Local Government Excellence Programme

Performance Assessment Framework (Territorial Authority version)

Version: 3.0

Approved and authorized by the Independent Assessment Board: 8 July 2022

1 Instructions and required documentation

Instructions

The Performance Assessment Framework (PAF) is the primary data collection and collation document to inform your CouncilMARK™ assessment.

This version of the PAF is for Territorial Local Authorities. Please complete all sections in this document.

The purpose of the CouncilMARK™ assessment is to both assess current performance to provide transparency to your constituents, and inform your continuous improvement programme, so please answer each section as candidly as possible.

Use Dropbox to share a copy of the completed document (complete with copies of all required documents listed below, and any supplementary documents) with the assessors **at least two-three weeks** before the scheduled on-site assessment visit.

The preferred folder structure for how assessors want these documents to be grouped and presented in Dropbox are:

- One main folder which contains:

    o Council's completed PAF and a copy of the draft agenda;

    o A separate folder with the required and supporting documents for Priority Area 1;

    o A separate folder with the required and supporting documents for Priority Area 2;

    o A separate folder with the required and supporting documents for Priority Area 3;

    o A separate folder with the required and supporting documents for Priority Area 4; and

    o An index document which reflects all of the documents provided (as per above) and the titles clearly named.

Please ensure all documents are clearly named and easily identifiable.

The CouncilMARK™ Programme Manager will confirm the names and contact details of the two assessors assigned to your assessment.

Required documentation

Please provide copies of the following documents, together with any other supplementary documents you deem appropriate, to inform the assessment. Add the publication date in the table.

Required documentation	Date of publication
1. Long-Term Plan	
2. Annual Plan	
3. 30-year Infrastructure Strategy	
4. Financial Strategy	
5. Two examples of current Asset Management Plans	
6. Communications and Engagement Strategy/Plan and Communications and stakeholder audits	
7. Key strategies/policies that are guiding documents (for example economic development strategy, property acquisition and sale policy, media policy)	
8. Annual resident/ratepayer survey	
9. Business satisfaction survey	
10. Two examples of most recently completed Section 17A service reviews	
11. Two examples of recently completed business cases	
12. Two recent (substantive) examples of management reports to council	
13. Audit report (with any corrective actions)	
14. Risk policy, risk register and risk analysis reporting by senior executive	
15. Example of a community engagement plan	
16. Most recent operational/financial reports sent to elected members	
17. Chief Executive's Performance Agreement	
18. Committee Structure (and names)	
19. Delegations Manual/Document	
20. Code of Conduct	
21. Most recent Annual Report	
22. Two examples of bylaws	
23. Animal Management and Licencing Policy	

Supplementary documentation	Date of publication
1. Waste Management and Minimisation Plan	
2. Civil Defence and Emergency Management Plan	
3. Recreation and Community Facility Strategy	
4. Climate and Resilience Strategy / Policy	
5. Memorandum of Understanding / Terms of Reference for iwi liaison, Māori Standing Committee or other.	
6. Organisational hierarchy/table	

2 Council and stakeholder interviews

The assessors will meet with the mayor and elected members, the Chief Executive and senior leaders, a broad selection of staff, and selected external stakeholders during the on-site portion of the assessment process. A template agenda can be found in the CouncilMARK™ Guidance Note – please request this from the Programme Manager should you need a copy.

Please provide the names and position/role of all people who will be interviewed in the following table, as well as a copy of the draft on-site assessment agenda.

Interviewees (name and position)	
Mayor and elected members	**Role**
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Staff	**Role**
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Māori/iwi representatives (ideally to meet in a group)	Organisation/role
• Māori/iwi representatives	
•	

External stakeholders	Organisation/role
• Business community representatives	
• Community group(s) with whom council has substantial dealings	
• Waka Kotahi representative	
• Regional council representative	
• (any other external stakeholders Council wish to invite into the process?)	

Please provide answers to the below to ensure consistency throughout the assessment process:

What do you refer to your senior leadership team as (ie Chief Executive and second tier managers)?
Does Council have a formal committee that represents the interests of iwi/mana whenua/hapū, ie Māori Standing Committee? If so, what is the name of the group, and what is the purpose/role of the committee?

3 About Council

Please complete the following table to provide context for the assessors, and include references/website links to the latest available source data.

Population (most recent figure, noting the source)	Reference Statistics New Zealand
Population characteristics	Reference Statistics New Zealand Including Demographics – age, income, ethnicity, household structure
Council type (Remove those that are not relevant)	(Reference – CouncilMARK Prospectus) ☐ Large metro council (populations 100,000 plus); ☐ Small metro or large provincial council (populations between 30,000 and 99,999); or ☐ Small provincial or rural council (populations less than 30,000)
Land area (square km)	Reference Department of Internal Affairs Including percentage of urban area
Media income ($$$)	Reference Statistics New Zealand
Transport network (km)	Reference Ministry of Transport Describe road and any other transport infrastructure the council provides
Significant water bodies	List significant waterbodies; lakes, estuaries, rivers, length of coastline (if applicable)
Gross domestic product	
Growth/decline/stable population	

