on risk framework in order for the risk register to be built. He requested that Council's top risks be identified in the workshop.

**Moved** (Birchfield / Challenger)

*That the committee note the attached Risk Policy and provide feedback and recommendations as deemed appropriate to assist in the development of the final version of the policy.*

*Carried*

### **ITEM 1 - ACTING CORPORATE SERVICES MANAGER'S QUARTERLY FINANCIAL REPORT TO 30 SEPTEMBER 2021**

N. Selman spoke to this report. He advised this is a very brief report due to work being carried out on the Annual Report, with the next focus on the Annual Plan.

Cr Coll McLaughlin asked for further information on budget variances. N. Selman advised that this may be related to timing variances, work on improving this area is ongoing. It was agreed that N. Selman would provide further information via email and will include details on governance and river drainage coastal protection / rating district matters. Cr Magner advised that improvements on re-forecasting and variance reporting is planned.

It was agreed that the quarry result will be checked to ensure that it included rock from the Inchbonnie Quarry.

**Moved** (Coll McLaughlin / Challenger)

*That the committee receive the quarterly financial statements to 30 September 2021.*

*Carried*

### **ITEM 2 – SERVICE PERFORMANCE MEASURES REPORT**

N. Selman spoke to this report and advised this is the first report for LTP 2021-31 and includes the new suite of LTP metrics. He explained that staff were seeking to apply the same standard used by Audit NZ. It is unlikely that too many targets will be achieved in the first quarter, but these should be on track to be achieved at the end of the year. Cr Coll McLaughlin stated the report is very easy to understand.

**Moved** (Challenger / Birchfield)

*That the Committee note the attached Service Performance Report for the quarter to 30 September 2021.*

*Carried*

### **ITEM 3 – TREASURY REPORT**

N. Selman spoke to this report. He advised that the report from Bancorp has revealed that Council's funding is well balanced.

N. Selman advised that he intends to hold a workshop with Council reviewing internal and external borrowing processes and policies. He answered questions relating to borrowing and interest rates.

Debt levels were discussed it was agreed that N. Selman would provide further information via email.

H. Mabin advised that the LGFA debt is interest only and this is why the borrowing policy needs to be looked at during the review.

**Moved** (Ewen / Coll McLaughlin)

*That the Committee receive the Treasury Report noting Council's minor policy breach for four months from May 2025 to September 2025.*

*Carried*

**GENERAL BUSINESS**

There was no general business.

The meeting closed at 11.12 a.m.

.....  
Chair

.....  
Date

UNCONFIRMED

<b>Report to:</b> Risk & Assurance Committee	<b>Meeting Date:</b> 10 February 2022
<b>Title of Item:</b> Risk register	
<b>Report by:</b> Philp Jones, PJ & Associates	
<b>Reviewed by:</b> Heather Mabin, Chief Executive Officer	
<b>Public excluded?</b> No	

## Report Purpose

The purpose of this report is to inform the Committee on the progress of the implementation of its Corporate Risk management policy (CRMP), the progress to date on the development of the risk register and to seek agreement as to the strategic risks.

## Report Summary

In 2021, Council adopted its Corporate Risk management policy (CRMP). Subsequent to this, Philip Jones, PJ & Associates, has worked with the Executive Leadership Team to develop Council's risk register.

This paper tables the identified strategic risks to the Committee for their consideration and then seeks the Committee's confirmation that the Objectives are accurate and the Strategic Risks are appropriate.

The agreed strategic and high risks will be reported to the Committee quarterly.

## Draft Recommendations

**It is recommended that the Committee resolve to:**

1. *Receive the risk update report; and*
2. *Confirms the objectives as listed in section 4 of the report; and*
3. *Confirms the strategic risks as listed in section 5 of the report.*

## Issues and Discussion

### Background

A proactive risk management process comprises seven steps.

Steps 1 & 2 consists of communication, consultation and establishing the context and these two steps have been completed as part of the development of the CRMP.

Step 3 - The identification of risks. The first part of the implementation is the development of a risk register and the first step in that development is the identification of strategic risks and operational risks.

Step 4: Risk Assessment - Risk analysis aims to understand the level of significance of a risk and ways to control and/or mitigate it. This step considers the following:

- determine existing controls
- determine the risk likelihood
- determine the consequence of the risk

This results in establishing the risk rating.

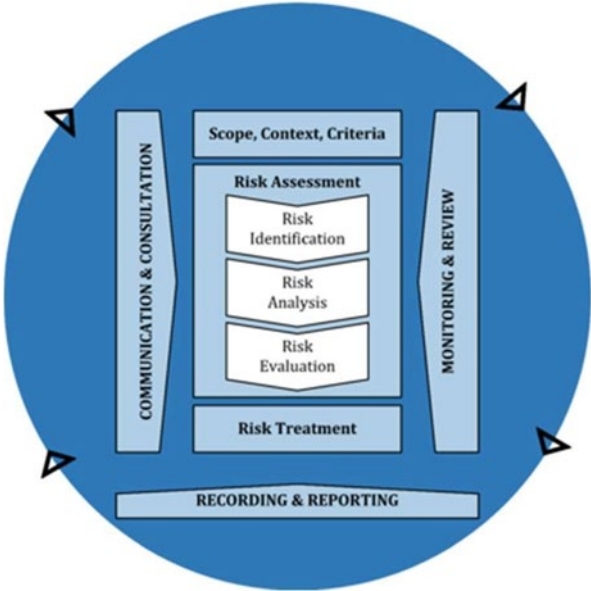
Step 5: Risk evaluation - After the likelihood and consequence factors have been determined, the level of risk is calculated by multiplying the Probability/Likelihood of the risk occurring (Table 1 of CRMP) with the Consequence or Impact Levels (Table 2 of CRMP). The final outcome is the risk rating (Table 3 of CRMP).



The results of the risk evaluation will determine in the first instance the risk management strategies required, tailored to the risk profile. Once the risk has been assessed according to the relative risk level it poses, it is then possible to target the treatment of the risk exposure.

**Step 6: Risk Treatment**

Set out below is a diagram reflecting step required in the implementation of risk management policy.



**Current situation**

Objectives

From Council’s previous workshops it was agreed the following were the Council’s objectives:

- 1. Value our people
- 2. Strong Governance and representation
- 3. Good relationships & partnerships (community, iwi & central government)
- 4. Resilience & sustainably for the region.
- 5. Financial sustainability
- 6. Deliver effective & efficient services to our community
- 7. Fulfilling statutory obligations

Council’s initial strategic risks

As risk is defined as the effect of uncertainty on objectives, the following strategic risks have been identified:

- 1. Failure to keep people safe
- 2. Failure to deliver the agreed levels of service to our community
- 3. Inability to retain knowledge to undertake Council’s functions.
- 4. Failure to adequately plan for a natural disaster
- 5. Failure to deliver robust planning policies
- 6. Failure to implement adopted planning policies
- 7. Financial mis- management
- 8. Loss of Council’s assets

9. Loss or inaccurate corporate data
10. Council's information used for other than intended purposes

These have been discussed with Council's senior management; however, these should be confirmed by elected members before the next steps of risk identification is completed. While there is some overlap with the risk of "failure to deliver the agreed levels of service to our community" with risks 3 to 6, the purpose of having these strategic risks enables operational risks to be categorised.

#### Assessment completed to date and next steps

Attached to this report is an initial list of both strategic and operational risks. At this stage these have not been assessed as required by step 4 of the policy as noted above. The assessment will determine:

- Confirmation of linkage to appropriate strategic risk
- The risk likelihood
- The consequence of the risk
- The current controls

This results in establishing the risk rating for each risk.

This is to be completed following the confirmation of strategic risks and before the next Risk and Assurance committee meeting of 3 May 2022.

The policy requires the identification of the following:

- Stage 1: Inherent risk - the risk exposure prior to management controls being put in place;
- Stage 2: Managed risk – the risk exposure with the current level of management controls;
- Stage 3: Residual risk – when no further controls are required and the level of risk is tolerable.

