I hereby give notice that an ordinary meeting of the Governing Body will be held on:

**Date:** Thursday, 22 March 2018  
**Time:** 9.30am  
**Meeting Room:** Reception Lounge  
**Venue:** Auckland Town Hall  
301-305 Queen Street  
Auckland

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**Tira Kāwana / Governing Body**  
**OPEN AGENDA**

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**MEMBERSHIP**

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<tr>
<th>Mayor</th>
<th>Hon Phil Goff, CNZM, JP</th>
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<tr>
<td>Deputy Mayor</td>
<td>Cr Bill Cashmore</td>
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<td>Councillors</td>
<td>Cr Josephine Bartley</td>
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<td>Cr Dr Cathy Casey</td>
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<td>Cr Ross Clow</td>
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<td>Cr Fa’anana Efeso Collins</td>
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<td>Cr Linda Cooper, JP</td>
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<td>Cr Chris Darby</td>
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<td>Cr Alf Filipaina</td>
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<td>Cr Hon Christine Fletcher, QSO</td>
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<td>Cr Richard Hills</td>
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<td>Cr Penny Hulse</td>
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<td>Cr Mike Lee</td>
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<td>Cr Daniel Newman, JP</td>
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<td>Cr Dick Quax</td>
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<td>Cr Greg Sayers</td>
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<td>Cr Desley Simpson, JP</td>
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<td>Cr Sharon Stewart, QSM</td>
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<td>Cr Sir John Walker, KNZM, CBE</td>
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<td>Cr Wayne Walker</td>
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<td>Cr John Watson</td>
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(Quorum 11 members)

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Sarndra O'Toole  
Team Leader Governance Advisors  
19 March 2018

Contact Telephone: (09) 890 8152  
Email: sarndra.otool@aucklandcouncil.govt.nz  
Website: www.aucklandcouncil.govt.nz

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**Note:** The reports contained within this agenda are for consideration and should not be construed as Council policy unless and until adopted. Should Members require further information relating to any reports, please contact the relevant manager, Chairperson or Deputy Chairperson.
Terms of Reference

Those powers which cannot legally be delegated:

(a) the power to make a rate
(b) the power to make a bylaw
(c) the power to borrow money, or purchase or dispose of assets, other than in accordance with the long term plan
(d) the power to adopt a long term plan, annual plan, or annual report
(e) the power to appoint a chief executive
(f) the power to adopt policies required to be adopted and consulted on under the Local Government Act 2002 in association with the long-term plan or developed for the purpose of the local governance statement
(g) the power to adopt a remuneration and employment policy.

Additional responsibilities retained by the Governing Body:

(a) approval of long-term plan or annual plan consultation documents, supporting information and consultation process prior to consultation
(b) approval of a draft bylaw prior to consultation
(c) resolutions required to be made by a local authority under the Local Electoral Act 2001, including the appointment of electoral officer
(d) adoption of, and amendment to, the Committee Terms of Reference, Standing Orders and Code of Conduct
(e) relationships with the Independent Māori Statutory Board, including the funding agreement and appointments to committees
(f) approval of the Unitary Plan
(g) overview of the implementation and refresh of the Auckland Plan through setting direction on key strategic projects (e.g. the City Rail Link and the alternative funding mechanisms for transport) and receiving regular reporting on the overall achievement of Auckland Plan priorities and performance measures.
Exclusion of the public – who needs to leave the meeting

Members of the public

All members of the public must leave the meeting when the public are excluded unless a resolution is passed permitting a person to remain because their knowledge will assist the meeting.

Those who are not members of the public

General principles

- Access to confidential information is managed on a “need to know” basis where access to the information is required in order for a person to perform their role.
- Those who are not members of the meeting (see list below) must leave unless it is necessary for them to remain and hear the debate in order to perform their role.
- Those who need to be present for one confidential item can remain only for that item and must leave the room for any other confidential items.
- In any case of doubt, the ruling of the chairperson is final.

Members of the meeting

- The members of the meeting remain (all Governing Body members if the meeting is a Governing Body meeting; all members of the committee if the meeting is a committee meeting).
- However, standing orders require that a councillor who has a pecuniary conflict of interest leave the room.
- All councillors have the right to attend any meeting of a committee and councillors who are not members of a committee may remain, subject to any limitations in standing orders.

Independent Māori Statutory Board

- Members of the Independent Māori Statutory Board who are appointed members of the committee remain.
- Independent Māori Statutory Board members and staff remain if this is necessary in order for them to perform their role.

Staff

- All staff supporting the meeting (administrative, senior management) remain.
- Other staff who need to because of their role may remain.

Local Board members

- Local Board members who need to hear the matter being discussed in order to perform their role may remain. This will usually be if the matter affects, or is relevant to, a particular Local Board area.

Council Controlled Organisations

- Representatives of a Council Controlled Organisation can remain only if required to for discussion of a matter relevant to the Council Controlled Organisation.
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</table>
1 **Affirmation**

His Worship the Mayor will read the affirmation.

2 **Apologies**

An apology from Cr C Darby has been received.

3 **Declaration of Interest**

Members are reminded of the need to be vigilant to stand aside from decision making when a conflict arises between their role as a member and any private or other external interest they might have.

4 **Confirmation of Minutes**

That the Governing Body:

a) confirm the ordinary minutes of its meeting, held on Thursday, 22 February 2018, including the confidential section, as a true and correct record.

5 **Petitions**

At the close of the agenda no requests to present petitions had been received.

6 **Public Input**

Standing Order 7.7 provides for Public Input. Applications to speak must be made to the Governance Advisor, in writing, no later than **one (1) clear working day** prior to the meeting and must include the subject matter. The meeting Chairperson has the discretion to decline any application that does not meet the requirements of Standing Orders. A maximum of **thirty (30) minutes** is allocated to the period for public input with **five (5) minutes** speaking time for each speaker.

At the close of the agenda no requests for public input had been received.

7 **Local Board Input**

Standing Order 6.2 provides for Local Board Input. The Chairperson (or nominee of that Chairperson) is entitled to speak for up to **five (5) minutes** during this time. The Chairperson of the Local Board (or nominee of that Chairperson) shall wherever practical, give **one (1) day's notice** of their wish to speak. The meeting Chairperson has the discretion to decline any application that does not meet the requirements of Standing Orders.

This right is in addition to the right under Standing Order 6.1 to speak to matters on the agenda.

At the close of the agenda no requests for local board input had been received.
8 Extraordinary Business

Section 46A(7) of the Local Government Official Information and Meetings Act 1987 (as amended) states:

"An item that is not on the agenda for a meeting may be dealt with at that meeting if-

(a) The local authority by resolution so decides; and

(b) The presiding member explains at the meeting, at a time when it is open to the public,-

   (i) The reason why the item is not on the agenda; and

   (ii) The reason why the discussion of the item cannot be delayed until a subsequent meeting."

Section 46A(7A) of the Local Government Official Information and Meetings Act 1987 (as amended) states:

"Where an item is not on the agenda for a meeting,-

(a) That item may be discussed at that meeting if-

   (i) That item is a minor matter relating to the general business of the local authority; and

   (ii) the presiding member explains at the beginning of the meeting, at a time when it is open to the public, that the item will be discussed at the meeting; but

(b) no resolution, decision or recommendation may be made in respect of that item except to refer that item to a subsequent meeting of the local authority for further discussion."

9 Notices of Motion

There were no notices of motion.
Te take mō te pūrongo / Purpose of the report
1. To approve changes to the council’s Remuneration Policy.

Whakarāpopototanga matua / Executive summary
2. Governing Body adopted the current Remuneration Policy in 2014. The policy provides high-level guidance for all remuneration decisions made by the council. The policy is also supported by operational guidelines and policies.
3. Under the Local Government Act 2002 (Schedule 7, section 36A) the policy must be reviewed every three years.
4. This report recommends amending the policy to reflect updates that have occurred since it was introduced.
5. In summary the updates include:
   • the principles contained in the policy including:
     o reference to the introduction of a living wage
     o a new principle of ‘contribution’ that makes clear there is a link between remuneration and an employee’s contribution to the council’s organisational strategy
   • better clarity of roles and responsibilities in relation to the policy, particularly to reflect the recent restructure to create the council’s People and Performance division.

Ngā tūtohunga / Recommendation/s
That the Governing Body:
a) approve the changes to the Remuneration Policy 2018.

Horopaki / Context
6. The Governing Body’s terms of reference include approval of a Remuneration Policy.
7. Operational policies, processes, and guidance that support the Remuneration Policy are the responsibility of the director of People and Performance, approved by the council’s Executive Lead Team, as necessary.
8. Remuneration is only one part of the council’s high-performance framework. The framework includes two other parts:
   • performance management
   • recognition.
   The other parts of the high-performance framework are not addressed in this report.

Tātaritanga me ngā tohutohu / Analysis and advice
9. The updated Remuneration Policy is at Attachment A. Changes since the previous version are marked-up in the version at Attachment B.
10. The recommended changes include:
   - updating the principles upon which remuneration is based by:
     - adding the principle of contribution to make it clear that remuneration is linked to contribution to the council’s organisational strategy. This is critical to the council’s high-performance framework where the value added by employees towards the council’s strategic objectives will be rewarded. This is to encourage a higher level of engagement and better outcomes for Aucklanders.
     - adding the introduction of the living wage to the social equity principle. This reflects the adoption of the living wage which was part of the Annual Budget 2017/2018 (GB/2017/57). This ensures that council employees earning the least are able to work and make ends meet.

   We have retained the principles of fairness and financial responsibility to reflect the importance of having a remuneration framework that is equitable but considers prudent spending.

   - clarifying roles as follows:
     - Governing Body approves the policy.
     - The Director of People and Performance is the policy owner and responsible for the development and implementation of associated guidelines, operational policies and processes. The Director is also responsible for monitoring the need for further changes to the policy.
     - The Chief Executive and Executive Lead Team negotiate the final salary increase. This includes taking into account feedback from stakeholders and financial and economic indicators. Our principle of fairness is implemented to keep our salaries market relevant.
     - Only managers with appropriate Delegated Financial Authority can approve an out of cycle salary increase (provided it is within the band level and not greater than 10 per cent). Any exceptions must be approved by the Executive Lead Team. This is to ensure robust measures are in place to control staff expenditure.
     - The Principal Remuneration Advisor, People and Performance, is involved in the approval of exceptions and coordinates all senior evaluations by Strategic Pay. The involvement of the advisor enables a fair and equitable view across the council with regards to jobs and salaries.

Ngā whakaaweawe ā-rohe me ngā tirohanga a te poari ā-rohe / Local impacts and local board views
11. Approval of the Remuneration Policy sits with the Governing Body. Local boards have not been consulted.