4 Performance indicators

Priority one: Governance, leadership and strategy

Vision, strategy and goals	Indicators
1. How was the Council's vision and overall strategy (for its community as a whole) developed? 2. What level of involvement do stakeholders and the public have in determining vision, strategy and goals? 3. How well aligned is vision and overall strategy with the community's interests and goals, and the wider environmental and social context? How often is this tested and how? 4. Is the vision and strategy clearly articulated with measurable goals, and is documentation easily accessible by the public? 5. How is vision and strategy used to justify operating plans, work programmes, projects and expenditure? 6. How are competing demands assessed and prioritised?	• Vision, overall strategy and goals are coherent, succinct, clearly articulated in the LTP and all other core council documents. • Elected members are actively involved in the development and promotion of the vision, strategy and goals. • Internal and external documentation is explicitly aligned to vision, strategy and goals. • Outcome measures are explicitly linked with strategic goals. • Strategic documents and policies are reviewed regularly. • A mechanism is in place to assess and prioritise projects and proposals. • Formal and informal collaborations with others to set and achieve region-wide goals.
Council self-assessment	
Assessor comments	

Conduct of Council business	Indicators
7. How is "the business of council" conducted? 8. What use is made of committees, and has their effectiveness been reviewed in the last three years? 9. To what extent are elected members committed to the tenet of collective responsibility, and how is this demonstrated? 10. How is collective responsibility actively managed and monitored between governance and leadership to ensure organisational cohesion? 11. How are conflicts of interest managed? 12. What is the quality of the relationship (confidence, trust and transparency) between the Mayor and other elected members, between the Mayor and Chief Executive, and between the elected members and Chief Executive? 13. How are major differences/splits that may occur between groups of elected members dealt with and by whom? 14. What is council's approach to its responsibility for a trusted and respectful interface with council officers around access to accurate information and reliable and quality reporting? 15. To what extent do council officers feel valued and trusted by elected members? 16. What complaints against elected members have been made in the past year? What Code of Conduct reviews have followed and how have these been managed?	• Elected members are united in their commitment to achieve vision and goals, via agreed strategy. • Committee structures, terms of references and delegations are explicitly documented. • Register of interests and formal conflict of interest process in place. • A mechanism to express and resolve major differences is in place. • Elected members are encouraged to debate and challenge issues prior to decision-making; decisions reached are acknowledged as representing the majority and for the benefit of the wider community. • There is mutual trust and confidence between elected members and management (especially the Chief Executive) to deliver successful community outcomes. • There is mutual trust, confidence and respect between elected members and management at all times. • Elected members understand and adhere to the tenet of collective responsibility. • Mayor, elected members and Chief Executive project a publicly-united view on all strategic matters. • The Code of Conduct reviewed in the last three years. • Elected Members and officers have a "no surprises" approach to project investigation, consultation, data and information.
Council self-assessment	
Assessor comments	

Professional development of elected members	Indicators
17. Is a formal induction programme in place for elected members that covers governance (role, function, responsibilities); vision, strategy and goals; policies, culture and work practices; and operations that covers both new and existing elected members? 18. What provision is made for the ongoing professional development of elected members, both individually and as a group? 19. How is continuous professional development of elected members monitored and by whom? 20. How does the Mayor assess, determine and monitor elected member professional development objectives? 21. How is the use of mentoring undertaken to ensure the upskilling of all elected members so as to adequately fulfil their collective responsibilities? 22. How are elected members upskilled in terms of legislative changes (Health and Safety/Resource Management/Building Control etc)	• Comprehensive induction programme, covering both governance role and strategic and operational topics is in place. • A structured professional development programme is established for all elected members; budget is assigned and programme is delivered. • Supplementary professional development options are utilised to support specific needs. • All elected members understand the "governance" role and function, and observe it in practice. • There is budget for elected member development (excluding conference attendance) which is monitored from year to year and for effect. • Training and development is a continuum and requires monitoring and review to ensure it is effective and appropriate. All professional development is assessed for optimum effect against an ongoing training / development environment that continually reassesses effectiveness and adjusts delivery accordingly. • Workshops, literature and updates on changes to legislation are provided.
Council self-assessment	
Assessor comments	

Performance of elected members	Indicators
23. Have the elected members undertaken a self-assessment and/or an independent assessment (third party evaluation) of their individual and collective 'performance' in the last year. If so, what form did it take and what was learned? 24. Has the Mayor sought feedback on his/her performance in the current triennium? If so, what was the feedback?	• Structured and independent performance review system in place. • Findings from performance reviews documented, and are discussed amongst elected members, and actioned.
Council self-assessment	
Assessor comments	