These will be assessed after the 3 May meeting.

#### Future reporting to Council

Section 7.6 of the CRMP requires the following:

- a) All risks and internal controls will be monitored and reviewed by the Chief Executive and Risk and Assurance Committee on an annual basis.
- b) Significant risks will be monitored and reviewed by the Chief Executive and Risk and Assurance Committee on a quarterly basis.

It is anticipated that the initial risk register (without the stages 1 to 3) will be presented to the 3 May meeting. The significant risks will be reported to the 28 July meeting.

### **Considerations**

#### **Significance and Engagement Policy Assessment**

There are no issues within this report which trigger matters in this policy.

#### **Attachments**

Attachment 1: West Coast Regional Council- Initial Risk register

STRATEGIC RISKS	RISK DESCRIPTION
1. Failure to keep people safe	Harm to staff, contractors, and public or damage to Council property from ground or aerial pest control operations (eg. aerial 1080, herbicide spraying).
2. Failure to deliver the agreed levels of service to our community	<p>Failure to provide for the protection of the environment  Failure of key assets  Failure to invest in assets required to agreed LOS  Failure or non-performance of flood or erosion protection assets arising from design deficiency or lack of maintenance. Professional negligence could be a factor</p> <p>Large flood event causing danger to the public and extensive damage to Council's infrastructure and private property, with substantial cost/funding implications.</p> <p>Professional support not available  Poor Project Management  Devolution of responsibility from central government and/or increased community expectations.</p>
3. Inability to retain knowledge to undertake Council's functions.	<p>Failure to retain appropriate staff  Key Staff Leave  Loosing staff with institutional knowledge  Business Processes not documented  Potential loss of key skills and knowledge and difficulty to recruit replacements.  Unable to recruit sufficient staff  Lack of qualified staff, insufficient resourcing.  Key Electronic media not managed  No Change Management for organisation  Help Desk System and Processes  Loss of knowledge (IT, documents and staff) caused by:</p> <ul style="list-style-type: none"> <li>· Insufficient systems in place to manage</li> <li>· Inadequate filing, categorisation, storage of documents (electronic and physical).</li> <li>· Lack of culture and use of systems.</li> <li>· Inadequate organisational knowledge capture.</li> </ul>

STRATEGIC RISKS	RISK DESCRIPTION
4. Failure to adequately plan for a natural disaster	<p>Failure to ensure a resilient community Emergency Management is overwhelmed by scale of disaster, inability to mobilise resources via staff (numbers), facilities (adequacy), infrastructure (availability/adequacy).</p> <p>Failure to provide adequate flood warning or civil defence service.</p>
5. Failure to deliver robust planning policies	<p>Policy development outside legislative requirements or good practice. Failure to acknowledge the value in protecting our environment Failure to take into account the sustainability requirements for the region Council failing to monitor the efficiency and effectiveness of policies/rules/methods. Compliance issue with RMA Plans Possible appeals to TTPP going to Court Planning team not reflecting Community views in statutory documents</p> <p>Not meeting statutory requirements for implementation of policy statements and national environmental standards</p> <p>Relationships with Stakeholders breaking down Relationship with mana whenua break down Failure to respond to changes in legislation</p> <p>Insufficient capacity for council and iwi technical staff to input fully into Draft and Proposed Plans Unable to meet 31 July 2022 notification date (TTPP) Excessive Time and Cost of Appeals Process Significant Partner and/or Community public opposition to the Plan Long Term Plan is not delivered to meet legal requirements, Ineffective Planning Processes caused by:</p> <ul style="list-style-type: none"> <li>(a) Inadequate strategic planning</li> <li>(b) Inadequate information and advice</li> <li>(c) Inadequate systems and resources</li> <li>(d) Inadequate community input</li> <li>(e) Poor external relationships</li> </ul> <p>Lack of consultation with stakeholders Ineffective relations with local iwi and failure to meet requirements of legislation involving iwi e.g. RMA, LGA and</p>

STRATEGIC RISKS	RISK DESCRIPTION
6. Failure to implement adopted planning policies	<p>Inadequate assessment of environmental effects of consent processing</p> <p>Inadequate consent conditions and controls</p> <p>Failure to identify parties affected by the consented activity applied for.</p> <p>Not meeting RMA consent processing timeframes</p> <p>Inadequate Compliance Monitoring and Enforcement of consented and permitted activities</p> <p>Inadequate mining bond held by the council</p> <p>Enforcement action - inadequate investigation and evidence gathering</p> <p>Inadequate systems for recording, storing and reporting of information held by Council</p> <p>Staff acting outside delegations</p>
7. Financial mis- management	<p>Staff acting outside delegations</p> <p>Staff spending outside budget</p> <p>Deterioration of the global financial position increasing</p> <p>Breach of bank covenants and associated impact on financial reputation.</p> <p>Credit Risks with regard to both WCRC borrowing and Investing.</p> <p>Level of rates non-payment deteriorates.</p> <p>Commercial risks / Investments</p> <p>Loss of council funds due to fraud</p> <p>Financial governance, planning or management failure caused by poor systems, lack of internal control, or data inaccuracies.</p> <p>Reduced VCS viability</p>
8. Loss of Council's assets	<p>The environment could impact on current and future insurance premiums, increase of costs, insurance premiums increase, reputation of business due to non-performance</p> <p>Loss of Council funds due to fraud</p>

STRATEGIC RISKS

RISK DESCRIPTION

9. Loss or inaccurate corporate data

Technology, systems etc. inadequate to support business needs caused by any one or more of the following:

- Failure to keep up with changes in technology and to utilise where relevant.
- New ideas and thinking to respond to a changing environment are too slow.
- High stakeholder expectations.
- Out of date software/systems, poor training in new/existing systems, delays in software development with regards to timeframe requirements, new software not meeting organisational requirements.
- Information technology infrastructure and software does not meet the short/long term needs of the business.
- Loss of the provision of continuity of IT Services.
- System failure/hacking .

10. Council's information used for other than intended purposes

Professional advice offered is deemed to be negligent.

Incorrect information released into the public domain

Risk currently not linked to strategic risks

Reputation affected through negative communication in media or by staff  
Governance (at an elected level) non-compliance with legislation or failure to complete internal council policies.

Council does not meet all its legislative requirements and jeopardises government funding, risks being fined and/or sued, replacement of Councillors with commissioners, loss of public confidence in council and Local Government.

Dilution of Regional leadership role

National emergencies such as Covid-19 lock down

<b>Report to:</b> Risk and Assurance Committee	<b>Meeting Date:</b> 10 February 2022
<b>Title of Item: Local Government Official Information and Meetings Act 1987 - Summary of Enquiries</b>	
<b>Report by:</b> Toni Morrison, consultant	
<b>Reviewed by:</b> Heather Mabin, Chief Executive	
<b>Public excluded?</b> No	

## Report Purpose

For the Committee to note the requests for information received under the Local Government Official Information and Meetings Act 1987.

## Report Summary

Staff will provide a report quarterly to the Risk and Assurance Committee on requests received under the Local Government Official Information and Meetings Act 1987, for the Committee's information. Below is a summary of requests received in the period 1 October to 31 December 2021.

## Recommendation

**It is recommended that :** *the Committee note the requests received under the Local Government Official Information and Meetings Act 1987.*

## Report

A summary of enquiries received and responded to for the period 1 October to 31 December 2021 is set out below.