Tauākī whakaaweawe Māori / Māori impact statement
12. The New Zealand Institute of Economic Research report to the Independent Māori Statutory Board on Improving the Lives of Māori (November 2016) states that Auckland Māori incomes are in general 20 per cent lower than the Auckland average.

13. The addition of social equity through a living wage is therefore likely to positively impact Māori.

Ngā ritenga ā-pūtea / Financial implications
14. Approval of the recommended changes to the Remuneration Policy will not have additional financial implications.
15. Financial implications for adopting the living wage were considered as part of the Annual Budget 2017/18 (refer to resolution number GB/2017/57).

Ngā raru tūpono / Risks
16. The policy reduces risk as it makes responsibilities and controls for remuneration clear.

Ngā koringa ā-muri / Next steps
17. The policy will be implemented and reviewed again in three years. It may be reviewed earlier if there are any significant changes that need to be made.

Ngā tāpirihanga / Attachments

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<tr>
<td>B</td>
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Ngā kaihaina / Signatories

<table>
<thead>
<tr>
<th>Author</th>
<th>Wendell DCunha, Remuneration Principal Advisor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authorisers</td>
<td>Patricia Reade - Director People and Performance</td>
</tr>
<tr>
<td></td>
<td>Phil Wilson - Governance Director</td>
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<td>Stephen Town - Chief Executive</td>
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</table>
Remuneration Policy

March 2018

Purpose

We want to make Auckland a world-class city and deliver value to all Aucklanders. We need to encourage a high-performance culture to achieve this vision and make council a great place for us all to work.

Ensuring our people feel valued and empowered is one of our key strategic goals because a great Auckland needs a great council. To achieve this, we will create and support a culture that identifies, encourages and rewards excellence, innovation and quality customer service.

The Remuneration Policy sets the framework for making decisions that relate to employee remuneration.

Scope

This policy applies to all employees, at Auckland Council.

Principles

These remuneration principles for Auckland Council ensure that our approach to remuneration, reward and recognition initiatives reflect:

1. Fairness

We ensure the methodologies we use are fair, transparent and enable a diverse and inclusive workforce to deliver to the best of their capabilities. This policy must be externally defensible based on best practice approaches to remuneration, using well proven systems and independent advice.

2. Financial responsibility

We manage remuneration in a financially responsible and measured way that balances the needs of Auckland and Aucklanders with our need to develop and attract talented individuals who will help deliver our vision.

3. Social equity through a living wage

We acknowledge that how we remunerate our people has an impact on their economic well-being and that meaningful increases will be a priority for employees in roles at the lower end of the pay scale. We aim to ensure that our remuneration helps our employees meet the basic necessities of life and participate as active citizens in society. A living wage will be calculated and monitored by Auckland Council.

4. Contribution

We track and monitor the differences in employee remuneration and validate that they are commensurate with their contribution to the organisation, in line with the external market.
Valuing our people

We acknowledge that remuneration is only one factor in rewarding and motivating employees. Therefore we offer flexible working where appropriate, wellbeing initiatives, an inclusive and diverse workplace where every employee is encouraged to bring their whole self to work, training and development as well as opportunities to progress their career within the Auckland Council. Our recognition programmes aim to acknowledge employees exhibiting our core behaviours and their significant contributions to achieving our strategy.

Job Evaluation and Salary Banding

We use the Strategic Pay proprietary job evaluation system SP10 which provides a methodology for the alignment of roles across Auckland Council taking into account both internal and external relativities, know-how, problem solving and accountabilities. We maintain a statistically significant sample of benchmark roles which has been fully evaluated. These roles form the core benchmark group from which other roles across the organisation can be evaluated using the Job Wise “slotting approach” to decide on salary band outcomes.

When necessary, Strategic Pay fully evaluates a role to ensure that the band allocated is the correct one. Senior roles in the organisation are fully evaluated by Strategic Pay.

Market Positioning and Remuneration Ranges

Auckland Council's remuneration market position is developed internally based on the independent market remuneration advice which is received (at least annually). This positioning takes into account the following:

1. The size of Auckland Council. Annual turnover of approximately $4.13 billion, assets of $43.4 billion and over 10,000 employees across the Auckland Council Group.
2. Auckland Council’s diverse organisational operations encompassing multiple sectors and commercial operations. Our remuneration ranges need to recognise the complexity, diversity and in some cases commerciality of Auckland Council which is not typical of many public sector organisations.
3. Auckland Council needs to balance financial responsibility with the ability to attract and retain quality employees. Every position is mapped to a salary band and each salary band is assigned a remuneration range of plus or minus 20% around the mid-point to take into account varying skills, experience and contribution.

Band medians and remuneration ranges are reviewed annually using independent market data. We benchmark against the Local Government at Total Remuneration and General Market median at Fixed Remuneration which excludes bonuses. Exceptions are only signed off where the market information provides enough evidence for using a premium.

Setting Remuneration On Appointment

The People and Performance division provides guidelines and market data for setting a salary at the time of appointment. Managers weigh up and balance the skills and experience of new employees to determine what point on the salary range continuum (minimum to maximum) the offer should be. Any offers above the maximum need special approval from the Executive Leadership Team and need to be evidenced with market data.

Out of Cycle Remuneration Changes

The People and Performance division also provides guidelines for managers on remuneration changes outside the annual review process and monitor any changes monthly. These out of cycle changes are initiated by employees’ managers and reviewed by the one up (manager’s manager) if they have the right delegations. The Principal Remuneration Advisor and Executive Leadership Team are involved in decisions that do not follow the guidelines. Out of cycle remuneration is only one part of the council’s reward and recognition framework.
## Roles and Responsibilities

| Governing Body | ▪ Approve the framework for remuneration, as set out in this policy  
▪ Approve the Annual Plan which includes the annual salary inflator |
|----------------|------------------------------------------------------------------|
| Chief Executive & Executive Leadership Team | ▪ Authorise of any increase or offer in remuneration over the maximum for a range and outside the guidelines of a 10% increase  
▪ Approve operational policies, banding methodology and delegated authorities for salary adjustments  
▪ Negotiate the final annual salary increase (based on financial and economic advice following consultation with appropriate stakeholders) |
| People & Performance Director | ▪ Policy owner  
▪ Develop, consult, and implement associated guidelines, operational policies, and processes (to be approved by the Chief Executive and Executive Leadership Team as appropriate)  
▪ Guide/approve system development to support policy/process  
▪ Administer any additional processes or policies required to support the implementation of this policy  
▪ Monitor the application of this policy and the need for any updates |
| Department Managers & managers with delegated authority to approve salary increases | ▪ Final approval of any out of cycle increases which are within the bands and are less than 10%  
▪ Ensure increases to remuneration are within allocated budgets |
| People managers | ▪ Recommend to their managers any offer or change in remuneration for employees within their span of control |
| People & Performance Division - Employment Relations, Recruitment and Talent, People Operations, Business Partners, Organisational Development | ▪ Provide support and guidance to people managers with relevant internal information where necessary |
| People & Performance Division - Principal Remuneration Advisor | ▪ Provide support and guidance in relation to the interpretation and application of the policy  
▪ Ensure remuneration systems are competitive, affordable and aligned with best market practice  
▪ Research and determination of remuneration ranges and allocation to salary bands based on market remuneration information  
▪ Job evaluation of all roles and associated salary bands  
▪ Approve increases above the maximum of the Band and greater than a 10% increase  
▪ Obtain evaluations for all senior roles from Strategic Pay to ensure they are compared at the right market levels |

## Related Legislation
- Local Government Act 2002 with amendments
- Employment Relations Act 2000
- Equal Pay Act 1972
- Privacy Act 1993
### Version Control

<table>
<thead>
<tr>
<th>Author:</th>
<th>Principal Remuneration Advisor</th>
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<tr>
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<td>People and Performance Director</td>
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<tr>
<td>Version no:</td>
<td>1.0</td>
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<td>Last review date:</td>
<td>February 2018</td>
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Remuneration Policy

March 2018

Purpose

Auckland Council is committed to ensuring that it attracts, retains and motivates our people to support the achievement of the Council’s strategic objectives, while providing development and career opportunities for employees. We want to make Auckland a world-class city and deliver value to all Aucklanders. We need to encourage a high-performance culture to achieve this vision and make council a great place for us all to work.

Ensuring our people feel valued and empowered is one of our key strategic goals because a great Auckland needs a great council. To achieve this, we will create and support a culture that identifies, encourages and rewards excellence, innovation and quality customer service. We will do this through a performance development and rewards framework that is directly related to role responsibilities, capability and performance, while providing internal equity and fairness, market relativity, manages total cost in a financially responsible way and considers social equity.

The Remuneration Policy sets the framework for making decisions that relate to employee remuneration.

Scope

This policy applies to all employees, at Auckland Council.

Principles

These remuneration principles for Auckland Council ensure that our approach to remuneration, reward and recognition initiatives reflect:

1. Internal equity and fairness, market relativity
   - To ensure an equitable and fair approach to job sizing of roles within Auckland Council, we use a proven job evaluation methodology.
   - Independent advice is an integral part of our remuneration policy which informs decisions regarding our market position and our internal remuneration ranges.
   - Careful consideration of our market positions is taken to ensure that we balance financial responsibility with the ability to attract and retain quality employees.
   - Annual remuneration reviews are based on individual performance, assessment against the wider labour market, the state of the economy and the organisations' ability to pay.

2. Financially responsible
   Our purpose is to make Auckland the world’s most liveable city and deliver Aucklanders great value for money. Auckland Council will manage remuneration in a financially responsible and measured way that balances the needs of our ratepayers, customers, citizens and visitors to Auckland with our employees’ aspirations for fair and competitive remuneration.

   This policy must be externally defensible based on best practice approaches to remuneration using well proven systems and independent advice.

3. Social equity
Remuneration Policy

We acknowledge that the contribution of all our employees is valued and that how we apply remuneration policy outcomes will have an impact on their economic wellbeing and that fair and reasonable increases are considered a priority for our employees in roles at the lower end of the pay scale.

We acknowledge that remuneration is only one factor in rewarding and motivating employees. Therefore we offer support, training and career progression opportunities for our employees to take responsibility to gain skills that will lift employee engagement, provide job satisfaction and personal growth as well as increase opportunities for those employees who wish to apply for higher paid roles across the Auckland Council Group.

1. Fairness

We ensure the methodologies we use are fair, transparent and enable a diverse and inclusive workforce to deliver to the best of their capabilities. This policy must be externally defensible based on best practice approaches to remuneration, using well proven systems and independent advice.

2. Financial responsibility

We manage remuneration in a financially responsible and measured way that balances the needs of Auckland and Aucklanders with our need to develop and attract talented individuals who will help deliver our vision.