Advice, reporting and decision-making	Indicators
25. What is the frequency and scope of management reporting? 26. In what form is management advice and reporting provided? 27. Are Elected Members satisfied with the timeliness, quality and level of information they are provided via management and officer reporting including both written reports, workshops and presentations? 28. How does management advice, reporting and financial analysis enable informed decisions by elected members? 29. Are the decisions of elected members transparent and well-documented? 30. How do elected members monitor the implementation of their decisions, and verify whether expected benefits/outcomes are achieved?	• Regular (monthly) management and performance reporting is in place, covering all material operational and financial matters. • Reports are well-written, well-structured, well-reasoned, evidence-based and balanced with explicit references to approved goals and policies. • Proposals are understood and critically assessed by elected members, especially for relevance; value-for-money; and alignment with vision, strategy and LTP priorities and that they meet regulatory requirements. • Decision-making considers risk in accordance with the significance of the decisions. • Formal delegations framework in place.
Council self-assessment	
Assessor comments	

Chief Executive performance	Indicators
31. How is the Chief Executive's performance agreement aligned with vision, strategy and agreed goals? 32. How do elected members both monitor and support the Chief Executive, and hold him/her accountable for performance? 33. Are the KPIs for the Chief Executive reviewed and do these reflect the Council's vision and community outcomes?	• Chief Executive's performance agreement is aligned with the Council's vision, strategy and goals. • Performance of Chief Executive evaluated regularly, at least once a year. Findings are documented. • Structured professional development programme in place for the Chief Executive. • Chief Executive KPIs are monitored, reviewed and align with community outcomes and council vision.
Council self-assessment	
Assessor comments	

Health, safety and wellbeing framework	Indicators
34. Is the health, safety and well-being framework fully compliant with legislation? 35. What training is provided to ensure the health and safety system is well-understood by both elected members and management, staff and contractors and therefore embedded in the organisation? 36. What is the quality and frequency of health and safety performance reporting and auditing? To whom is this reporting provided? 37. How are the impacts of risk communicated to elected members through their decision-making process (specifically around procurement of contracts and sub-contractor exposure)	• A comprehensive health, safety and wellbeing framework is in place and understood by both elected members and senior management. • Regular reporting (minimum quarterly) is provided to elected members, with relevant "lead and lag" indicators, "near miss" trend reporting , investigations and preventative and corrective actions identified • Health, safety and well-being is embedded in the culture of the organisation with clearly defined accountability. • A mechanism is provided to elected members with regards to the level of Health and Safety risk associated with procurement sign-off, notably the cost or financial impact associated with the decision, against options containing lower risk/higher cost.
Council self-assessment	
Assessor comments	

Talent, capability, diversity and inclusion	Indicators
38. How does Council ensure its recruitment processes and practices ensure an attraction and retention outcome that enables diversity (including that of thought) and robust decision-making? 39. What approach and commitment does Council make to diversity and inclusion? 40. How does Council deliver and manage its staff engagement surveys to ensure it responds to the needs of a diverse, changing and engaged workforce?	• A transparent recruitment process that remains objective from personal bias or preference is in place. • Policies and procedures are in place, and well communicated, that reinforce the benefit of contribution to the decision making process. • Staff surveys are tailored to the organisation and structured so as to deal with the recognition of diversity in all facets, and the value of staff and their contribution. • A review of key leadership recruitment process provides objectivity around best-fit to the needs of the organisation. • Recruitment processes are non-discriminatory in terms of current or previous sector experience.
Council self-assessment	
Assessor comments	

Iwi and Mana Whenua in the decision making process	Indicators
41. What is the Council's strategy for, or approach to, engagement with local Māori/iwi/mana whenua? 42. How does Council's partnership with local Māori/iwi/mana whenua directly contribute to Treaty of Waitangi legislative and settlement obligations in terms of local decision-making engagement? 43. How do iwi/mana whenua participate in local government decision-making? 44. How is the effectiveness of engagement and decision-making measured? 45. How does Council value and remunerate members of Māori committees / advisory boards etc relative to other standing committees or local board members?	• There is evidence of meaningful engagement taking place. This engagement, which may be outlined in a partnership plan, is valued by both council and Māori/iwi/mana whenua and results in on-going dialogue and strengthening engagement and is judged by the satisfaction of the process by those involved in it. • Council's vision and strategies can be directly aligned to fulfilling the obligations under Te Tiriti o Waitangi, as devolved to Council by the Crown. • The role of local Māori/iwi/mana whenua is reflected in their concerns and opinions being voiced in shaping local decision making. • Council meets its obligations under the Local Government Act by providing tangible opportunities for participation in decision-making. • Elected Members and Council Staff meet with local Māori/iwi/mana whenua at intervals mutually agreed upon in order to gain a shared understanding of current and emerging matters. • Council meetings are held with Māori/iwi/mana whenua on their Marae. • Engagement is translated into tangible action on mutually-agreed matters of importance including Resource Management Act obligations for water and environment stewardship, where required. • Remuneration for Board Membership is consistent with other groups within council.
Council self-assessment	
Assessor comments	