Request No:	Date received:	Information Sought	Result
<a href="#">REQ-2021-2367</a>	4/10/2021	Aerial pest control operations information for lanthe forest	Information provided
<a href="#">REQ-2021-2374</a>	12/10/2021	Request for correspondence on Westport flood Levels	Information provided
<a href="#">REQ-2021-2402</a>	19/10/2021	Council vehicles fuel cost information	Information provided
<a href="#">REQ-2021-2375</a>	19/10/2021	Chair and CEO annual survey of expenses	Information provided
<a href="#">REQ-2021-2377</a>	27/10/2021	Art collections owned by council or subsidiaries	Information provided
<a href="#">REQ-2021-2378</a>	28/10/2021	Surveillance camera use	Information provided
<a href="#">REQ-2021-2399</a>	12/11/2021	Copies of feedback on Buller Flood event	Partial release of information
<a href="#">REQ-2021-2404</a>	19/11/2021	Copy of West Coast Regional Public Transport Plan	Information provided
<a href="#">REQ-2021-2403</a>	25/11/2021	Copies of all active consents for WHG Punakaiki Resort	Information provided
<a href="#">REQ-2021-2406</a>	25/11/2021	(Transfer of request from BDC): transcript or recording of the Solid Energy Mount William Resource Consent Hearing	Information provided

<a href="#">REQ-2021-2407</a>	30/11/2021	Gravel extraction 2015 to December 2021	Information provided
<a href="#">REQ-2021-2408</a>	1/12/2021	Bridge research – information on consented bridges	Information provided
<a href="#">REQ-2021-2412</a>	3/12/2021	Mining and quarry consent information requested for a database	Information provided
<a href="#">REQ-2022-2455</a>	3/12/2021	Certificate of title request	Advice provided as to where to source CTs
<a href="#">REQ-2022-2454</a>	5/12/2021	Request for property information	Information provided
<a href="#">REQ-2022-2453</a>	8/12/2021	Request for property information	Requestor cancelled request
<a href="#">REQ-2022-2451</a>	13/12/2021	Mapping systems for zoning for property	Information provided
<a href="#">REQ-2022-2457</a>	13/12/2021	Information on fire suppression systems	Information provided
<a href="#">REQ-2022-2450</a>	20/12/2021	Information about consultation on water management and regional plans	Response provided



<b>Report to:</b> Risk and Assurance Committee	<b>Meeting Date:</b> 10 February 2022
<b>Title of Item:</b> Quarterly Financial Report	
<b>Report by:</b> Heather Mabin, Chief Executive Officer	
<b>Reviewed by:</b>	
<b>Public excluded?</b> No	

### Report Purpose

The purpose of the report is to present Council's 6 monthly financial operating results to 31 December 2021 along with the latest JBWere Investment portfolio report.

### Report Summary

In 2021 Council determined a significant rates increase for its ratepayers. This financial report depicts the six-monthly financial performance along with the movements in one of Council's significant assets; its Investment Portfolio.

### Draft Recommendations

It is recommended that the Committee resolve to:

1. *Receive the six-monthly financial operating results to 31 December 2021; and*
2. *Note the JBWere Investment Portfolio report to 31 December 2021.*

### Issues and Discussion

#### Background

In October 2021, Council adopted the Long-term Plan 2021-31 (LTP). Given that the timing of this adoption was well within the first quarter of the financial year, for expediency the budget for the 2022 financial year was phased across the 12 months in equal proportions.

In the LTP, a significant amount of the funding for the IRG projects was budgeted to be received in the 2021-22 financial year. These amounts were presented as a source of Operating Revenue on the prospective Statement of Revenue and Expenditure. The corresponding budgeted expenditure is presented as Infrastructure capital expenditure, therefore appears on the Prospective Statement of Financial position.

#### Current situation

Key points to note on Council's financial performance to date are:

- Table 1 - For the 6 months to 31 December the Operational deficit of \$122k to date as compared to the budgeted \$5.2M surplus is due to two key aspects:
  - In the LTP Budget it was projected that there would be \$5.5M more IRG Funding received and recorded as Revenue than Actuals; and
  - The phasing of the budgeted figures evenly over the calendar year.
- Table 2 - Breakdown of Surplus/ (Deficit) amplifies the above expectation in the Budget that more funding from IRG would have been received to this point in time with a net variance of Infrastructure Projects Actuals to Budget of \$5.5M.
- Table 2 – the negative variance between Actual to budgeted Investment Income is aligned to the devaluation of the Investment portfolio depicted in Graph 1 below.

- Table -3 Net Contributors to the General Rates Funded Surplus / (Deficit) show that there is a surplus of \$265K from the General Rates funded activities. However, once again the equal spread of the budgeted cost across the year needs further investigation during the Annual Plan 2023 Budget process.

ELT is working actively with Finance to address the issue of phasing for the 2022-23 financial year as this undermines the integrity and relevance of the internal financial reports.

Table 1: Financial results for the 6 Months to 31 December 2021

<b>The West Coast Regional Council</b>				
<b>Net Cost of Services</b>				
<b>For the 6 Months ended 31 December 2021</b>				
	<b>ACTUAL</b>	<b>BUDGET</b>	<b>BUDGET</b>	<b>% ACTUAL</b>
	<b>Year to Date</b>		<b>Annual</b>	<b>vs BUDGET</b>
<b>REVENUES</b>				
Emergency Management	361,390	589,998	1,180,000	31%
General Rates and Penalties	2,703,122	2,468,304	4,936,634	55%
Hydrology & Floodwarning Services	-	-	-	-
Investment Income	215,654	373,944	747,888	29%
Regional Land Transport	37,598	50,544	101,100	37%
Resource Management	1,333,826	1,875,120	3,750,243	36%
River, Drainage, Coastal Protection	2,886,174	6,850,488	13,701,063	21%
VCS Business Unit	2,316,783	2,165,994	4,332,000	53%
Warm West Coast	23,961	1,836	3,672	653%
	<b>9,878,508</b>	<b>14,376,228</b>	<b>28,752,600</b>	<b>34%</b>
<b>EXPENDITURE</b>				
Emergency Management	927,883	716,334	1,432,660	65%
Governance	548,911	337,302	674,589	81%
Hydrology & Floodwarning Services	670,992	527,418	1,054,840	64%
Other	16,041	12,582	25,214	64%
Regional Land Transport	70,114	90,090	180,179	39%
Resource Management	2,942,276	3,984,840	7,969,808	37%
River, Drainage, Coastal Protection	2,723,471	1,427,694	2,855,440	95%
VCS Business Unit	2,100,006	1,990,998	3,982,000	53%
Warm West Coast	928	948	1,900	49%
	<b>10,000,622</b>	<b>9,088,206</b>	<b>18,176,630</b>	<b>55%</b>
<b>OPERATING SURPLUS/(DEFICIT)</b>	<b>(122,114)</b>	<b>5,288,022</b>	<b>10,575,970</b>	<b>(1%)</b>

Table 2: Breakdown of the Surplus / (Deficit) for the 6 Months to 31 December 2021

<b>BREAKDOWN OF SURPLUS / (DEFICIT)</b>	<b>Net Variance ACTUAL vs BUDGET YTD</b>	<b>ACTUAL</b>	<b>BUDGET Year to Date</b>	<b>ANNUAL BUDGET</b>
Rating Districts	22,823	289,151	266,328	532,744
Quarries	(45,174)	77,682	122,856	245,676
Infrastructure Projects	(5,555,081)	47,498	5,602,579	11,205,157
Investment Income	(158,290)	215,654	373,944	747,888
VCS Business Unit	41,781	216,777	174,996	350,000
General Rates Funded Activities	265,119	(975,868)	(1,240,987)	(2,482,053)
Warm West Coast	22,145	23,033	888	1,772
Other	(3,459)	(16,041)	(12,582)	(25,214)
<b>TOTAL</b>	<b>(5,410,136)</b>	<b>(122,114)</b>	<b>5,288,022</b>	<b>10,575,970</b>

Table 3: net Contributors to General Rates Funded Surplus / (Deficit) for the 6 Months to 31 December 2021