3. Social equity through a living wage

We acknowledge that how we remunerate our people has an impact on their economic well-being and that meaningful increases will be a priority for employees in roles at the lower end of the pay scale. We aim to ensure that our remuneration helps our employees meet the basic necessities of life and participate as active citizens in society. A living wage will be calculated and monitored by Auckland Council.

4. Contribution

We track and monitor the differences in employee remuneration and validate that they are commensurate with their contribution to the organisation, in line with the external market.
Valuing our people

We acknowledge that remuneration is only one factor in rewarding and motivating employees. Therefore we offer flexible working where appropriate, wellbeing initiatives, an inclusive and diverse workplace where every employee is encouraged to bring their whole self to work, training and development as well as opportunities to progress their career within the Auckland Council. Our recognition programmes aim to acknowledge employees exhibiting our core behaviours and their significant contributions to achieving our strategy.

Job Evaluation and Salary Banding

Auckland Council uses We use the Strategic Pay proprietary job evaluation system SP10 which provides a methodology for the alignment of roles across Auckland Council taking into account both internal and external relativities, know-how, problem solving and accountabilities. Auckland Council We maintains a statistically significant sample of benchmark roles which has been fully evaluated using this system by a trained committee drawn from People & Capability, management and the PSA union. These roles form the core benchmark group from which other roles across the organisation can be evaluated using the Job Wise “slotting approach” to decide on salary band outcomes.

When necessary, Strategic Pay fully evaluates a role to ensure that the band allocated is the correct one. Senior roles in the organisation are fully evaluated by Strategic Pay.

The benchmark group is periodically reviewed to ensure it is a valid and representative sample of the organisation. When necessary, Strategic Pay fully evaluates a role to ensure that the band allocated is the correct one.

Market Positioning and Remuneration Ranges

Auckland Council’s remuneration market position is developed internally based on the independent market remuneration advice which is received (at least annually). This positioning takes into account the following:

1. The size of Auckland Council. Annual turnover of approximately $4,134 billion, assets of $43,434 billion and over 10,000 employees across the Auckland Council Group.
2. Auckland Council’s diverse organisational operations encompassing multiple sectors and commercial operations. Our remuneration ranges need to recognise the complexity, diversity and in some cases commerciality of Auckland Council which is not typical of many public sector organisations.
3. Auckland Council needs to balance financial responsibility with the ability to attract and retain quality employees. Every position is mapped to a salary band and each salary band is assigned a remuneration range of plus or minus 20% around the midpoint to take into account varying skills, experience and contribution.
4. Each salary band is assigned a remuneration range of plus or minus 20% around the median to take into account varying skills, experience and performance.
5. Band medians and remuneration ranges are reviewed annually using independent market data.

Band medians and remuneration ranges are reviewed annually using independent market data. We benchmark against the Local Government at Total Remuneration and General Market median at Fixed Remuneration which excludes bonuses. Exceptions are only signed off where the market information provides enough evidence for using a premium.
Setting Remuneration on Appointment

The People and Performance division provides guidelines and market data for setting a salary at the time of appointment. Auckland Council through the People and Capability function, provides the following for managers: guidelines, approve, and market data when setting a salary on appointment. Managers weigh up and balance the skills and experience of new employees to determine what point on the salary range continuum (minimum to maximum) the offer should be. Any offers above the maximum need special approval from the Executive Leadership Team and need to be evidenced with market data.

Out of Cycle Remuneration Changes

Auckland Council provides guidelines for managers for remuneration changes outside the annual review process. The People and Performance division also provides guidelines for managers on remuneration changes outside the annual review process and monitor any changes monthly. These out of cycle changes are initiated by employees’ managers and reviewed by the one up (manager’s manager) if they have the right delegations. The Principal Remuneration Advisor and Executive Leadership Team are involved in decisions that do not follow the guidelines. Out of cycle remuneration is only one part of the council’s reward and recognition framework.

Roles and Responsibilities

<table>
<thead>
<tr>
<th>Governing Body</th>
<th>Approve the framework for remuneration, as set out in this policy</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Approve the Annual Plan which includes the annual salary inflation figure for the annual remuneration review as part of the Annual Plan process.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Chief Executive &amp; Executive Leadership Team</th>
<th>Authorisation of any increase or offer in remuneration over the range maximum</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Approval of policy, banding methodology and delegations</td>
</tr>
<tr>
<td></td>
<td>Approval of the “annual salary inflation” based on financial and economic advice following consultation with appropriate stakeholders</td>
</tr>
<tr>
<td></td>
<td>Authorise any increase or offer in remuneration over the maximum for a range and outside the guidelines of a 10% increase</td>
</tr>
<tr>
<td></td>
<td>Approve operational policies, banding methodology and delegated authorities for salary adjustments</td>
</tr>
<tr>
<td></td>
<td>Negotiate the final annual salary increase (based on financial and economic advice following consultation with appropriate stakeholders)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>People &amp; Performance Director</th>
<th>Policy owner</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Develop, consult, and implement associated guidelines, operational policies, and processes (to be approved by the Chief Executive and Executive Leadership Team as appropriate)</td>
</tr>
<tr>
<td></td>
<td>Guide/approve system development to support policy/process</td>
</tr>
<tr>
<td></td>
<td>Administer any additional processes or policies required to support the implementation of this policy</td>
</tr>
<tr>
<td></td>
<td>Monitor the application of this policy and the need for any updates</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Department Managers &amp; managers with delegated authority to approve salary increases</th>
<th>Final approval of any out of cycle increase: final approval of any out of cycle increases which are within the bands and are less than 10%</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Ensure increases to remuneration are within allocated budgets</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Managers</th>
<th>Recommending any offer or change in remuneration for</th>
</tr>
</thead>
</table>
Governing Body
22 March 2018

Remuneration Policy

<table>
<thead>
<tr>
<th>managers</th>
<th>employees within their span of control—a one up principal will apply along with delegations to hire Recommend to their managers any offer or change in remuneration for employees within their span of control</th>
</tr>
</thead>
<tbody>
<tr>
<td>People &amp; Capability Team</td>
<td>Provide support and guidance for the Manager Provide support and guidance to people managers with relevant internal information where necessary</td>
</tr>
<tr>
<td>People &amp; Performance Division - Employment Relations, Recruitment and Talent, People Operations, Business Partners, Organisational Development</td>
<td>Provide support and guidance in relation to this policy and its application the interpretation and application of the policy Ensure remuneration systems are competitive, affordable and aligned with best market practice Research and determination of remuneration ranges and allocation to salary bands based on market remuneration information Job evaluation of all roles and associated salary bands Approve increases above the maximum of the Band and greater than a 10% increase Obtain evaluations for all senior roles from Strategic Pay to ensure they are compared at the right market levels</td>
</tr>
<tr>
<td>Manager Remuneration People &amp; Performance Division - Principal Remuneration Advisor</td>
<td>— Develop, consult, seek approval of, and implement guidelines, policy and aligned processes for the remuneration policy — Guide/approve system development to support policy/process — Administer requirements of guidelines/policy/process relating to remuneration guidelines/policy — Monitoring and updating of this policy</td>
</tr>
</tbody>
</table>

Policy owner/s: People and Capability Director

Related Legislation
- Local Government Act 2002 with amendments
- Employment Relations Act 2000
- Equal Pay Act 1972
- Privacy Act 1993

Version Control

<table>
<thead>
<tr>
<th>Owner</th>
<th>Remuneration Manager</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authorised by:</td>
<td>People and Capability Director</td>
</tr>
<tr>
<td>Version no:</td>
<td>1.0</td>
</tr>
<tr>
<td>Last review date:</td>
<td>July 2014</td>
</tr>
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</table>

<table>
<thead>
<tr>
<th>Author</th>
<th>Principal Remuneration Advisor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authorised by:</td>
<td>People and Performance Director</td>
</tr>
<tr>
<td>Version no:</td>
<td>1.0</td>
</tr>
<tr>
<td>Last review date:</td>
<td>February 2018</td>
</tr>
</tbody>
</table>
Initial response of Auckland Transport to recommendations of the Governance Framework Review

File No.: CP2018/02100

Te take mō te pūrongo / Purpose of the report
1. To report back on Auckland Transport’s response to the recommendations of the Governance Framework Review in relation to Auckland Transport’s engagement with local boards. This report back was directed by the Governing Body in September 2017 (GB/2017/117 refers).

Whakarāpopototanga matua / Executive summary
2. The Governance Framework Review began in 2016 to assess whether the Auckland Council governance model was working optimally to meet the aims of the Auckland governance reforms. In September 2017 the Governing Body considered the recommendations of a political working party established to assess the Governance Framework Review conclusions.
3. The Governing Body passed a number of resolutions in relation to the role of Auckland Transport and local boards in place-shaping. The Governing Body directed Auckland Transport to provide a formal response back to the Governing Body on these resolutions.
4. At its 5 February 2018 meeting, the Auckland Transport board endorsed an initial range of responses to the Governing Body directives. At that meeting, Auckland Transport noted the resolutions and confirmed a range of actions in response.
5. Some of the actions were confirmed for immediate implementation. These include endorsing the role of local boards in place-shaping and taking steps to ensure local board involvement in projects in their areas.
6. Other actions will be implemented from now until June 2018. These include working with local boards on prioritising projects within their areas and producing an annual engagement plan and work programme with each local board.
7. This report outlines those responses, which staff consider to be a good initial step towards improvement engagement with local boards. The report recommends that Auckland Transport and council staff report back with further information in September 2018, alongside fourth quarter reporting to the Finance and Performance Committee.

Ngā tūtohunga / Recommendation/s
That the Governing Body:

a) endorse Auckland Transport’s initial response to the Governance Framework Review resolutions of the Governing Body on 28 September 2017 (GB/2017/117, resolutions j) to s)), in respect of Auckland Transport’s engagement with local boards in relation to place-shaping

b) request that Auckland Transport report back on further progress on responding to the Governance Framework Review resolutions, as part of its fourth quarter report in September 2018, and thereafter annually as part of fourth quarter reporting

c) direct Auckland Council staff to report back annually alongside fourth quarter reports on Auckland Transport’s compliance with the Governance Manual for substantive CCOs’ requirements for engagement with local boards and with the Governance Framework Review resolutions.
Horopaki / Context

8. The Governance Framework Review was begun in 2016 to review policies, processes, protocols and organisational support structures set up since amalgamation in 2010, and whether those structures were enabling the Auckland Council governance model to work optimally to meet the aims of the governance reforms.

9. In December 2016 the Governing Body received the Governance Framework Review final report and established a political working party to further consider and work through the recommendations from the report.