Assessors' recommended grading

Assessors' initial comments on Council's performance

Areas where the Council excels and why

Areas where the Council could improve and why

Priority two: Financial decision-making and transparency

Financial strategy and reporting	Indicators
46. How is the financial strategy linked to council vision, outcomes and strategic goals (including the infrastructure strategy)? 47. Is the financial strategy realistic and suitable to support council priorities and outcomes? 48. What financial reports are generated, how often and to whom? 49. How is financial data being used to inform spending decisions, monitor and verify performance and forecast future demands? 50. How does the financial strategy deal with shortfalls in asset data, including condition assessment gaps? 51. Does the Infrastructure Strategy take a consolidated view of council's total current and projected asset base? 52. How does Council deal with depreciation and what impact does this have on affordability considerations? 53. How does Council deal with whole-of-life cost assessments in its decision-making process? 54. What approach does council take to Business Case development, assessment and approval? 55. What considerations has council given to alternate revenue streams to support rating? 56. How does council engage with the likes of Public Private Partnerships and infrastructure alliances to consider options in decision-making? 57. How does Council monitor the alignment between its LTP/AP and the supporting documentation (eg AMPs) to ensure sustainable financial decision-making?	• Financial strategy is visibly and coherently linked to the vision and overall outcomes, and 30-year infrastructure strategy. • Financial strategy provides relevant context for financial goals including evidence-based analysis, and quantifiable steps for achieving the long-term financial goals. • Financial reports are succinct and enable effective analysis to an appropriate level of detail. Comprehensive explanations of material variances are provided. • Financial performance is reported publicly at least annually, and variances from the budget are explained. • Finance team understands revenue and expenditure drivers, and provides sound and straightforward (jargon-free) advice to both senior management and elected members. • Annual financial results are largely free of significant operating surpluses and capital expenditure carry-forwards. • Capital and operating budgets are clearly linked to strategic goals in the LTP. • Whole-of-life, as well as up-front, costs are assessed and included for consideration in decision-making processes. • A Business Case framework that supports decision-making and is aligned to strategy. • A thorough assessment of revenue options (Development Contributions etc) to support both the Financial and Rating Policies. • Establishment of relationships around project specific PPPs or alliances.
Council self-assessment	
Assessor comments	

Investments and non-service assets	Indicators
58. How does council manage and report its investment activities to ensure transparency and economic optimisation? 59. What is Council's approach to managing commercial leases to ensure optimum return on investment? 60. How does Council manage its relationships with its tenants? 61. How does Council assess development options and opportunities for its portfolio to ensure long-term and strategic benefit? 62. How does Council value and manage intangible assets?	• Council has an investment portfolio strategy and plan which is actively managed and current and there is a formal statement of investment performance and objectives. • A relationship management approach is taken in respect to all tenancies with a long-term perspective in terms of tenant and return on investment. • All non-service assets (properties) are known and assessed for development opportunity and potential. • Asset Management Plans are in place for non-service assets, such as housing, and take into account legislative requirements (eg Healthy Homes Act / Residential Tenancies Act etc). • A policy is in place outlining how intangible assets such as intellectual property etc is assessed, valued and recorded.
Council self-assessment	
Assessor comments	

Audit, risk and control	Indicators
63. Does Council have an audit and risk committee (or equivalent), with independent members and a terms of reference? 64. Is an approved risk policy in place that is regularly reviewed? 65. How are significant risks identified, recorded, prioritised and mitigated? 66. Do elected members understand, monitor and take responsibility for significant risks including reputational / health, safety and well-being? 67. Is the risk register regularly updated? 68. (How) is the Audit, Risk and Finance Committee advised of and assessing risks to health, safety and wellbeing of officers and sub-contractors as a consequence of its decision making, notably around procurement of contracts and services?	• An audit and risk committee is operating, with suitable expertise and independent member(s). Appropriate independent advice (eg treasury) is sought when needed. • Risk policy (including risk appetite statement) in place. • Risk register in use; material risks are measured, prioritised, mitigated and reported quarterly. Economic trade-offs between mitigation and non-mitigation are documented and reported. • Elected members understand and actively manage significant risks and management actively follow-up identified health, safety and well-being concerns. • Financial management is substantively compliant with Office of the Auditor-General standards and guidelines, especially in relation to purchasing/contracting. • Issues of financial probity dealt with to the highest standards, especially registers of elected member interests and conflicts. • The consequence of decision-making in terms of cost and reputational impact against health, safety and wellbeing is understood by both elected members and the accountable officers.
Council self-assessment	
Assessor comments	

Budgeting and Activity Costing	Indicators
69. How are annual budgets set? 70. Is the annual budget balanced or unbalanced due to specific circumstances; and is the basis documented and explained? 71. Are the budgets financially sustainable? 72. How are activity costs managed and reported? 73. Are budgets summarised to reflect community outcomes as well as activity?	• Budgets for each activity area are zero-based. • If budget is unbalanced, reasons are explained in plain language. • Budgets are presented in a format that is readily understood by non-technical readers (especially elected members and senior managers). • Budgets have regard for past financial performance, such as areas of consistent under-spending or over-spending in activities. • Costs are transparent across activities
Council self-assessment	
Assessor comments	