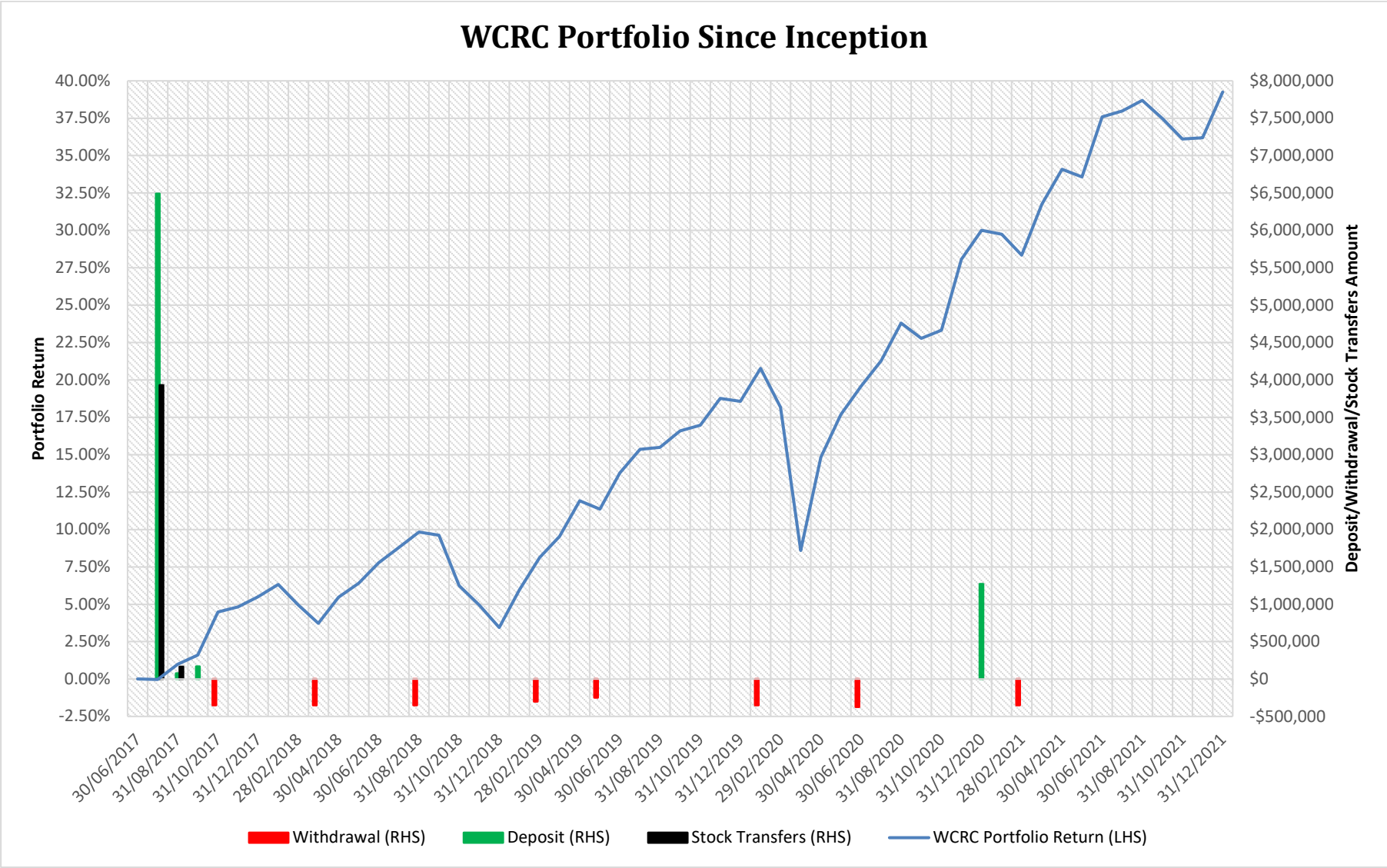
<b>Net Contributors to General Rates Funded Surplus /(Deficit)</b>	<b>Net Variance ACTUAL vs BUDGET YTD</b>	<b>ACTUAL</b>	<b>BUDGET Year to Date</b>	<b>ANNUAL BUDGET</b>
Emergency Management	(440,157)	(566,493)	(126,336)	(252,660)
Hydrology & Floodwarning	(143,574)	(670,992)	(527,418)	(1,054,840)
Rates	234,818	2,703,122	2,468,304	4,936,634
Representation	(211,609)	(548,911)	(337,302)	(674,589)
Resource Management	501,270	(1,608,450)	(2,109,720)	(4,219,565)
River, Drainage, Coastal Protection	317,341	(251,628)	(568,969)	(1,137,954)
Transport Activity	7,030	(32,516)	(39,546)	(79,079)
<b>TOTAL</b>	<b>265,119</b>	<b>(975,868)</b>	<b>(1,240,987)</b>	<b>(2,482,053)</b>

#### Investment portfolio

The JBWere report to 31 December 2021 is included as Attachment 1.

The movement in the fund to date since JBWere took over the portfolio in 2017 is depicted in the below graph.

Graph 1: JBWere Investment Portfolio Value



## Attachments

Attachment 1: JB Were Report December 2021

# Investment Fact Sheet

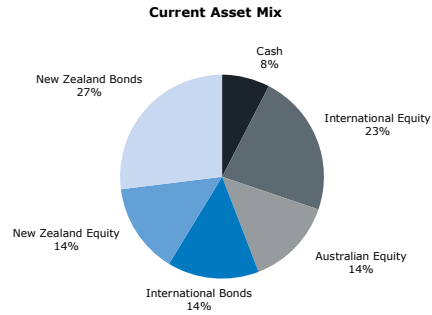
The West Coast Regional Council  
31 December 2021



Fund Performance	Dec-21				Performance since July 2018			1 July 2021 to 31 December 2021		
	Actual <sup>1</sup> %	Weighted %	Benchmark %	Relative %	Actual %	Benchmark %	Relative %	Actual %	Benchmark %	Relative %
NZ Cash <sup>2</sup>	0.07	0.01	0.06	0.01	4.67	3.41	1.26	0.31	0.24	0.08
New Zealand Bonds	0.69	0.19	0.46	0.23	13.58	8.68	4.90	-2.42	-2.67	0.25
International Bonds	0.35	0.05	-0.37	0.72	17.56	13.70	3.86	0.17	0.28	-0.11
Australian Equity	3.60	0.50	4.46	-0.86	42.19	33.03	9.16	2.95	2.65	0.30
New Zealand Equity	2.87	0.41	2.48	0.39	56.54	45.74	10.80	4.74	3.00	1.74
International Equity	4.92	1.10	3.15	1.77	43.67	52.74	-9.07	3.18	7.95	-4.77
<b>Total Portfolio</b>	<b>2.25</b>		<b>1.60</b>	<b>0.65</b>	<b>29.03</b>	<b>26.08</b>	<b>2.95</b>	<b>1.20</b>	<b>1.66</b>	<b>-0.46</b>

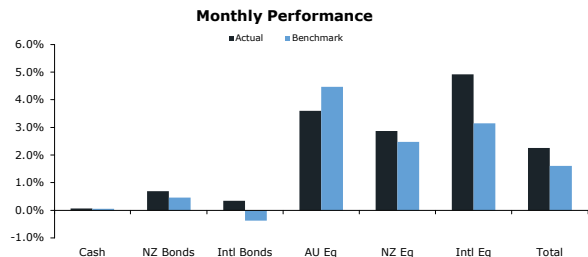
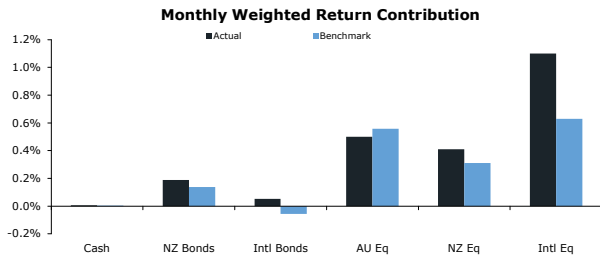
	Dec-21	Performance since July 2018	1 July 2021 to 31 December 2021
	\$	\$	\$
<b>Opening Fund Value</b>	<b>12,455,706</b>	<b>10,871,065</b>	<b>12,611,093</b>
Contributions	0	1,272,000	0
Withdrawals	0	-1,975,000	0
Net Transfers	118	14,362	1,880
Absolute Return	257,268	2,530,666	100,119
<b>Closing Fund Value</b>	<b>12,713,092</b>	<b>12,713,092</b>	<b>12,713,092</b>