10. In September 2017 the Governing Body considered the recommendations of the political working party. These included a specific set of recommendations related to the role of Auckland Transport and local boards in place-shaping and directed Auckland Transport to provide a formal response back to the Governing Body on the directives relating to its role.

11. At its 5 February 2018 meeting, the Auckland Transport Board endorsed an initial range of responses to the Governing Body directives. This report outlines those responses and meets the report-back requirement directed in September 2017.

Tātaritanga me ngā tohutohu / Analysis and advice

Responses of Auckland Transport

12. The Governing Body resolutions requiring a response from the 28 September 2017 meeting, and the initial responses of Auckland Transport are set out in the table below. The italicised words are directly from the Auckland Transport Board paper from 5 February 2018.

<table>
<thead>
<tr>
<th>Resolution</th>
<th>Auckland Transport/ Auckland Council response/action</th>
<th>Implementation by</th>
</tr>
</thead>
<tbody>
<tr>
<td>(j) Endorse local boards’ critical role in local place shaping and Auckland Transport’s need to be guided by, and responsive to, local boards to enable them to give effect to this role</td>
<td>Ensure that all projects initiated by Auckland Transport consult with the relevant local board at the project concept formulation stage, to ensure local knowledge and local place-making aspirations are factored into project design.</td>
<td>Immediate</td>
</tr>
<tr>
<td>(k) Direct Auckland Transport to meet all requirements for local board engagement as set out in the Governance Manual for substantive council-controlled organisations</td>
<td>Produce an engagement plan and annual work programme for each local board and workshop this with them in June each year.</td>
<td>June 2018</td>
</tr>
<tr>
<td>(l) Request that Auckland Council staff monitor Auckland Transport's compliance with the requirements for local board engagement, as set out in the Governance Manual for substantive council-controlled organisations, and to report back to the Governing Body at least annually</td>
<td>Auckland Council staff propose to report on compliance at the same time fourth quarter reports are assessed at Finance and Performance Committee each year (September).</td>
<td>Annually in September, beginning September 2018</td>
</tr>
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</table>
## Item 11

<table>
<thead>
<tr>
<th>Resolution</th>
<th>Auckland Transport/ Auckland Council response/action</th>
<th>Implementation by</th>
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</thead>
<tbody>
<tr>
<td>(m)</td>
<td>Direct Auckland Transport, in working with local boards, to:</td>
<td>Immediate</td>
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<tr>
<td></td>
<td>i) ensure that local boards have a strong governance role in determining the 'look and feel' of town centres and streetscapes, in line with their allocation of non-regulatory decision-making</td>
<td>Ensure that all projects initiated by Auckland Transport consult with the relevant local board at the project concept formulation stage, to ensure local knowledge and local placemaking aspirations are factored into project design.</td>
</tr>
<tr>
<td></td>
<td>ii) improve co-ordination between local place-shaping projects, such as town centre upgrades, and its renewals programmes</td>
<td>Ensure that Auckland Transport works with local boards to deliver on place-making initiatives such as town centre upgrades by coordinating renewals due in these areas with the upgrade works.</td>
</tr>
<tr>
<td></td>
<td>iii) provide more opportunities for local board direction on the prioritisation of minor traffic safety projects, with the exception of those which Auckland Transport considers are of critical safety importance</td>
<td>Seek recommendations from local boards as to which non-critical minor traffic safety projects could be prioritised in their areas.</td>
</tr>
<tr>
<td></td>
<td>iv) be more responsive to local place-shaping initiatives in non-transport parts of the road corridor, including reducing or removing barriers to community place-making initiatives</td>
<td>Endeavour to assist local boards in utilising appropriate areas of non-carriageway road reserve as community spaces by minimising costs associated with the use of these spaces (e.g. event facilitation, community gardens, parklets, etc).</td>
</tr>
<tr>
<td></td>
<td>v) take direction from local boards on how and where to implement community-focused programmes</td>
<td>Take direction from local boards as to which community focused programmes Auckland Transport should offer in particular local board areas (eg. 'kids learn 2 ride', bike maintenance, Travelwise Schools initiatives, etc).</td>
</tr>
<tr>
<td></td>
<td>vi) provide a local work programme for each local board as soon as practicable each financial year</td>
<td>Produce an engagement plan and annual work programme for each local board and workshop this with them in June each year.</td>
</tr>
<tr>
<td>Resolution</td>
<td>Auckland Transport/ Auckland Council response/action</td>
<td>Implementation by</td>
</tr>
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<td>-------------------</td>
</tr>
<tr>
<td>(n)</td>
<td>Auckland Transport will report as part of the fourth quarter report to council each year.</td>
<td>Annually in September, beginning September 2018</td>
</tr>
<tr>
<td>(o)</td>
<td>Auckland Council staff are ensuring this is included in the s92(2) workstream, which is part of the wider CCO Accountability Review work programme.</td>
<td>June 2018</td>
</tr>
<tr>
<td>(p)</td>
<td>Council and Auckland Transport staff have undertaken workshops with all local boards on options for increasing the fund and its underlying distribution methodology. They have also discussed how Auckland Transport can better support boards to develop and assess projects to be funded. Boards will be providing formal feedback at their April business meetings, which will inform final advice to the Governing Body during the 2018-2028 Long-term Plan process in May.</td>
<td>Immediate, ongoing at present</td>
</tr>
<tr>
<td>(q)</td>
<td>Council and Auckland Transport staff have undertaken workshops with all local boards on options for increasing the fund and its underlying distribution methodology. They have also discussed how Auckland Transport can better support boards to develop and assess projects to be funded. Boards will be providing formal feedback at their April business meetings, which will inform final advice to the governing body during the LTP process in May.</td>
<td>Immediate, ongoing at present</td>
</tr>
</tbody>
</table>
### Resolution

| (r) | direct Auckland Transport to actively engage with governing body members (ward councillors) on transport projects and issues within their ward areas |
|-----------------------------------------------|
| Auckland Transport/ Auckland Council response/action | Ensure councillors and local boards are kept fully and accurately informed about Auckland Transport activities in their areas, through pro-active communication and a variety of channels (e.g. briefings, workshops, newsletters, project updates). |
| Implementation by | Immediate |

| (s) | direct Auckland Transport to provide a formal response on the directives contained within these approved responses to the Governance Framework Review within three months |
|-----------------------------------------------|
| Auckland Transport’s initial response was considered on 5 February 2018, which was the first available opportunity for the Auckland Transport Board to consider these issues. |
| Implementation by | February 2018 Board report; March 2018 reported to committee (this report) |

### Commentary

13. The focus of the resolutions is on achieving long-term improvements in engagement with local boards, and Auckland Transport’s responses are a good initial step to respond to the recommendations arising from the Governance Framework Review. The Auckland Transport Board has fully endorsed the recommendations, and the next step is for the Auckland Transport organisation to begin the proposed actions.

14. In the time available, it would not have been possible for Auckland Transport to advance its response further, as the resolutions relate to developing engagement plans and work programmes with local boards, improving ongoing engagement, and prioritising proposals in the recently adopted local board plans. These actions will take time to implement.

15. Staff anticipate that Auckland Transport will provide a further update on progress when fourth quarter reports are assessed by Finance and Performance Committee on 19 September 2018. In particular, councillors will receive reports from Auckland Transport and council about the following matters:

- confirmation that a local board engagement plan exists for all local boards, a work programme is in place for each local board, and that a workshop took place with each local board
- examples of significant engagements with local boards on specific projects
- confirmation from Auckland Council staff (specifically including those from Local Board Services and CCO Governance teams) that requirements of the Governance Manual for substantive CCOs have been met, with commentary provided about responsiveness of Auckland Transport to local boards.

### Ngā whakaaweawe ā-rohe me ngā tirohanga a te poari ā-rohe / Local impacts and local board views

16. Particular local boards have not been consulted on this issue. However, the Local Board Services department of Auckland Council has reviewed Auckland Transport’s initial response to the Government Framework Review resolutions and its views are reflected in this report.
Tauākī whakaaweawe Māori / Māori impact statement

17. The 2016 Governance Framework Review did not specifically consider the governance or representation of Māori in Auckland. The relationship between the two political governance arms of Auckland Council and the Independent Māori Statutory Board was also out of scope.

18. Therefore, impact for Māori through this process will be achieved where specific local board priorities affect Māori interests.

Ngā ritenga ā-pūtea / Financial implications

19. There are no financial implications. The increased engagement required from Auckland Transport with local boards is being met from existing budgets.

Ngā raru tūpono / Risks

20.

<table>
<thead>
<tr>
<th>Risk</th>
<th>Mitigation</th>
</tr>
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<tbody>
<tr>
<td>The possibility that Auckland Transport will not be able to meet the expectations of the Governance Framework Review recommendations</td>
<td>Monitoring by the CCO Governance team and Local Board Services to ensure that improvements in local board engagement are occurring</td>
</tr>
</tbody>
</table>

Ngā koringa ā-muri / Next steps

21. Auckland Transport will continue to implement the actions for immediate action. A report back on progress will be included as part of fourth quarter reporting in September 2018.

Ngā tāpirihanga / Attachments

There are no attachments for this report.

Ngā kaihaina / Signatories

<table>
<thead>
<tr>
<th>Author</th>
<th>Edward Siddle - Principal Advisor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authorisers</td>
<td>Alastair Cameron - Manager - CCO Governance &amp; External Partnerships</td>
</tr>
<tr>
<td></td>
<td>Phil Wilson - Governance Director</td>
</tr>
<tr>
<td></td>
<td>Stephen Town - Chief Executive</td>
</tr>
</tbody>
</table>
Te take mō te pūrongo / Purpose of the report
1. To brief the Governing Body on the update of staff policy covering sensitive expenditure. This is part of a wider programme that also covers other areas such as privacy and health and safety, that are not covered in this committee report; and
2. To seek the endorsement of an Auckland Council group money and assets/sensitive expenditure principles and standards group policy.

Whakarāpopototanga matua / Executive summary
3. The council has completed a review of its staff behavioral policies. It has led to a new cohesive, consolidated, principle-based approach. It is referred to as the Do the Right Thing project (Our Charter).
4. The framework and the six supporting foundation policy principles are shown in the attached diagram (Attachment A). These will be supported by more detailed guides and process documentation.
5. It is expected that the high-level principles and associated group standards will apply across the council group. This is in accordance with the Mayoral Letter of Expectations from December 2017 and the Council Controlled Organisation Accountability Policy of February 2018 [GB/218/23 refers].
6. The process to develop group-wide policy and standards concerning money and assets and sensitive expenditure is now complete. Further discussions with the CCOs on the remaining five areas will be completed in the next few months.
7. In accordance with the Governing Body resolution concerning group policies [GB/217/43 refers], the attached group policy (principles and standards) is recommended for endorsement (Attachment B). All the substantive CCOs have agreed in principle to the attached group policy.
8. Policies for elected members and CCO board members, operational matters and external facing policies are outside scope and are not affected by Our Charter.