Financial position	Indicators
74. Is the Council's level of debt aligned to its growth and the capacity of its ratepayers? 75. Does Council have a recognised credit rating, or has it been deemed prudent not to do so? What is basis for decision? 76. In the last three years, has an adverse, disclaimer or qualified opinion been given to the annual plan, LTP or annual report? If so, what action was taken? 77. Have any issues raised in audit management letters been resolved in a timely manner? 78. What processes are in place to manage debtors and rates arrears?	• No unnecessary cash reserves held. • Levels of debt have regard to inter-generational equity between ratepayers. • Fiscal benchmark requirements met. • Any audit report qualifications are quickly and effectively resolved. • All issues identified in audit management letters are resolved satisfactorily. • Aged debt (90-plus days) is actively managed down. • Process in place to regularly review, and where appropriate dispose of non-strategic assets.
Council self-assessment	
Assessor comments	

Transparency	Indicators
79. Is the rates-setting process published publicly? 80. Is rates information easily accessible and understandable by all ratepayers? 81. Is financial performance information readily available online, and presented in a manner that is easily understood by the public? 82. What approach is used to ensure "best value" procurement? 83. Is information about major contracts published online?	• Empirical data is used to justify all rates demands, especially targeted rates. • Straightforward language is used to report and justify rates and user charges. • Cost-allocation decisions (eg user charges) are driven by strategic and operational priorities, not political expediency. • Debt and financing costs are equitably shared between current and future generations. • Capital expenditure is reported comprehensively at a major project level. • Procurement strategy balances price and non-price attributes to achieve best value for money. • Procurement policy and associated documents are maintained and publicly available, including online.
Council self-assessment	
Assessor comments	

Assessors' recommended grading

Assessors' initial comments on Council's performance

Areas where the Council excels and why

Areas where the Council could improve and why

Priority three: Service delivery and asset management

Aligning services with vision and strategic outcomes	Indicators
84. How are core service delivery strategies linked with vision, overall strategy and goals, for the achievement of community outcomes? 85. Are linkages explicitly summarised and explained in public documentation? 86. How is Council responding to potential consequences of climatic change and other locally-relevant environmental considerations? 87. How does Council assess and gauge the value of Public Private Partnerships, alliances, or shared services in terms of efficient service delivery?	• Strategies are in place for all core activities (infrastructure; property, land and buildings; community services; regulatory compliance and enforcement). • Current state and desired future state of all services is identified and clearly documented. • Strategies are interlinked both internally, and with relevant external entities (other councils, Waka Kotahi, etc). • The assessment, value and implementation of alternate service provision.
Council self-assessment	
Assessor comments	

Determining and monitoring service levels	Indicators
88. How are service levels determined and communicated? 89. How is service performance monitored, reported and improved?	• Service levels are based on an effective mix of quality, timeliness and value for money. Service levels reference appropriate benchmarks. • Performance trends are monitored and reported over a sustained period of time, and Council can demonstrate upward improvement trends. • Survey results are credible, publicly reported and used to inform decision-making and make adjustments as appropriate.
Council self-assessment	
Assessor comments	

Procurement	Indicators
90. How does Council's Procurement Strategy align with purpose and vision? 91. What delegations, authorities and conflict processes are in place for all procurement transactions, and how is council made aware of these?	• A documented and reviewed Procurement Strategy is in place. • Council has visibility of major procurements and contracts irrespective of their inclusion or approval in an LTP or AP with these reported through relevant sub-committee (eg Tenders and Procurement).
Council self-assessment	
Assessor comments	

Asset management	Indicators
92. Are management plans in place for all major asset categories (Three Waters, roads and transport, property, land and buildings, etc), and how are they aligned to overall vision, strategy and goals? 93. What systems are in place for effective monitoring and maintenance of assets, to ensure agreed service levels are delivered? 94. What benchmarks are used to measure asset condition and performance? 95. Is asset condition explicitly reconciled with strategy and service level goals?	• AMPs in place for all asset and activity / service categories. • AMPs and related technical documents include a plain-English summary; linkages to overall vision, outcomes and infrastructure strategy is explicit. • Asset performance and condition is continuously measured, monitored and reported. • Impact of climatic change (and other significant environmental considerations) on asset condition, and current and future performance, is identified and understood; appropriate mitigations are documented. • Network efficiency and network resilience is understood and measured. • Relevant international accreditations in place. • Condition of assets is regularly assessed and asset condition is reconciled with infrastructure and financial strategies.
Council self-assessment	
Assessor comments	

People capability, capacity and culture	Indicators
96. How does the Council ensure it has the appropriate capability and capacity to deliver services at agreed levels now and in the future? 97. What is Council's capability plan for people, technology, data and analytics? 98. What is Council's digital roadmap for the next five years? 99. What arrangements are in place for staff development and succession planning? 100. How is staff performance assessed? 101. What form of staff engagement surveys are conducted and how are the results actioned? 102. How does the Council monitor and assess the wellbeing of staff?	• Effective resource planning systems in place. • Sufficient skills and capacity available to deliver on plans, through an effective mix of internal and external resources. • Appropriate training and development plans and tools in place and in use (for all staff). • There is a clear plan for developing the digital pathway forward, including data, IT and modelling. • The Chief Executive has a commitment to, and can demonstrate, continuous improvement to the organisation's culture and capability. • Recognised and independent process used to diagnose organisational culture. • Engagement and diversity results are shared with staff, prioritised for action, and changes monitored and reported. • Engagement and other results demonstrate a strong and cohesive team culture. • A specific focus in Performance Development sessions is noted, including the follow-up mechanisms in place including the engagement and use of employee assistance, support and mentoring programmes.
Council self-assessment	
Assessor comments	