Current Asset Allocation	\$	%	Relative Break Down
New Zealand Equities	1,818,195	14%	Asset Allocation 0.15%
Australian Equities	1,769,259	14%	Stock Selection 0.50%
International Equities	2,878,008	23%	Approx. Error 0.00%
New Zealand Bonds	3,431,901	27%	<b>0.65%</b>
International Bonds	1,849,878	15%	
Alternative Investments	0	0%	
Cash	965,851	8%	
Portfolio Total	<b>12,713,092</b>	<b>100%</b>	



Indices applied to investment sector benchmark:	1 Month Return	Investment Policy	Range	SAA*	TAA*	Actual	Actual vs TAA
Cash	NZ 90 day bank bills	NZ Equities	0-20	12.5	14.0	14.3	0.3
New Zealand Bonds	S&P NZX A-Grade Corp Bond Index	Australian Equities	0-20	12.5	14.0	13.9	-0.1
International Bonds	Barclays Global Agg NZD Hedged	International Equities	0-35	20.0	22.0	22.6	0.6
New Zealand Equity	S&P NZX 50 Gross Index	Alternatives	0-10	5.0	0.0	0.0	0.0
Australian Equity	S&P ASX 200 Acc Index (NZD)	<b>Total Growth Assets</b>	<b>35-65</b>	<b>50.0</b>	<b>50.0</b>	<b>50.9</b>	<b>0.9</b>
Australian Equity (local)	S&P ASX 200 Acc Index (local)	NZ Bonds	0-60	30.0	27.5	27.0	-0.5
International Equity	MSCI AC World Index (NZD)	International Bonds	0-30	15.0	15.0	14.6	-0.4
International Equity (local)	MSCI AC World Index (local)	Cash	0-35	5.0	7.5	7.6	0.1
		<b>Total Income Assets</b>	<b>35-65</b>	<b>50.0</b>	<b>50.0</b>	<b>49.1</b>	<b>-0.9</b>

\*SAA = Strategic Asset Allocation, TAA = Tactical Asset Allocation  
The current asset allocation remains within the limits of the investment policy.



### General Notes:

- Performance returns are based off the Time Weighted Returns
- Cash returns show the return on NZD
- The weighted return will not sum to the actual return due to fluctuations in weightings over the month
- Weights are calculated as the average between the start and end of the month

# Investment Fact Sheet

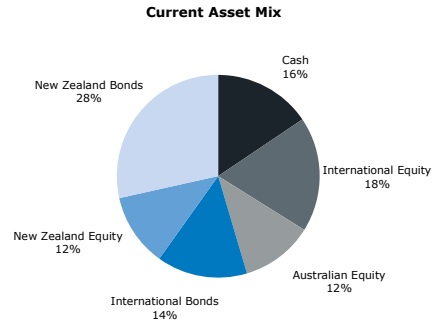
The West Coast Regional Council - Catastrophe Fund  
31 December 2021

JBWere

Fund Performance	Dec-21				Performance since 1 December 2020			1 July 2021 to 31 December 2021		
	Actual <sup>1</sup> %	Weighted %	Benchmark %	Relative %	Actual %	Benchmark %	Relative %	Actual %	Benchmark %	Relative %
NZ Cash <sup>2</sup>	0.07	0.01	0.06	0.01	0.71	0.43	0.28	0.31	0.24	0.08
New Zealand Bonds	0.69	0.20	0.46	0.23	-2.72	-4.67	1.95	-2.61	-2.67	0.06
International Bonds	0.26	0.04	-0.37	0.63	-1.24	-0.94	-0.30	0.08	0.28	-0.20
Australian Equity	3.51	0.40	4.46	-0.95	14.96	20.21	-5.25	3.31	2.65	0.66
New Zealand Equity	2.78	0.32	2.48	0.30	4.58	2.08	2.50	4.64	3.00	1.64
International Equity	2.12	0.39	3.15	-1.03	21.77	27.98	-6.21	7.17	7.95	-0.78
<b>Total Portfolio</b>	<b>1.37</b>		<b>1.30</b>	<b>0.07</b>	<b>4.25</b>	<b>4.93</b>	<b>-0.68</b>	<b>1.44</b>	<b>1.00</b>	<b>0.44</b>

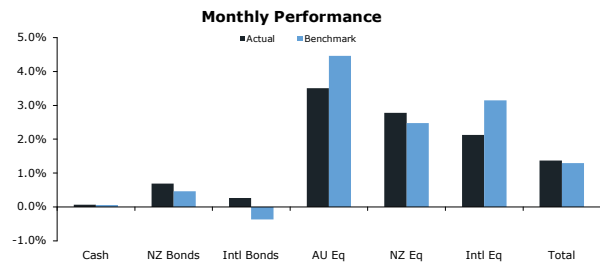
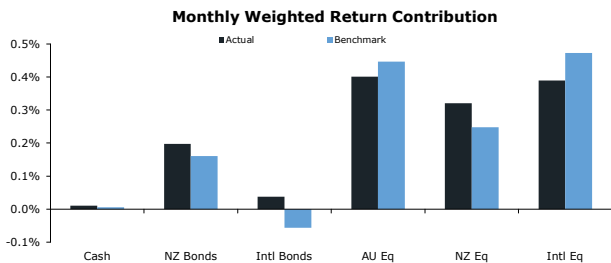
	Dec-21	Performance since 1 December 2020	1 July 2021 to 31 December 2021
	\$	\$	\$
<b>Opening Fund Value</b>	<b>1,021,251</b>	<b>1,000,588</b>	<b>1,022,446</b>
Contributions	0	0	0
Withdrawals	0	0	0
Net Transfers	9	226	154
Absolute Return	11,932	32,378	10,593
<b>Closing Fund Value</b>	<b>1,033,192</b>	<b>1,033,192</b>	<b>1,033,192</b>

Current Asset Allocation	\$	%	Relative Break Down
New Zealand Equities	119,992	12%	Asset Allocation 0.16%
Australian Equities	118,857	12%	Stock Selection -0.10%
International Equities	189,943	18%	Approx. Error 0.01%
New Zealand Bonds	294,184	28%	0.07%
International Bonds	149,850	15%	
Alternative Investments	0	0%	
Cash	160,366	16%	
<b>Portfolio Total</b>	<b>1,033,192</b>	<b>100%</b>	



Indices applied to investment sector benchmark:	1 Month Return	Investment Policy	Range	SAA*	TAA*	Actual	Actual vs TAA
Cash	NZ 90 day bank bills	NZ Equities	0-20	10.0	11.5	11.6	0.1
New Zealand Bonds	S&P NZX A-Grade Corp Bond Index	Australian Equities	0-20	10.0	11.5	11.5	0.0
International Bonds	Barclays Global Agg NZD Hedged	International Equities	0-30	15.0	17.0	18.4	1.4
New Zealand Equity	S&P NZX 50 Gross Index	Alternatives	0-10	5.0	0.0	0.0	0.0
Australian Equity	S&P ASX 200 Acc Index (NZD)	<b>Total Growth Assets</b>	<b>25-55</b>	<b>40.0</b>	<b>40.0</b>	<b>41.5</b>	<b>1.5</b>
Australian Equity (local)	S&P ASX 200 Acc Index (local)	NZ Bonds	0-65	35.0	32.5	28.5	-4.0
International Equity	MSCI AC World Index (NZD)	International Bonds	0-30	15.0	15.0	14.5	-0.5
International Equity (local)	MSCI AC World Index (local)	Cash	0-45	10.0	12.5	15.5	3.0
		<b>Total Income Assets</b>	<b>45-75</b>	<b>60.0</b>	<b>60.0</b>	<b>58.5</b>	<b>-1.5</b>

\*SAA = Strategic Asset Allocation, TAA = Tactical Asset Allocation  
The current asset allocation remains within the limits of the investment policy.