Ngā tūtohunga / Recommendation/s
That the Governing Body:

a) note the Auckland Council initiative to develop Our Charter for council staff and a group approach to behavioural policies

b) endorse the Auckland Council Group money and assets/sensitive expenditure policy (principles and standards).

Horopaki / Context
Background to the development of Our Charter
9. The council has over 200 staff corporate policies relating to a wide range of behaviours. These include sensitive expenditure, health and safety, to privacy.

10. Council policies are developed and owned by individual divisions. The CCOs each have their own suite of policies. There is currently no council family approach to corporate policies.

11. The policies are lengthy documents that combine strategy, policy, rules, procedure and guidance. These can be complex and do not maximize our ability to consistently make good decisions and judgements.
12. Our current policies have largely been drafted to cover scenarios and provide 'rules'. Our experience is that this has proven sub-optimal. The prescriptive rules-based approach does not empower our people and can limit good judgement.

Tātaritanga me ngā tohutohu / Analysis and advice

13. The scope of the project was intentionally comprehensive to enable a consolidated, simplified and fit for purpose framework. It included the policies that apply to all staff (excluding elected members and CCO board members) that set the expectations for behaviours. Policy areas include money and assets (including sensitive expenditure), health, safety and wellbeing, information and security, Te Tiriti o Waitangi, employee experience, customer service and general staff conduct.

14. Policies for elected members (e.g. elected member expense policy), CCO board policies, external facing policies, operational policy and requirements set by law are outside the scope of the project.

15. On 27 April 2017, Governing Body resolved to have the council and CCOs agree a group wide policy on sensitive expenditure. This work has been included as part of the comprehensive review and is presented to the Governing Body for endorsement.

16. Further background information is summarised in Attachment C.

Group policy for money and assets/ sensitive expenditure

17. The group standard provides guidance for staff across the entire group. The principles support probity and financial prudence. They enable good judgement and provide clarity about council’s standards of behaviour.

18. The attached standard applies to all council group staff (Attachment B).

19. The group standard covers the following topics:
   a) fraud, dishonesty or illegal behavior
   b) conflicts of interest
   c) gifts, entertainment and hospitality
   d) travel and accommodation
   e) purchase cards (P-cards)
   f) purchase orders
   g) spending money.

20. The high-level standards and principles will be supported by detailed guides and process documentation for staff and people leaders. It will also be provided at induction, training and other embedding activities for staff.

Development Process

21. The group sensitive expenditure policy has been developed following the good practice guides of the Auditor General. It aligns with the Controller and Auditor General Guidelines for controlling sensitive expenditure for public entities 2007. It adopts the recommended principles based approach while setting clear expectations for staff to enable good judgement and decision-making.

22. The development has been a collaborative effort involving CCO representatives, current policy owners from within council group, leadership, unions and staff to ensure it is fit for purpose and will enable the desired behaviors and culture. A working group made up of representatives and experts from all the CCOs and council engaged over four months to develop the policy standards and principles.
23. The development of the proposal has also involved a benchmarking and analysis of existing council group policies against central government, including the IRD, Ministry of Social Development and NZ Police, and other local authorities. These organisations have also adopted a principle-based approach with comparable frameworks and rules.

24. The CCOs will develop and maintain tailored guidance in accordance with the overarching group standards and principles. Council is also developing detailed guidance contained in guides and processes. These will be shared across the group.

25. The principles and standards have been considered by the CCOs and boards and they have agreed in principle to the group policy approach (Attachment B).

Ngā whakaaweawe ā-rohe me ngā tirohanga a te poari ā-rohe / Local impacts and local board views

26. Local boards views have not been sought in relation to Our Charter.

Tauākī whakaaweawe Māori / Māori impact statement

27. The Our Charter design and development process has involved representatives and specialist advisors from Te Waka Angamua.

28. The council’s commitments to and obligations to Māori and Māori responsiveness have been recognised as a critical part of achieving the goal to have great people who have confidence and competence to do the right thing for Aucklanders. Our Charter will support and work with council’s Whiria Te Muka Tangata/ Māori Responsiveness Framework and other initiatives.

29. Members of the Independent Māori Statutory Board staff have been briefed about the project and the content of Our Charter and feedback has been sought on the content, guidance and embedding plan under development.

30. Our Charter is being translated and will be available on-line and hard copy in Te Reo for all staff.

Ngā ritenga ā-pūtea / Financial implications

31. There are no direct financial implications arising from the recommendations.

32. Budget allocation has been approved for a small project team to develop and implement the Do the Right Thing Project. The majority of project costs have been completed within existing budgets.

Ngā raru tūpono / Risks

33. This review has been driven by the need to reduce existing risks. The group policy and Our Charter provides important mitigations and enduring controls to address compliance, reputational, people and financial risks.

34. Governance arrangements are being developed that include the establishment of group-wide steering group. The role of the steering group will be to oversee the ongoing monitoring; reporting, refinement and embedding of Our Charter and to ensure the CCOs and council consistently apply and align with the group principles and standards.

Ngā koringa ā-muri / Next steps

35. Subject to the decisions of the Governing Body, the group principles and standards for money and assets/sensitive expenditure, Our Charter will be ready for launch on 4 April 2018.

36. The CCOs will commence the roll out and embedding required for their respective organisations, linking it into their planned and inflight programmes.
37. Further detailed discussions on the remaining five Our Charter principle areas will commence through the working group in April 2018 with the goal of agreeing the principles and developing standards where necessary as soon as possible.

Ngā tāpirihanga / Attachments

<table>
<thead>
<tr>
<th>No.</th>
<th>Title</th>
<th>Page</th>
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</thead>
<tbody>
<tr>
<td>A</td>
<td>Our Charter Framework</td>
<td>33</td>
</tr>
<tr>
<td>B</td>
<td>Group money and assets/ sensitive expenditure principles and standards (group policy)</td>
<td>35</td>
</tr>
<tr>
<td>C</td>
<td>Overview of the Do the Right Thing (Our Charter) project</td>
<td>41</td>
</tr>
</tbody>
</table>

Ngā kaihaina / Signatories

Authors

- Cecilia Tse - Head of Risk
- Emma Mosely - Strategic Advisor Risk and Compliance

Authorisers

- Cecilia Tse - Head of Risk
- James Hassall - General Counsel
- Phil Wilson - Governance Director
- Stephen Town - Chief Executive
Council group

Money and assets / sensitive expenditure
Foundation principles

We look after our money and assets

We’re stewards of Auckland’s assets and we use all money and resources in a way that delivers the best value for money and builds trust with the public.

We’re open and transparent in the way we operate and make decisions, and we act with integrity and in accordance with the law at all times.

1. We take care of council group property and assets.
2. We are prudent and choose the best value for money when making spending choices.
3. We only give or accept gifts and hospitality when there is a justifiable business purpose.
4. We only undertake travel and purchase accommodation when it is necessary and there is a justifiable business purpose.
5. We declare and manage all actual and perceived conflicts of interest.

Behavioural expectations and bottom lines

Bottom line: We have zero tolerance for fraud, dishonesty or illegal behaviour. All instances will be investigated, acted on and may be referred to the police.

All council group spending must have a justifiable business purpose, be prudent, provide value for money, and be in line with all delegations and processes.

We each have responsibility to check guidelines and processes, and gain the relevant approvals before committing to any spend.

The council group’s money, resources and assets belong to Aucklanders, so the ways we use them are open to scrutiny. The council group has zero tolerance for dishonesty, fraud or corruption and we have shared responsibility to prevent and report any incident of fraud, dishonesty or illegal behaviour. We take care of the public’s money, and everything we do is transparent and can be disclosed to the public.
What does this mean?

1. **We take care of council group property and assets**
   - We take care of council group devices issued or made available to us, and we take responsibility for protecting them from damage or theft at all times.
   - We don’t allow others to access and/or use council group property, such as cash desks or computing devices, unless authorised approval has been provided.

2. **We’re prudent and choose best value for money when making spending choices**
   - We consider the financial impact of all decisions and we make conservative spending choices.
   - We follow all procurement and purchasing guidelines and procedures and we know that trying to bypass these processes is not allowed.
   - We don’t spend council group money (including catering and other discretionary spending) unless there is a clear business benefit, the costs are reasonable and we have the approval of the budget holder first.
   - We act within our delegated financial authority at all times.
   - We don’t use a council group P-card for personal use.

3. **We only give or receive gifts and hospitality when there’s a justifiable business purpose**
   - We declare all gifts or hospitality offered (whether accepted or not) to our people leader and on the appropriate register.
   - We don’t accept gifts or hospitality where acceptance will create either a real or perceived conflict of interest.
   - We don’t give or accept cash gifts, or cash equivalents such as gift vouchers or gift cards.

4. **We only undertake travel and purchase accommodation when it’s necessary and there’s a justifiable business purpose**
   - We consider the cost and environmental impact when we make travel choices, and we use the lowest cost option or alternatives such as Skype, video or teleconferencing, and walking or public transport where possible.
   - We only seek reimbursement for travel-related costs or purchases where there is a genuine business purpose for the expense and our people leader approves it.

5. **We declare and manage all actual and perceived conflicts of interest**
   - We disclose all conflicts of interests we have, and avoid situations where our personal relationships could influence a council group decision or make others question whether we’re acting fairly.
   - We think about how situations could be perceived by others, even if there is no actual conflict of interest.
Group standard for money and assets/sensitive expenditure

As a publicly funded organisation, we need to be careful about how we spend money. The group foundation principles and standards in this document address the spending and receiving of money and include sensitive expenditure principles and non-negotiable rules.

These principles and standards are critical controls to support probity and financial prudence. They enable good judgement and make it clear to all staff across the council group what is and is not acceptable, and the non-negotiable behaviours expected to look after money and assets.

The group foundation principles and standards have been developed in accordance with the Controller and Auditor General, Controlling sensitive expenditure: Guidelines for public entities 2007.

Auckland Council and council-controlled organisations (CCOs) will develop their own guidelines and procedures to provide more detailed information that is tailored to meet the individual needs of each business. CCOs may also have detailed documents called “policies” addressing some of these areas and which are consistent with the group principles and standards.

Who this standard applies to

This standard sets minimum requirements that apply to everyone who is working for the council group.

This standard does not apply to third parties or people engaged by the council group through a procurement contract where the terms of the contract negotiated differ from this standard for justifiable reasons.

This standard should be read together with the Council Group Procurement Policy.