Three waters	Indicators
103. How are regulatory standards for each service monitored and met? 104. What treatment measures are in place for each service to ensure compliance, security and safety to meet current and forecast demands? 105. Is the cost of delivering Three Waters understood and incorporated into financial planning? 106. How are community group (eg iwi, business, rural) expectations for Three Waters services considered to ensure regulatory requirements are met? 107. Is sufficient capacity in place to meet current and forecast needs? How has future demand been modelled? 108. What discharge consents are in place and what will be required in the near future?	• Regular reporting of performance against service standards is publicly available. • All drinking water plants and network meet applicable drinking water standard, supported by appropriate risk management practices. • Discharge consents are in place, and future renewals are being effectively planned for. • Appropriate use of pricing controls to manage public use of drinking water and waste water. • Treatment of stormwater and wastewater discharges, including trade waste, meet environmental expectations of community groups and Māori/iwi, as well as regulatory requirements. • Network failures are addressed in a timely, financially and environmentally prudent manner. • Future demand and capacity of the networks is understood and being planned for within the capital programme.
Council self-assessment	
Assessor comments	

Roading and transport	Indicators
109. Is the roading, including footpath, network documented and understood (especially in relation to current and future demand, and changes in usage)? 110. What initiatives are in place to increase usage of public transport and active modes? 111. How are trade-offs between service costs and levels of service assessed? 112. How is the effectiveness of the roading network currently measured and performance assessed? 113. When was the cost and quality of roading maintenance last reviewed, and what were the findings? 114. How does Council interact with the Regional Council to ensure quality of service goals are met?	• Roading network documentation is comprehensive, complete and up-to-date. • Roads (including bridges) are well-maintained and fit-for-purpose. • Roading maintenance contracts are cost-effective. • Network availability is measured and reported. • Modes of transport are well integrated including public transport and active modes (cycling, walking, and scooters) (where applicable). • Road safety, access and mobility plans and programmes are in place. • Transport Strategy supports decarbonisation. • Transport and roads are managed as a system. • Economic value of a road is considered in assessment of maintenance and replacement planning. • Multi-tiered investment plan in place to meet future roading and transport demands. • Key route journeys documented and monitored to ensure quality of journey. • Customer satisfaction (public transport and roading / footpath maintenance and provision) is monitored and is high. • Future metrics (growth / vehicle ownership / public transport utilisation / age etc) are understood and linked to plans. • There is a well-reasoned view of amenity value. • A high-quality and well-evidenced land banking strategy is in place.
Council self-assessment	
Assessor comments	

Community services	Indicators
115. Does Council have a comprehensive strategy covering community facilities/community infrastructure, and how is it linked with overall vision and strategy and LTP goals? 116. What community services are provided by Council, by way of facilities and infrastructure and to whom, and why? 117. What decision-making framework is used to determine whether to add, maintain or divest any particular community facilities and infrastructure? 118. How are service levels determined and monitored? 119. How is the cost of providing each community service calculated and are costs published to the community? 120. Is the patronage of community facilities and infrastructure monitored and reported publicly? 121. Does Council engage community development staff and, if so, how does their role relate to community outcomes as noted in the LTP? 122. Is Community Grant Funding aligned with community outcomes and how is this reviewed for optimum impact?	• Service levels and costs for all community facilities and infrastructure are discussed with, and understood by, the community, including the ratings and user charging implications. • Patronage and cost of service is measured and reported. • Service scope and quality are benchmarked to appropriate standards. • Desired demand patterns (of community facilities) understood. • There is active consideration of public/private provision of community facilities. • A well-being indicator framework has been established with outcomes monitored regularly. • A community grant funding policy is in place, and is regularly reviewed and monitored for effect.
Council self-assessment	
Assessor comments	

Regulatory services	Indicators
123. How are regulatory service standards set, monitored and reported? 124. How are regulatory services linked to council outcomes? 125. Are regulatory service standards aligned nationally or regionally?	• All regulatory services meet relevant national standards. • The cost of all regulatory services is understood and documented, and fees for services are transparent. • Resourcing of each service is appropriate to satisfy community needs, regulatory requirements and economic imperatives.
Council self-assessment	
Assessor comments	

Building Control	Indicators
126. What corrective actions were assigned to council following the last IANZ compliance assessment? 127. What timeframe for review of council's BCA function has IANZ/MBIE assigned? 128. What is the relationship between Council and its local development/ construction sector?	• An IANZ report, with Council's response on corrective actions. • BCA review cycle, highlighting level of comfort/concern around on-going building control function and delivery. • Regular developer/constructor forums are held. • Innovation in the use of technology for the lodging of consent applications and monitoring of inspections is in place. • Council actively shares services with and from other councils.
Council self-assessment	
Assessor comments	