## General Notes:

- Performance returns are based off the Time Weighted Returns
- Cash returns show the return on NZD
- The weighted return will not sum to the actual return due to fluctuations in weightings over the month
- Weights are calculated as the average between the start and end of the month

<b>Report to:</b> Risk & Assurance Committee	<b>Meeting Date:</b> 10 February 2022
<b>Title of Item:</b> Report on Council IT progress and budgets	
<b>Report by:</b> Daniel Jackson, consultant	
<b>Reviewed by:</b> Heather Mabin, Chief Executive	
<b>Public excluded?</b> No	

### Report Purpose

The purpose of this report is to update the Committee on progress and budget spend in making Council's IT fit for purpose, to address the need to resolve long standing issues and bring Council's IT to a standard and supportable level.

### Report Summary

The current programme of work to bring Council's current IT systems up to date and ensure they are fit for purpose is on target and within budget.

### Recommendation

**It is recommended that Committee resolve to:**

*Receive this report.*

### Issues and Discussion

#### Background

At the November meeting of Council, Council determined to:

*Approve an unbudgeted spend of up to \$250,000 for the 2022 year and that the mechanism for funding is worked through by the treasury management team.*

#### Current situation

Current I.T spend is tracking to plan. Progress is as follows:

- Authority Upgrade has currently spent \$14,736 and is on time/within budget
- Security Audit \$19,320 - completed
- IRIS Upgrade \$7000 - completed
- Hardware upgrade (Server Upgrades and Software patches and licencing for new tenancy) \$2000

The total spend is \$43,056 to date.

At this stage we believe that we are tracking under expected spend but have made good progress particularly with the IRIS upgrade (completed), Authority upgrade (tracking to plan), security audit (completed) and hardware upgrades and patching ahead of schedule.



<b>IT - RAC Report Jan 2022</b>				
	<b>Date for Completion</b>	<b>On Track</b>	<b>Budget</b>	<b>Spend to Date</b>
<i>IRIS Upgrade</i>	<i>Completed</i>	Yes	0	0
<i>Authority Upgrade</i>	Jun-22	Yes	\$100,000	\$13,736
<i>Authority Project Mgt Costs</i>	Jun-22	Yes	\$50,000	\$5,000
<i>It Hardware Upgrade</i>	Over 4 Years	Yes	\$250,000	\$2,000
<i>IT Roadmap</i>	Apr-22	Yes	\$50,000	\$6,000
<i>Help Desk Upgrade</i>	Jun-22	Yes	\$30,000	\$0
<i>Business Analyst</i>	TBD	No	\$24,000	\$0
<i>Security Review</i>	<i>Completed</i>	Yes	\$18,000	\$19,320
<i>Security Upgrades</i>	Apr-22	Yes	*Unknown	\$2,000
* Security upgrade costs				
where unknown at time of				
Review - now estimated as				
low as most work will be				
completed by IT Team				

## Considerations

### Implications/Risks

The key risks identified are as follows:

**Financial** – the potential financial impact of Council’s inability to provide services due to IT failures is unknown but would exceed the cost of implementing the proposed solutions.

**System failure through Implementation** – There will be risks in carrying out some of these solutions primarily around application (IRIS and Authority), any changes or upgrades to systems, particularly older systems, risks potential issues with data, reports and staff training.

**Reputational risk** - It is critical that Council mitigate any reputational risk due to Council’s inability to provide services to the community in a timely and effective manner. This includes Council’s ability to develop and enhance its current services as technology progresses and changes.

### Significance and Engagement Policy Assessment

There are no issues within this report which trigger matters in this policy.

<b>Report to:</b> Risk & Assurance Committee	<b>Meeting Date:</b> 10 February 2022
<b>Title of Item: External Auditors</b>	
<b>Report by:</b> Heather Mabin, Chief Executive	
<b>Reviewed by:</b>	
<b>Public excluded?</b> No	

### Report Purpose

The purpose of this paper is to table to the Committee a letter from the Office of the Auditor-General (OAG) proposing a change in External Auditor.

### Report Summary

The OAG is proposing a change of the Auditor that completes the external audits of Council's documents from AuditNZ to Ernst & Young.

This would be effective from the current financial year onwards, therefore, Ernst & Young would complete the audit of the Annual Report 2022 and then be responsible for all external audits from then on.

### Draft Recommendations

**It is recommended that Council resolve to:**

*Note the proposed change in External Auditor.*

### Issues and Discussion

#### Background

Under the Local Government Act 2002 (LGA) the Auditor-General must audit the information in an annual report and summary. To achieve this outcome the Auditor-General delegates this responsibility to designating auditing firms, such as AuditNZ and the large multi-national Accountancy firms.

Historically, AuditNZ has been allocated this responsibility for WCRC by the Auditor-General.

#### Current situation

In 2021, John Ryan, Auditor-General advised that they would be seeking an extension to the regulatory deadline for the public sector to complete their audits of their annual reports to 30 June 2021. As a result, the LGA was amended to allow an extension for completion of audits for both the 30 June 2021 financial year and the 30 June 2022 financial year. This extension was to 31 December 2021 and 2022 respectively.

Towards the end of 2021, Council was advised by AuditNZ that due to the internal resourcing constraints they were experiencing, the audit of Councils Annual report 2021 would be delayed to the 2022 calendar year. This audit is due to begin after Waitangi weekend.

The OAG have now advised a proposed change to auditor for the 2022 financial year and onwards. Under this arrangement, any agreed fee for 2022 would be honoured by Ernst & Young, see Attachment 2. AuditNZ have advised the fee for the 2022 year.

### Considerations

#### Implications/Risks

There is an operational risk that will need to be managed due to the change in audit style from one firm to another.

### **Significance and Engagement Policy Assessment**

There are no issues within this report which trigger matters in this policy.

### **Financial implications**

*Future implications* – To be negotiated

### **Legal implications**

The content of this paper relates to section 99 of the Local Government Act 2002.

### **Attachments**

Attachment 1: Letter from Murray Powell, Director, re: *Proposed Change in Auditor*, OAG received 2 February 2022.



2 February 2022

File ref: EN/LCA/2-0012

Ms Heather Mabin  
Chief Executive  
West Coast Regional Council

By email: [heather.mabin@wrc.govt.nz](mailto:heather.mabin@wrc.govt.nz);

For the attention of the Chief Executive and/or the Chairperson

Tēnā koe Ms Mabin

### **PROPOSED CHANGE OF AUDITOR**

I am writing to confirm the information I left for you in a brief voicemail on 1 February.

As you may be aware, an industry-wide auditor shortage and subsequent Covid-related lockdowns have been disruptive for many audit firms. There are also many changes taking place from the Government reforms of various sectors. We have been carefully considering the short-term and longer-term options for the Auditor-General's audit portfolio and are reallocating some audits amongst his audit service providers.

Your audit is one that we propose reallocating, from Audit New Zealand to a South Island partner from the firm of Ernst & Young.

Auditors are appointed in keeping with a set of allocation principles that include auditor independence, auditor knowledge about public organisations and public sector audits, the particular audit skills required, the auditor's audit quality and cost, and the need for the Auditor-General to have access to enough audit capacity and capability. The Auditor-General has taken those principles into account when making this decision.

### **New Audit Proposal, and audit fees**

Ernst & Young need to prepare a draft Audit Proposal for discussion with you. The proposal will cover the statutory basis for the audit, key staff assigned to the audit, and the audit hours and fees for each year of the audit. The new proposal will be for an initial term commencing with 2022.

If audit fees have already been agreed for your audit, those audit fees will be honoured.