Non-compliance

We actively monitor compliance with this standard. It is expected that all people who work for the council group will comply with this standard, and disciplinary action may be taken against any person if the standard is breached.
Conflicts of Interest
1. All decisions and actions made on behalf of the Auckland Council group must follow fair and consistent procedures and should deliver the best outcome for Auckland. Decisions must be free from bias or a predetermined outcome.
2. Conflicts of interest (actual, potential or perceived) must be informed to your manager immediately. If you are unsure, declare it.
3. All declared conflicts of interest will be held on a central register.

Gifts, entertainment and hospitality
4. Gifts, entertainment or hospitality may be accepted on occasion but only where there is a justifiable business purpose to do so, and you have the approval of your people leader. They must be declared.
5. Gifts, entertainment or hospitality that are low value business courtesy items (e.g., coffee, muffins) may be accepted without the approval of your people leader, and do not need to be declared.
6. Tickets offered by a third party external to the council group must be treated as gifts.
7. No gifts or hospitality of any kind are to be accepted from the procurement or applicant during regulatory, procurement or tendering processes.
8. Complimentary passes/tickets to events hosted by the council group are permissible, but the distribution process must be open and transparent and the details recorded.

Travel and accommodation
9. Travel may only be undertaken when necessary, and when all other options (e.g., video conference) have been considered and ruled out.
10. The most cost effective option must be selected.
11. All international travel must be supported by the [ELT/SLT] member and submitted for approval by the Chief Executive before any travel arrangements are booked.
12. All domestic travel to destinations outside of the Auckland Region must be approved by a [tier 2] people leader or above.
13. Everyone must travel economy for travel of less than eight hours’ duration.
14. For international travel of more than eight hours, people have two options:
   • Fly an economy class fare (e.g. Premium Economy) and travel a day earlier and stay overnight; or
   • Apply to the Chief Executive to travel business class if the person must work immediately.

15. No person may travel first class.

Purchase cards (P-cards)
16. Purchase cards are only for small business purchases where alternative payment methods are not appropriate. They should not be used where a preferred purchasing arrangement is in place (for example for catering or stationery).

Purchase orders
17. Stand-alone purchase orders should only be used for purchases where the purchases do not require a contract and the standard purchase order terms and conditions can be used – preferably with an existing supplier. The value of the purchase order requiring a contract will be determined by each organisation (Auckland Council or CCO) taking into account the relevant process controls in place.

18. The use of multiple purchase orders to cover higher expenses is not acceptable.

Spending money
19. Any expense or cost related to travel, employee reimbursement or P-Card spend that is considered excessive, or not for a genuine business purpose, and is made without the appropriate approvals, must be reimbursed to the council group by the employee responsible.

20. All suppliers are to be paid electronically by the most appropriate and cost effective method to maintain security and audit integrity.

21. No new engagements are to compromise existing contracts with existing suppliers where they are preferred to deliver the goods and services in question, unless the tender process is favoured by the advice of Procurement and other relevant stakeholders.
## Definitions

| Principle | A principle is a high level expectation that supports and guides an employee to use their judgement to make decisions and act in accordance with the expected behaviours. |
| Bottom lines | The non-negotiable rules that set the boundary for acceptable conduct. |
| Standard | The minimum expected behaviours, including required outcomes or rules for a particular topic or area. |
| Guide | A guide (or guidelines) provides staff with information and advice about how to implement or apply the principle to specific situations and may include criteria to apply, things to consider, information, examples. Employees are recommended to follow guides to achieve appropriate outcomes. |
| Process | The process or procedure for undertaking the action, such as how to apply for approval to travel. Procedures will be set by the council and CCOs to meet the needs of their own individual business. |
| Sensitive expenditure | Has the same meaning as in the Controller and Auditor General, Controlling Sensitive Expenditure Guidelines for Public Entities 2007 being: expenditure by a public entity that could be seen as giving some private benefit to an individual staff member that is additional to the business benefit to the entity. Travel, accommodation and hospitality spending are examples. It also includes expenditure by a public entity that could be considered unusual for the entity’s purpose and/or functions. |
| Justifiable business purpose | Council and each CCO will develop their own guidelines concerning the application of this term in their business. A “justifiable business purpose” anticipates that the activity or expenditure is required for a business objective or outcomes to be achieved and will result in a benefit to the council group. |
| Conflict of Interest | A conflict of interest can occur when your personal situation or relationships interfere or influence with your role at the council group. For example, when you are making hiring decisions about family members or friends, or you have a relationship with a company that is a supplier to the council group, or you are a member of a community group that is seeking council group funding. A perceived conflict of interest is when others may see your situation as being in conflict, even when there is not an actual conflict of interest. |
Overview of project objectives, deliverables and benefits

Objectives and deliverables

1. The key objectives and deliverables from the Do The Right Thing project have been to:
   
   (a) simplify the policy framework and messaging for all staff
   (b) require accountability from staff and people leaders
   (c) rationalise and consolidate all corporate policies, review and improve the underlying principles and hard lines/standards and test these with leaders and staff (200 policies simplified and structured into Our Charter and 50 guides)
   (d) clarify the options staff have to speak up and encourage and enable them to do so
   (e) provide necessary guidance, standards, processes, procedures and systems where more direction is called for and link these to the principles and expected behaviours
   (f) deliver one central place for all behavioural policies to enable easy access. Copies of all documents will also be available to those staff without computers.
   (g) create a common set of principles across the wider council family to drive consistency in staff behaviours and set common, clear expectations and guiderails for conduct and behaviours.

Benefits

2. Some examples of the benefits from the proposed changes are:
   
   (a) improved awareness and understanding of what is expected by staff, contractors and people leaders and improved clarity and embedding of expected behaviours.
   (b) more effective mitigation of key risks, resulting in an overall improvement of residual risks in the following areas – reputational, financial compliance and people risks
   (c) reduction in breaches and near misses and behavioural issues requiring escalation, privacy and LGOIMA, Health and Safety, legal and people and capability support.
   (d) reduced incidence of Ombudsman and Privacy Commission complaints being upheld
   (e) improvement alignment with Our Strategy and Our Behaviours.
   (f) establish a group approach for behavioural policies to provide consistency and drive efficiency.
2018 Local Government New Zealand Conference and Annual General Meeting

File No.: CP2018/01030

Te take mō te pūrongo / Purpose of the report
1. To approve members to attend the Local Government New Zealand (LGNZ) conference taking place from Sunday 15 July 2018 to Tuesday 17 July 2018 and appoint delegates to the Annual General Meeting (AGM) on Sunday 15 July 2018.

Whakarāpopototanga matua / Executive summary
2. The 2018 LGNZ conference is at Christ’s College in Christchurch.
3. Each local board will be invited to approve attendance of one member at the conference.
4. The Governing Body can select up to five Governing Body members to attend the conference.
5. Auckland Council is entitled to four delegates at the AGM. Staff recommend that Mayor Phil Goff be the presiding delegate and the other three delegates be comprised of either:
   a) two members of the Governing Body who hold a formal representation role with LGNZ and the chief executive; or
   b) one member of the Governing Body who holds a formal representation role with LGNZ and the chief executive, and a local board member.
6. The Conference programme is in attachment A.

Ngā tūtohunga / Recommendation/s
That the Governing Body:

a) appoint the Mayor as the Auckland Council presiding delegate to the Local Government New Zealand Annual General Meeting.

b) appoint another three delegates to the Local Government New Zealand Annual General Meeting, one of which may be a local board member.

c) invite local boards, through the chairs, to choose a delegate to the Local Government New Zealand Annual General Meeting.

d) approve attendance at the Local Government New Zealand conference of the Mayor and the Governing Body delegates appointed in recommendation b), and another Governing Body member up to a total of five attendees.

e) delegate to the Mayor, in the event he cannot attend the Local Government New Zealand Annual General Meeting at short notice, the ability to appoint another Governing Body member to the role of presiding delegate.

f) delegate to the Mayor, in the event an appointed member cannot attend the Local Government New Zealand Annual General Meeting or conference at short notice, the ability to approve the attendance of another member.

g) agree that when exercising the Auckland Council’s vote at the Local Government New Zealand Annual General Meeting, the delegates have the discretion to determine the Auckland Council’s position on any matter on which the Auckland Council’s position is not otherwise known.
h) delegate to the Mayor the ability to act on the Auckland Council’s behalf in nominating or seconding any candidate for president or vice-president of Local Government New Zealand.

i) note that local board members can attend the Local Government New Zealand Annual General Meeting in an advisory capacity provided their names are included on the Annual General Meeting registration form, which will be signed by the Mayor.

j) note that local board members are offered the opportunity to attend the Local Government New Zealand conference, using their professional development budget.

Horopaki / Context

7. This year the LGNZ conference and AGM will be held at the Christ’s College, Christchurch, from Sunday 15 July to Tuesday 17 July 2018. The AGM will commence at 12.00pm on Sunday 15 July 2018 with the conference programme commencing at 4.15pm on Sunday 15 July 2018 and concluding at 1.00pm on Tuesday 17 July 2018.

8. The conference programme has the theme “We are firmly focused on the future: Future-proofing for a prosperous and vibrant New Zealand”. The full programme is attached as Attachment A.

Tātaritanga me ngā tohutohu / Analysis and advice

Who should represent Auckland Council at the Annual General Meeting?

9. The LGNZ constitution permits the Auckland Council to appoint four delegates to represent it at the AGM, with one of the delegates being appointed as presiding delegate. Voting is required for the election of president and vice-president of LGNZ, and for any remits put the meeting. Auckland Council has six votes for the first $100,000 of its subscription, plus an additional vote for every $20,000 in excess of $100,000. Auckland Council’s subscription for 2017/2018 is $326,225 (GST inclusive), meaning the council has a total of 17 votes.

10. Proposed remits will be circulated beforehand. However, in case a situation arises where Auckland Council is required to vote and the council has not previously resolved a position, we recommend the Governing Body make it clear that the delegates at the AGM have the power to present the council’s position as best as they are able.

11. Elected members who hold LGNZ roles are:

<table>
<thead>
<tr>
<th>Role</th>
<th>Position</th>
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<tbody>
<tr>
<td>Mayor Phil Goff</td>
<td>Metro Sector representative on the National Council</td>
</tr>
<tr>
<td>Councillor Penny Hulse</td>
<td>Chair of Zone One and Zone One representative on National Council, Member Conference Committee</td>
</tr>
<tr>
<td>Deputy Mayor Bill Cashmore</td>
<td>Auckland Council representative on Regional Sector</td>
</tr>
<tr>
<td>Councillor Wayne Walker</td>
<td>Auckland Council representative on Zone One</td>
</tr>
<tr>
<td>Councillor Alf Filipaina</td>
<td>LGNZ Te Maruata Roopu Whakahaere</td>
</tr>
<tr>
<td>Councillor Richard Hills</td>
<td>Member Policy Advisory Group</td>
</tr>
<tr>
<td>Waiwera Local Board Chair</td>
<td>Member Governance and Strategy Advisory Group</td>
</tr>
<tr>
<td>Pippa Coom</td>
<td></td>
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</tbody>
</table>

12. In the past the four AGM delegates have been the Mayor, the Chief Executive and two Governing Body members who hold LGNZ roles. Delegates in 2017 were:

- Mayor Phil Goff
- Deputy Mayor Bill Cashmore
- Councillor Penny Hulse
- Local board chair Pippa Coom.
13. Local board members can attend the AGM as observers, or as a delegate if the second option is chosen, provided their names are included on the AGM registration form, which will be signed by the mayor. This process has been made clear to local boards.