Waste disposal	Indicators
129. What solid waste disposal and minimisation systems are in use? 130. How are resident and community group (eg iwi, business, rural) expectations for solid waste services assessed to ensure compliance against regulatory requirements? 131. Is sufficient capacity in place to meet current and forecast waste needs? How has future demand been modelled?	• Solid waste systems meet community/iwi environmental expectations, as well as regulatory requirements. • Strategy and supporting programmes to actively minimise solid waste in place. • Hazardous waste management strategy in place.
Council self-assessment	
Assessor comments	

Accountability reporting	Indicators
132. How are actual service delivery levels reported (including comparisons against published strategy and work programme)? 133. How does the Council ensure public reporting is readily accessible and presented in an informative and transparent manner? 134. Does the Council report on the completion of capital projects (including whether the project was completed on time, budget and scope)? 135. How does the Council balance reporting against financial, social, environmental and economic outcomes?	• Actual performance is clearly articulated in the Annual Report, with effective use of visual elements such as tables and graphs. • Annual Report contains comprehensive overview of activities and service performance including multi-year (trend-line) comparisons. • Annual Report includes candid summaries of under-performing activities and projects, with corrective actions and/or lessons learned. • Capital projects are reported across financial years. • Capital project over-runs/under-runs are reported and variances explained. • Council uses a variety of financial and non-financial measures to account for performance.
Council self-assessment	
Assessor comments	

Regulatory compliance and enforcement	Indicators
136. Does the Council have a Compliance and Enforcement Strategy? 137. Does Council have a Licencing Strategy/Policy? 138. Does Council have an Animal Enforcement Strategy? 139. How are resourcing decisions for different compliance activities prioritised (eg enforcing consent conditions versus freedom camping)? 140. How are different compliance options (eg education versus infringements) determined? 141. How is the effectiveness of compliance and enforcement measured and monitored?	• A comprehensive strategy is in place and is linked to key community outcomes (environmental, public safety, etc). • An effective work programme is in place (and documented) for prioritising and actioning compliance activities. • Consent applicants clear of what is required of them, and decisions are issued within legislative timeframes. • Compliance activities are appropriately resourced and targeted to the most important issues facing the district/city. • There is an effective balance between "carrot" (eg public education programmes) and stick (eg prosecution) regulatory options. • Council's licencing policy and service delivery is community facing and well monitored. • Council's animal welfare services are monitored, reviewed and customer centric.
Council self-assessment	
Assessor comments	

Planning	Indicators
142. How does the Council's RMA, land use and infrastructure, and Land Transport Management Act (LTMA) planning take into account projected demographic changes in the city or district; future infrastructure requirements; natural hazards; and environmental factors (impacts of climatic change, for example)? 143. How does Council ensure that its District Plan is fit for purpose and regularly reviewed to meet its obligations under the RMA, National Planning Standards, and relevant National Policy Statements? 144. How do members of the public and/or development sector access planning advice from Council? 145. Does Council survey planning customers to identify areas for ongoing improvement? 146. Does Council's resource consent processing meet statutory timeframes; and does Council provide processing information to MFE's annual National Monitoring Survey?	• Long-term development needs and intentions are understood, defined and documented, with due consideration of population growth/change, and climatic change. • Land use, infrastructure planning, and financial planning is explicitly linked to spatial planning. • Council has set aside funds to review its district plan in response to regulatory requirements and / or reform. • Council monitors its district plan in accordance with s35(2) (b) of the RMA; and this monitoring is publicly available. • Statutory timeframes for resource consent processing as identified in MFE's National Monitoring Survey. • Qualified planning staff are in place to meet Council's statutory obligations under the RMA and training and development is in place for Council planning staff to respond to regulatory changes or reform. • Members of the public and/or development sector have ready access to planning staff to obtain planning advice. • Regular forums with planning customers (public, developers, builders, central government agencies) are held. • Spatial planning includes air space and water rights, and consideration of community needs. • Spatial policy is supported by sound economic analysis and relevant rights are fully considered and reflected within the District Plan. • Civic assets are future-proofed (in case of use change). • National Policy Statement requirements are given effect (or process is in place to do so).
Council self-assessment
Assessor comments

Capital investments	Indicators
147. What analysis processes are used to inform investment/ownership decisions and capital projects (ie cost of capital analysis, or taking a better business case focus)? 148. What formal delegations framework is used, and is it documented and applied consistently? 149. What project management methodologies and disciplines are in use to support delivery of projects within budget and time goals? 150. Are formal project reviews conducted and reported? 151. Are the benefits to be realised from a capital project documented, monitored and reported post-project delivery?	• Major capital expenditure decisions (over a documented threshold) are supported by a comprehensive business case, ideally containing essential elements of a better business case (strategic, economic, financial, commercial, management). • All business cases genuinely assess all reasonable options, including doing nothing. • Business case development is facilitated by an accredited Better Business Case Practitioner (or equivalent). • Business cases are robust, and recognised by agencies such as Officer of the Auditor-General and Waka Kotahi. • Reputable project management methodology used to deliver capital projects over a documented threshold (including project management, steering/oversight group, detailed project plan, independent quality assurance and reporting framework). • Capital projects are managed by accredited/recognised and independent project managers. • Post-implementation reviews and benefits realisation assessments are undertaken and reported, for all major capital projects. • Major capital projects are individually reported in the Annual Report.
Council self-assessment	
Assessor comments	