If audit fees have not been agreed for an audit, the new auditor will need to work with you to determine reasonable audit fees for your audit. Under the Public Audit Act 2001, audit fees must be reasonable, which means fair to the entity and providing a fair return (but not more than that) to the auditor.

We provide audit firms with guidance that they must follow when setting audit fees. You and the audit firm need to agree a way to understand the real costs of the audit and agree future audit fees that are reasonable. We expect the audit firm to use the first year to understand and properly scope future audits, and propose audit fees for future years based on that initial year's understanding (excluding, as always, any first-year investment in understanding your entity).

The first year might need to have an estimated fee with an agreed means of confirming that during and after the audit. For example, a helpful process we have used has the audit provider and entity having a short debrief at the end of each week to understand that week's work and costs (including time the auditor invested in understanding the entity, which won't be charged for).

The Audit Proposal will contain the appointed auditor's expectations of your organisation in relation to the audit. You'll need to work together and take the opportunity to discuss factors your control to make the audit less time-consuming and more efficient. As we always do, we will review the proposed audit fees to ensure that they are reasonable.

### **Auditor independence**

The Auditor-General sets independence standards for auditors acting on his behalf, which include the standards set by the External Reporting Board. He limits the nature and amount of work an auditor can carry out for an organisation to the audit and other assurance work. If you have any concerns that some work your organisation expects your auditor to carry out, or may ask your auditor to carry out, is not assurance work, you are welcome to seek our views.

If you wish to discuss any aspect of this letter, or, after discussion with your auditor, require our analysis of the proposed audit fee, please contact me at [Murray.Powell@oag.parliament.nz](mailto:Murray.Powell@oag.parliament.nz)

Nāku noa, nā



Murray Powell  
Director, Audit Projects

<b>Report to:</b> Risk and Assurance Committee	<b>Meeting Date:</b> 10 <sup>th</sup> February 2022
<b>Title of Item: COVID Vaccination Policy</b>	
<b>Report by:</b> Kim Hibbs, People and Capability Manager	
<b>Reviewed by:</b> Heather Mabin, Chief Executive Officer	
<b>Public excluded?</b> No	

### Report Purpose

To inform Council of the recent adoption of an Operational COVID-19 Vaccination Policy that applies to all staff, contractors and consultants acting as staff.

### Report Summary

As an employer the West Coast Regional Council must meet its obligations under the Health and Safety at Work Act (2015). COVID-19 presents a very real risk to the health of staff and it was important that management provided clarity through a robust policy about how we will manage any risks.

In order to comply with this, management undertook a consultation process and risk assessments of all roles with respect to a COVID-19 Vaccination Policy for Employees, Contractors and Visitors.

This process has resulted in attached policy being implemented. The Policy mandates vaccinations for all roles performed by either direct employees or indirect contractors and consultants. Presentation of a Vaccination Pass by all people coming into Council premises is also required.

### Recommendation

**It is recommended that the Committee resolve to:**

*Receive and note the report.*

### Issues and Discussion

As part of our obligations under the Health and Safety at Work Act (2015) we are required to maintain a workplace that is free from harm so far as reasonably practicable. To comply with this we need to think about the practical steps we can and should take to make sure we have a safe and healthy workplace, with Covid-19 in Communities.

### Background

In November 2021, management drafted a Vaccination Policy that was based on a risk-assessment of all roles performed at Council. On 7 December 2021 a draft Vaccination policy, risk assessments framework and a Frequently Asked Questions flyer was shared with staff and the union. This was the beginning of a consultation period that ended on 21 December 2021.

The minimal feedback received from staff was overwhelmingly in support of a Policy being introduced. In contrast to each role being assessed on an individual risk assessment basis, staff feedback requested that all roles should be high risk when taking into account our need to respond to a Civil Defence event and therefore all roles should be mandated.

The only exception to this was one employee who objected to their role being assessed as high risk.

During the week commencing 21 December 2021 Council received notification from both Ospri and Doc of their COVID Vaccination Policies which required a Vaccination Pass for anyone working on their sites. Further to this notification was received from Ngai Tahu Forestry on 17 January 2022 that anyone working on their estate was required to have a Vaccine Pass.

Staff were informed on the 23rd December that the feedback was being considered and a final policy would be confirmed in January 2022. However, VCS field Staff were advised that following consultation and the subsequent advice from our clients Osprey and DOC that we were confirming their roles as high risk and that they therefore needed to be vaccinated and provide a Vaccine Pass to us to enable them to continue to work on contracts.

### **Current situation**

On Monday 17 January 2022 the ELT discussed the feedback and the proposed Policy and unanimously agreed that the Policy be changed from a risk-based assessment of each individual role to mandate COVID Vaccinations for all staff and contractors and consultants acting as staff.

The whole of New Zealand moved to the Red Traffic light setting from Monday 24 January 2022 with transmission of the Omicron variant in the Community. ELT then confirmed our Operational COVID-19 Vaccination Policy for staff and contractors and shared this with staff.

This policy requires that a My Vaccine Pass is provided to us as the employer by 5pm 25 February 2022.

ELT had several discussions with regards to Business Continuity and Risk Mitigation at the Red Traffic light Alert and agreed that having distinct teams working separately was the best way to minimise the risk of exposure to all staff should Council have a COVID -19 positive test among staff.

In making this decision consideration was given to the Council's obligations to staff the ECC in the event of a Civil Defence activation.

### **Considerations**

#### **Implications/Risks**

Until the deadline of 25th February 2022 we are unable to ascertain the actual impact this Policy will have on Staff numbers.

Initial feedback has identified 3 staff members who are not currently vaccinated; one of whom has the intention to get vaccinated in the future.

As required by Employment Law there will be individual discussions with those staff who are unvaccinated or chose not to divulge their vaccination status.

#### **Significance and Engagement Policy Assessment**

There are no issues within this report which trigger matters in this policy.

#### **Legal implications**

A thorough process has been undertaken with meaningful staff consultation taking place in line with our employee consultation processes. Consideration was given to business continuity whilst endeavouring to minimise the risk to staff under the Health and Safety at Work Act.

If an employee chooses to challenge their employment options as a result of the implementation of this Policy, the process that was undertaken for the employer to reach this decision would be reviewed.

The process undertaken is in line with Employment Law and the Health and Safety at Work Act.

#### **Attachments**

Attachment 1: WCRC COVID 19 Vaccination Policy -adopted January 2022

# COVID -19 Vaccine Policy

## Purpose

The West Coast Regional Council is committed to protecting all staff and members of the public from harm while undertaking Council duties or while working for council or visiting Council buildings and work sites.

As part of this commitment, Council is implementing this Covid-19 Vaccination Policy

This Policy aims to provide our Employees and customers with consistency of protection against COVID-19 in Council Premises and other environments required for work. It is a reasonable additional control for our Employees against exposure to COVID-19 and limiting transmission from our Employees to others. Vaccination is our best possible protection against the adverse impacts of COVID-19, including the potentially serious health impacts; on operational continuity and our business; disruptions to the service we provide to the community; and its spread in circumstances where our Employees have contact and interact with each other and/or large volumes of people, some of them vulnerable, on a regular basis

## Responsibilities

This policy applies to all Council employees, consultants and contractors who have been engaged to provide services on behalf of council or do so from within a Council worksite.

Individual employees must ensure they are familiar with this Policy and comply with its requirements at all times.

All Managers and team leaders are responsible for managing their processes, workspaces, and staff so that all team members, contractors and consultants are informed of and adhere to this Policy.

Council will consult, co-operate and co-ordinate with contractors, consultants and other persons conducting a business or undertaking at Council work places regarding any shared duties to protect against COVID-19 transmission at those sites.

## Policy

This policy sets out the obligations and responsibilities of all Council staff and other persons who work at Council sites in relation to vaccinations for COVID-19. This policy is subject to any official government health advice relating to the COVID-10 vaccine, which may change from time to time.