14. Auckland Council is entitled to four delegates at the AGM. Staff recommend that Mayor Phil Goff be the presiding delegate and the other three delegates be comprised of either:
   a) two members of the Governing Body who hold a formal representation role with LGNZ and the chief executive; or
   b) one member of the Governing Body who holds a formal representation role with LGNZ and the Chief executive, and a local board member.

Attendance at the conference
15. Staff recommend that Mayor Phil Goff and the other Governing Body members chosen to be the delegates to the AGM be approved to attend the conference, and that another councillor be chosen to attend so that up to five Governing Body members can attend the conference.

16. Staff are recommending to local boards that they approve one member each to attend the conference (a total of 21 local board members).

17. This means that a maximum of 26 Auckland Council elected members would attend the conference.

18. Last year more elected members attended the conference as it was held in Auckland and there were no travel or accommodation costs. Governing Body attendees were:
   - Mayor Phil Goff
   - Deputy Mayor Bill Cashmore
   - Councillor Linda Cooper
   - Councillor Alf Filipaina
   - Councillor Richard Hills
   - Councillor Penny Hulse
   - Councillor Greg Sayers
   - Councillor Wayne Walker

Ngā whakaaweawe ā-rohe me ngā tirohanga a te poari ā-rohe / Local impacts and local board views
19. A report is being presented to local boards inviting them to each approve one member to attend the conference and informing them of their ability to attend the AGM if they register.

Tauākī whakaaweawe Māori / Māori impact statement
20. The LGNZ National Council has a sub-committee, Te Maruata, whose role is to promote increased representation of Māori as elected members of local government, and to enhance Māori participation in local government processes. It also supports councils in building relationships with iwi, hapu and Māori groups. Te Maruata provides Māori input on development of future policies or legislation relating to local government. Councillor Alf Filipaina is a member of the sub-committee. Te Maruata will hold a hui on 14 July 2018.

Ngā ritenga ā-pūtea / Financial implications
21. The normal registration rate is $1,410 (early bird) or $1,510 (standard) per attendee.

22. Attendance costs are met from the elected members’ development budget attached to the Kura Kawana Programme.

23. The costs associated with conference attendance, travel and accommodation can be met within existing governance budgets.
**Ngā raru tūpono / Risks**

24. We recommend that Mayor Phil Goff, in the event he cannot attend the AGM at short notice, be given the ability to appoint another Governing Body member to the role of presiding delegate. Moreover, in case an appointed councillor cannot attend the conference at short notice, we recommend that the mayor be able to nominate another councillor so the conference fee is not lost.

**Ngā koringa ā-muri / Next steps**

25. Once the Governing Body has approved attendance, staff will make registration arrangements for members.

**Ngā tāpirihanga / Attachments**

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<th>No.</th>
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<tbody>
<tr>
<td>All</td>
<td>Conference Programme</td>
<td>47</td>
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</table>

**Ngā kaihaina / Signatories**

<table>
<thead>
<tr>
<th>Author</th>
<th>Title</th>
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<tbody>
<tr>
<td>Sarndra O'Toole - Team Leader Governance Advisors</td>
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<table>
<thead>
<tr>
<th>Authorisers</th>
<th>Title</th>
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<tbody>
<tr>
<td>Marguerite Delbet - General Manager Democracy Services</td>
<td></td>
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<tr>
<td>Phil Wilson - Governance Director</td>
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<tr>
<td>Stephen Town - Chief Executive</td>
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</tbody>
</table>
We are firmly focused on the future.

Programme

Saturday 14 July

Te Maruata hui
Time TBC  Members only

Sunday 15 July

Registration desk open
9.00am - 6.00pm  Christ's College, Auditorium foyer, 33 Rolleston Ave
Barista coffee available in the Dining Hall from 2pm
Kindly sponsored by Fonterra

Council hosted tours

9.30am-11.30am
- Connected communities at the heart of our resilient city
- City smarts in an emerging creative city

Ticketed event. Departing from Christ's College, 33 Rolleston Ave. For further information click here

National Council meeting
followed by lunch
9.30am  Rydges Latimer, Clarendon Room, 33 Latimer Square
Members only

Young Elected Members catch up
9.30am-11.30am  Bunsen Cafe, The Arts Centre
Members only

Local Government New Zealand AGM
Rydges Latimer, Ballroom, 33 Latimer Square
Members only
Followed by a photo of all Mayors and Chairs
Coach transfer to Christ's College available immediately following AGM
From 2.00pm
Afternoon tea
Christ's College Dining Hall, 33 Rolleston Ave

Member only meetings
- Mayors Taskforce for Jobs AGM
- Regional Sector meeting

2.45pm
Young Elected Members meeting
Christ's College, 33 Rolleston Ave
Members only

4.15pm
Mihi Whakatau and opening ceremony
Christ's College Auditorium, 33 Rolleston Ave
Dave Cull, President, LGNZ
Lianne Dalziel, Mayor, Christchurch City Council

4.45pm
Government's address
Christ's College Auditorium

5.00pm
LGNZ President's address
Christ's College Auditorium
Dave Cull, President, LGNZ

5.15pm
Opening keynote address: Building resilience for a vibrant and prosperous future
Christ's College Auditorium, 33 Rolleston Ave

5.55pm
Welcome from Simpson Grierson
Jonathan Salter, Partner, Simpson Grierson

to
Followed by Simpson Grierson welcome reception
Christchurch Art Gallery
For more information click here

7.30pm

Monday 16 July

All conference sessions on Monday 16 July take place at Christ's College, 33 Rolleston Ave.

7.30am
Registration desk open
Kindly sponsored by Fonterra

Transpower breakfast session with Robett Hollis
Ticketed event. For further information click here
Rydges Latimer
Kindly sponsored by Transpower

7.00am

8.30am
Master of ceremonies
8.40am  Creating resilient, sustainable and liveable places
        Place-making for resilient communities.
        Kindly sponsored by Chorus

        Building a strong community - a tale of a new region
        The Canterbury regions’s collaboration and vision for a new life, new identity and new opportunities.

        9.25am  Chair; Joanna Norris, Chief Executive, ChristchurchNZ
                Malcolm Johns, Chief Executive, Christchurch Airport (CIAL)
                Josiah Tualamali, Chair, PYLAT Council - Pacific Youth Leadership and Transformation
                Arihia Bennett, CEO, Te Runanga o Ngai Tahu

        10.05am Morning tea

        Building strong local economic prosperity
        Social, cultural, economic and environmental policy settings can place New Zealanders among the most prosperous and happiest people in the world.

        10.45am  Michael Dunlop, Acumen Republic
                 Oliver Hartwich, NZ Initiative
                 Martine Udahemuka, NZ Initiative
                 Margaret Jefferies, Chair, Project Lyttleton

                 Inspiring Māori connections to grow thriving, prosperous communities

        11.25am  How to interact and engage appropriately with Māori as a strategic partner.
                 Associate Professor Te Maire Tau, Director, Ngai Tahu Research Centre

        12.05pm Lunch

        Responding to climate change: pathways to a low emissions economy

        1.05pm  Climate change adaption and mitigation.
                Minister for Climate Change, Hon James Shaw
                LGNZ representative
                Kindly sponsored by Ministry for the Environment

                Working together to protect and improve New Zealand’s water and environment

        1.45pm  Healthy and resilient water sources.
                Simon Upton, Parliamentary Commissioner for the Environment
                LGNZ representative
                Kindly sponsored by DairyNZ

                Presentation of Minister of Local Government EXCELLENCE Award for Outstanding Contribution to Local Government

        2.25pm  Hon Nanaia Mahuta, Minister of Local Government
                Kindly sponsored by Te Tari Taiwhenua Internal Affairs

        2.35pm  Afternoon tea

        3.00 - Interactive sessions (delegates select an interactive workshop or the city walking tour)
5.00pm

Interactive workshops (at the venue)
1. Building excellence in locally delivered infrastructure and services
2. The challenges of climate change decision making and opportunities for adaption
3. Working together to protect and improve New Zealand’s water and environment

City walking tour (offsite - tour departs from Christ’s College)
Christchurch resilience tour

For further information on interactive sessions please click here

Fulton Hogan conference dinner and LGNZ EXCELLENCE Awards
Wigram Air Force Museum
For more information including coach transport please click here

Tuesday 17 July

All conference sessions on Monday 16 July take place at Christ’s College, 33 Rolleston Ave.

8.00am
Registration desk open
Barista coffee available
Kindly sponsored by Fonterra

9.00am
Minister of Local Government address
Hon Nanaia Mahuta, Minister of Local Government

Inspiring health and wellbeing of our communities
Healthy communities lead to prosperous, resilient and vibrant communities.
Deidre Otene, CEO, The Moko Foundation

9.20am
Morning tea

Harnessing localism and empowering communities to succeed
Social groups making positive change in their communities.

11.00am
Angela O’Leary, Hamilton City Council and Julie Nelson, Joint Chief Executive, Wise Group
Michelle Sharp, Trustee, Akina Foundation

Closing keynote: Shaping the future of our communities
Leadership, infrastructure, environment, sustainability, localism, arts and culture, economies and future proofing our communities.
Daniel Flynn, founder and managing director of Thankyou
Kindly sponsored by GHD

12.00pm
Early bird registration prize draw
(you must be in the audience to win)

12.50pm
Conference closing address

1.00pm
Lunch
Health, Safety and Wellbeing update

File No.: CP2018/02980

Te take mō te pūrongo / Purpose of the report
1. To consider an update on Health, Safety and Wellbeing referred by the Audit and Risk Committee.

Whakarāpopototanga matua / Executive summary
2. At a meeting of the Audit and Risk Committee on 26 February 2018, it was resolved as follows:

Resolution number AUD/2018/12
MOVED by Member P Conder, seconded by Mayor P Goff:
That the Audit and Risk Committee:

a) receive this report on the second quarter of 2017/2018 about health, safety and wellbeing
b) refer this report to the Governing Body for its consideration
c) note that this report will also be provided to all local boards for their information.