Assessors' recommended grading

Assessors' initial comments on Council's performance

Areas where the Council excels and why

Areas where the Council could improve and why

Priority four: Communicating and engaging with the public and business

Communication and engagement	Indicators
152. Does the Council have a communications strategy that complements its Significance and Engagement Policy? 153. How do its communication documents align with the Council's vision, goals and strategies? 154. How does the Council promote two-way communication with its community? 155. Is the Council's communications and engagement strategy well understood and implemented by elected members and staff?	• An effective communications strategy that promotes the vision, strategy and values (internally and publicly) is in use. • Pro-active, two-way and open system in place for communication, with appropriate mechanisms for both community and staff feedback. • Key messages are clearly, unambiguously and consistently articulated in all internal and external messaging across print, social, online and other channels.
Council self-assessment	
Assessor comments	

Reputation	Indicators
156. Is the Council's reputation within the community and with key stakeholders assessed regularly, and if so how? 157. Are reputation survey results segmented by community group?	• A credible, independent survey mechanism is in use (in addition to public submissions), to understand local needs and preferences, and to determine delivery performance. • Survey results are publicly reported, and they are actioned and monitored for improvement.
Council self-assessment	
Assessor comments	

Media	Indicators
158. Does the Council have a media and social media strategy? 159. Have relevant designated staff and elected members received media training? 160. Do the Mayor and Chief Executive meet regularly with media to discuss key matters? 161. Has Council established clear protocols and expectations around the use of social media by both elected members and officers?	• Media strategy effectively promotes the key goals and outcomes. • Mayor, Chief Executive, other nominated elected members and staff are effective media communicators. • Effective media relationships enables the Council to be portrayed in a fair and balanced manner. • Social media used for direct communication with selected stakeholders (as appropriate). • Effectiveness of communication is monitored and evaluated. • The Media Policy extends to the use of social media (organisation and personal accounts) and is managed and monitored accordingly with appropriate follow-up actions and accountabilities.
Council self-assessment	
Assessor comments	

Engagement with central government	Indicators
162. Does the Council have a strategy to engage proactively with central government agencies in areas of infrastructure and legislative / regulatory reform?	• Elected Members and staff regularly meet with and actively engage with central government agencies around local, regional and national change initiatives. • Development initiatives include the involvement of central government agencies to take into account wider social needs of the community. • Council has an integrated approach, including engagement with central government agencies, around social development opportunities.
Council self-assessment	
Assessor comments	

Engagement with Māori/iwi	Indicators
163. How does Council engage with local Māori/iwi? 164. How is the effectiveness of engagement measured? 165. Is engagement with local Māori/iwi an open and two-way communication process? 166. How effectively do iwi engage in the local government consultation? 167. Does Council have an in-house iwi liaison officer, or similar, and where does this role sit in the organisation structure?	• An active stakeholder engagement plan is operating and valued by both council and Māori/iwi. • Elected members and managers meet with local Māori/iwi periodically, to gain a shared understanding of current and emerging matters. • Engagement is translated into tangible action on mutually-agreed matters of importance. • Council provides Māori/iwi tangible opportunities for active consultation and engagement. • Council staff have access to, and actively seek, iwi advice and input.
Council self-assessment	
Assessor comments	

Engagement with business sector	Indicators
168. What is the Council's strategy for engagement with the business community? 169. How is the effectiveness of engagement measured?	• An active stakeholder engagement plan is operating and valued by both council and the business community. • Elected members and managers meet with business groups regularly, to gain a shared understanding of current and emerging matters. • Engagement is translated into tangible action on mutually-agreed matters of importance. • Council provides tangible opportunities for participation in decision-making. • Business owners can contact council for advice regarding regulatory, rating requirements and to access support and advice.
Council self-assessment	
Assessor comments	

Engagement with general public	Indicators
170. How does the Council engage with the general public and individual community groups? 171. How is the effectiveness of engagement and communication measured? 172. How are consultation documents presented and accessed by all sectors of the community? 173. What process is used to record information received from community engagement, and how is this used?	• Elected members and staff meet with community groups according to current and emerging needs and issues. • Community consultation is substantive (not merely validating committed decisions) and there is evidence of change arising from consultation activity • Consultation documents are readily available in a variety of formats, and key information is presented in a straightforward and balanced manner. • Council provides tangible opportunities for participation in decision-making. • Engagement is translated into tangible action on matters of importance to the business community. • Service quality and value for money is prominently addressed in council communications. • Complex and/or detailed information is summarised, with effective use of visual aids including graphs and charts. • Mandatory statutory information of lesser public interest is provided separately, in appendices.
Council self-assessment	
Assessor comments	

Assessors' recommended grading

Assessors' initial comments on Council's performance

Areas where the Council excels and why

Areas where the Council could improve and why

5 Overall comments

Assessors' recommended CouncilMARK™ rating
Assessors' overall comments