## Getting vaccinated – how Council will support you

The Government has a vaccine rollout plan and as at the date of this policy everyone aged 5 and over, is eligible to get the vaccine, those who have had both vaccines for a minimum of 4 months and are aged 18 or older are eligible for the booster. Both doses of the vaccine and the additional booster are FREE.

Council requires all employees, councillors, consultants and contractors to be fully vaccinated with the government approved COVID-19 vaccine. It is vital that we all play our part to protect our



community and make our workplaces as safe as we can for our fellow employees, customers and whanau. To support all of our team to become vaccinated as quickly as possible, Council will:

- Allow all staff to undertake their COVID-19 vaccination appointments during work hours (with appropriate notice provided to your team leader or manager) for both you and your dependents, without using annual leave or losing any pay;
- Continue to provide staff with relevant and timely information from the Ministry of Health and the District Health Board.

## **Vaccination required for all Council Roles**

Council has identified a number of specific roles where the risk of contracting or transmitting COVID-19 is high. These roles include interaction with the public, and interaction with vulnerable groups such as aged persons. There are also intermittent and/or one-off activities such as visiting communities where the COVID-19 risks are high. Council has undertaken a health and safety risk assessment (Risk Assessment) of all Council roles in accordance with the Health and Safety at Work Act 2015 (HSWA) and the current WorkSafe guidelines on how to decide what work requires a vaccinated employee. The result of this Risk Assessment is that all Council roles have been deemed to require a vaccinated employee to perform them in order to reduce the risks of contracting or transmitting COVID-19 in the workplace to an acceptable level. As all Council roles have been assessed as requiring a vaccinated person to perform them, Council requires that all employees:

- Provide appropriate evidence that they have received at least one dose of the COVID-19 vaccine no later than 5:00pm on 7<sup>th</sup> February 2022 (Deadline 1);
- Provide appropriate evidence that they have received their second dose of the COVID-19 vaccine no later than 5:00pm on 25<sup>th</sup> February 2022 (Deadline 2); and
- Once fully vaccinated, provide appropriate evidence that they are maintaining their Covid-19 vaccination status by receiving any booster shots of the Covid-19 vaccine that are required in accordance with Ministry of Health's guidelines within the recommended timeframes. The current guidelines recommend a booster shot of the Covid-19 vaccine be received 4 months after the second dose.

Appropriate evidence that you have received the COVID-19 vaccine or are maintaining your fully vaccinated status can be provided to us via your My Vaccine Pass, available from <https://covid19.govt.nz/covid-19-vaccines/covid-19-vaccinationcertificates/my-vaccine-pass>

Evidence of your vaccination status can be provided to People & Capability confidentially by completing the form available in SID. If you have not yet received the COVID-19 vaccine but are willing to do so, we will work with you to help you get vaccinated as soon as possible. If you are not willing to receive the COVID-19 vaccine, we request that you inform People & Capability People & Capability confidentially via the following email address: [personnel@wrcr.govt.nz](mailto:personnel@wrcr.govt.nz)

## **New employees**

As part of Council's commitment to supporting the COVID-19 vaccination campaign and observing its ongoing health and safety duties, all new employees will be required to provide appropriate evidence of being fully vaccinated against COVID-19 prior to commencing work.

# COVID -19 Vaccine Policy

## Vaccination Register

All employees are to notify us when you have had your first and second doses of the COVID-19 vaccine. Once you have a vaccine pass you are required to provide this to council using the form within SID. Unless you notify us, Council will assume that you are unvaccinated. Council will keep a confidential vaccination register recording which employees have been vaccinated with the COVID-19 vaccine and other relevant information.

Any vaccination information collected, used, and stored under this Policy will be handled in accordance with the Privacy Act 2020 and any other applicable legal requirements.

Please contact the People and Capability Team if you wish to make any changes or updates to your information on the vaccination register. From time to time we will send out a reminder to all staff to provide any updated vaccination status information they would like recorded on the vaccination register.

## Unable to vaccinate or choosing not to

Council acknowledges there may be some employees who choose not to be vaccinated because of their personal beliefs or other circumstances.

The requirements to provide appropriate evidence of your Covid-19 vaccinations under this policy by the relevant deadlines specified are health and safety controls for the purposes of Council's current Health and Safety Policy (H & S Policy). Council employees are required to comply with the H & S Policy, any associated documents, policies and procedures at all times. Any failure by a Council employee to comply with this policy or the H & S Policy may be treated as serious misconduct and may result in dismissal. Any employee who does not provide appropriate evidence that they have received the required doses of the COVID-19 vaccine under this policy by Deadline 1 or Deadline 2 may be:

- Asked to work from home; or
- Placed on unpaid leave or on paid leave;

following consultation with the employee. Any feedback from the employee will be considered on a case by case basis before this decision is made.

The employee will then be provided with a full opportunity to provide any feedback or comments they may have during an investigation process carried out in accordance with the Council's Code Of Conduct and Disciplinary Procedure . After consideration of any feedback from the employee and all of the relevant circumstances, Council will make a decision on whether any further action will be taken including whether the employee's employment will be terminated

## Accessing workplaces

There may be circumstances where third parties, such as businesses, organisations, iwi authorities, marae, health providers and others may direct or require that our Council staff and/or contractors

provide proof of their Covid-19 vaccination status as a condition of entry to a location or to their workplaces. Council is required to comply with any such requirements, and only fully vaccinated staff will be sent to such sites.

From 28<sup>th</sup> February 2022, Council will be requiring proof of Covid-19 vaccination from all employees and contractors engaged by Council as a condition of entry to any workplaces under its control.

## **Changes to this Policy**

As the Covid-19 situation in New Zealand can change rapidly, Council may need to amend this policy or impose measures in accordance with this Policy at short notice. In this event, Council will endeavour to consult with its staff, the Unions, and employee Health and Safety Representatives on any such changes as far as practicable in the circumstances, recognising however that urgent health and safety issues may require action to be taken at short notice.

## **Related Policies and law**

- Health and Safety at Work Act 2015
- Health and Safety Management Plan
- Health and Safety Policy
- Employment Relations Act 2000 (and its amendments)
- Privacy Act 2020

**THE WEST COAST REGIONAL COUNCIL**

**RISK & ASSURANCE COMMITTEE**

To: Chair, Risk and Assurance Committee

I move that the public be excluded from the following parts of the proceedings of this meeting, namely, -

- Item 1 Confirmation of Confidential Minutes - 1 November 2021
- Item 2 Health & Safety Report – January 2022
- Item 3 RSHL Annual Report
- Item 4 Legal Matters
- Item 5 Insurance
- Item 6 Whistle-blower Policy arrangements
- Item 7 Contractual Matters (verbal update from the Chief Executive)
- Item 8 Commercial property (verbal update from the Chief Executive)

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<b>Item No.</b>	<b>General Subject of each matter to be considered</b>	<b>Reason for passing this resolution in relation to each matter</b>	<b>Ground(s) under section 7 of LGOIMA for the passing of this resolution.</b>
Item 1	Confirmation of Confidential Minutes 1 November 2021		Clause 7 subclause 2 (a)
Item 2	Health & Safety Report – January 2022		Clause 7 subclause 2 (a)
Item 3	RSHL Annual Report		Clause 7 subclause 2 (b)
Item 4	Legal Matters		Clause 7 subclause 2 (g)
Item 5	Insurance		Clause 7 subclause 2 (b)
Item 6	Whistle-blower Policy arrangements		Clause 7 subclause 2 (b)
Item 7	Contractual Matters (verbal update from the Chief Executive)		Clause 7 subclause 2 (b)
Item 8	Commercial property (verbal update from the Chief Executive)		Clause 7 subclause 2 (b)

I also move that:

- Heather Mabin, Nichola Costley and Kim Hibbs be permitted to remain at this meeting after the public has been excluded, because of their knowledge on these subjects. This knowledge will be of assistance in relation to the matter to be discussed.
- The Minutes Clerk also be permitted to remain at the meeting.