3. Clause b) of the above resolution refers the report to the Governing Body, in its role as the person or organisation conducting a business or undertaking.

4. The quarterly Health, Safety & Wellbeing Report is appended at Attachment A.

Ngā tūtohunga / Recommendation
That the Governing Body:

a) receive the Health, Safety and Wellbeing update report.

Ngā tāpirihanga / Attachments

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<td>A0</td>
<td>Health, Safety and Wellbeing Report</td>
<td>53</td>
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</table>

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<td>Authoriser</td>
<td>Stephen Town - Chief Executive</td>
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</table>
Quarterly Health Safety & Wellbeing performance update

File No.: CP2018/01242

Te take mō te pūrongo / Purpose of the report

Whakarāpopototanga matua / Executive summary
2. Auckland Council is committed to being a leading employer in its approach to health, safety and wellbeing.
3. This second quarter report:
   - provides a summary of the council’s performance against four key health and safety metrics
   - identifies work underway for a new council Wellbeing Strategy
   - sets out elected members’ due diligence duties under the Health and Safety at Work Act 2015.

Ngā tūtohunga / Recommendation/s
That the Audit and Risk Committee:
   a) receive this report on the second quarter of 2017/2018 about health, safety and wellbeing
   b) refer this report to the Governing Body for its consideration
   c) note that this report will also be provided to all local boards for their information.

Horopaki / Context
4. Auckland Council has a three-year Health and Safety Strategy (2017-2020) to move the organisation from being reactive to becoming a leading organisation in the protection of its people.
5. Under the Health and Safety at Work Act 2015 all elected members are deemed ‘officers’ and must exercise a duty of due diligence in relation to health and safety. This report also provides information which enables elected members to carry out that role.

Tātaritanga me ngā tohungotuhu / Analysis and advice
6. The council’s key safety indicators include four key metrics:
   - lost time injury frequency rate (LTIFR) which measures the number of lost time injuries per one million hours worked
   - near misses including unsafe conditions
   - corrective actions
   - critical risks.
7. Performance against each of those metrics is set out below.
Lost time injury frequency rate
8. In 2015 the council set an aspirational target for LTIFR of <2.25.
9. The LTIFR is tracking downward for the quarter and below the target (refer to Table 1 below).

Table 1 Summary of lost injury trends

<table>
<thead>
<tr>
<th>Trend</th>
<th>Jan 18</th>
<th>Dec 17</th>
<th>Nov 17</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rolling Lost Time Injury Frequency Rate</td>
<td>2.02</td>
<td>2.06</td>
<td>1.98</td>
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<td>Number of LTI</td>
<td>1</td>
<td>4</td>
<td>1</td>
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<tr>
<td>Number of all injuries inclusive of first aid, medical treatment and lost time</td>
<td>21</td>
<td>26</td>
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Near misses including unsafe conditions

10. For the quarter, there was:
   - an increase of three per cent in the number of reported unsafe conditions
   - an increase of 15 per cent in the number of reported near misses
   - an overall decrease in reporting of incidents (unsafe conditions, incidents, and near misses). This was likely due to the Christmas break.

11. The Risk Manager System continues to be developed to improve support, add value and mitigate risk to the council. This includes the following developments:
   - access to council’s health and safety management via mobile devices. This is a critical tool for enabling people leaders to fulfill safety leadership responsibilities. It enables them to immediately carry out and record safety observations
   - introduction of tools via interactive applications on mobile devices. This further enables on-the-job risk assessments.

12. The next major developments for the system are:
   - improved data analysis and dashboard reporting
   - enhancement to the current contractor management module within councils health and safety management system to strengthen the council’s health and safety oversight of contractors.

Corrective actions and critical risks

13. ‘Critical risks’ are health and safety hazards that are present in the business and, if they occur, have the potential for a critical outcome. For example, fatality, permanent disability or significant loss of plant/equipment. These can now be identified through the Risk Manager System.

14. The Risk Manager System allows the council to identify and categorise critical risks and track corrective actions. This is vital to drive improvement and reduce risk.

15. The number of completed corrective actions was on a downward trend since November 2017. At the end of January 2018, completion of these actions was at its lowest at 43 percent. Completing these actions is essential to mitigate risks and learn from incidents.

16. As these significant hazards are now visible they can be assessed for risk and control measures put in place and tracked. This helps mitigate the likelihood of these risks from occurring.
17. Chart 1 below shows the critical risks that have been identified within the council through reporting.

**Chart 1: Rolling critical risks**

- Confined Space: 1%
- Control of substances hazardous to health: 4%
- Driving: 24%
- Explosive atmosphere: 1%
- Fatigue: 5%
- Items falling from height: 5%
- Violence: 37%
- Mental Health: 1%
- Lone Working: 2%
- Water Safety: 18%
- Working at height: 2%

18. Work programmes are in place to address these critical risks. The highest recurring risk is violence. Between February 2017 and January 2018 this consisted of physical threats/abuse (20 per cent) and verbal abuse (80 per cent).

19. To address the critical risk of violence, council staff:
   - have developed a project to review the risks to our staff who have direct engagement with the public. This included two staff workshops to identify the effectiveness of current controls and to make recommendations for improvement particularly through design
   - are developing a communications campaign. The campaign aims to target external customers who interact with staff and supporting our people to report incidents of unacceptable behaviour, no matter how small.

**Wellbeing Strategy**

20. The council is designing a new Wellbeing Strategy in response to a recent survey of staff. The focus for 2018 is to implement an integrated wellbeing programme to improve our performance in key areas, which are mental health, stress and general wellness through exercise, nutrition and social wellbeing.

21. The overall strategy will be designed around the New Zealand Mental Health Foundation’s Five Ways to Wellbeing which include:
   - connect - me whakawhanaunga
   - give -tukua
   - take notice - me aro tonu
   - keep learning - me ako tonu
   - be active - me kori tonu.
22. As part of developing the strategy, staff will also integrate several mental health programmes currently operating within the council into one programme.

**Due diligence duties**

23. As ‘officers’ under the Act, elected members have six due diligence duties to meet, as set out below.

| Duty 1: acquire and keep up to date with health and safety knowledge and health and safety matters | To ensure elected members and senior management are well informed and up-to-date on health and safety matters, training has been ongoing. To date, 10 local board specific sessions were delivered to 61 elected members. The remaining 10 will be delivered in 2018 through the elected member development programme, Kura Kawana. |
| Duty 2: understand the council’s operations and the associated hazards and risks | A health and safety site visit plan for the chief executive, executive lead team members and elected members is in place. The Health Safety and Wellbeing Committee under the new framework has been realigned to the executive lead team. This will create better visibility and understanding of council operations and the health and safety risks in their parts of the organisation. The first meeting of this committee takes place 7 March 2018. |
| Duty 3: ensure the council has appropriate resourcing and processes to eliminate or minimise risks to health and safety | A key focus of the current strategy is to build capability within the organisation and prioritise high risk business areas. A corporate training programme has now been agreed mandating all people leaders to complete a one day Managing Safely course. This course has been developed from the Institute of Occupational Safety and Health’s own Managing Safely course; a well-respected and known international standard. The Risk Manager System continues to be developed to improve support, add value and mitigate risk to the organisation. We see through outstanding actions that some managers do not engage with the system as often as we’d like. This creates a potential risk. |
| Duty 4: ensure the council has appropriate processes for receiving and considering information regarding incidents, hazards and risks and for responding in a timely way to that information | A management framework is now in place. It is designed to ensure robust safety governance, processes, guidance and positive behaviours around health and safety. Lessons learnt are being developed and shared with the business following a sauna death at Moana Nui a Kiwa Leisure Centre on 27 August 2016. Worksafe confirmed last year council would not face further action. Two deaths have occurred on council assets since the last report. Worksafe are not taking any of these notifications further. Community Facilities has investigated these in detail to ensure any changes that can reasonably be done, are made. |
### Duty 5: ensure the council has, and implements, processes for complying with any duty or obligation

The chief executive and Mayor have recently signed the organisation’s Health and Safety Policy Statement and this has been implemented alongside the new framework. It focuses on developing the right behaviours across the whole organization, including our CCOs: in short being open, honest, working with others, embracing safety, communicating clearly and trusting your instincts.

### Duty 6: take reasonable steps to verify the provision and use of resources and processes through reviews and audits


The Head of Health, Safety and Wellbeing is currently working with the Head of Audit to identify and develop an assurance framework for use within the council.

---

**Ngā whakaaweawe ā-rohe me ngā tirohanga a te poari ā-rohe / Local impacts and local board views**

24. Briefings for elected members, including local boards, have been provided since February 2017. To date 10 local board specific sessions were delivered to 61 elected members with the remaining 10 to be delivered in 2018 through the elected member development programme, Kura Kawana.

25. This report will be provided to all local boards together with a briefing on this report.

**Tauākī whakaaweawe Māori / Māori impact statement**

26. Council staff are working with the Independent Māori Statutory Board and the council’s co-governance entities, such as the Maunga Authority, Te Poari o Kaipātiki ki Kaipara, the Ngāti Whātua Ōrākei Reserves Board and Te Motu a Hiaroa (Puketutu Island) Trust to ensure they have information and support to comply with their duties either as a board or individuals.

**Ngā ritenga ā-pūtea / Financial implications**

27. There are no financial implications over and above those covered by current budgets arising as part of this report.

**Ngā raru tūpono / Risks**

28. The risk of non-compliance with health and safety is recorded in the council’s corporate top risk register.

29. Controls are in place to monitor and respond to critical risks, through the Risk Manager System. The system relies on people leaders actively applying systems, carrying out risk assessment and reporting incidents and learning to ensure management systems remain effective. A behavioural programme has been developed to address this potential risk.
Ngā koringa ā-muri / Next steps
30. Staff will continue to implement the Health and Safety Strategy and embed the new framework.
31. A Wellbeing Strategy will be developed and reported by the end of quarter four.

Ngā tāpirihanga / Attachments

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<th>Title</th>
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<td>Quarterly health and safety report - Graphs and Charts</td>
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Ngā kaihaina / Signatories

<table>
<thead>
<tr>
<th>Author</th>
<th>Oliver Sanandres - Head of Health, Safety and Wellbeing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authorisers</td>
<td>Patricia Reade - Director People and Performance</td>
</tr>
<tr>
<td></td>
<td>Phil Wilson - Governance Director</td>
</tr>
</tbody>
</table>
Appendix A – Graphs and Charts
Quarterly Health & Safety Report

Graph 1 – Showing trend information for LTIFR (Lost Time Injury Frequency Rate)

Note: Downward trend in injury rate.

Bar Chart 1 – Number of reported incidents: Incidents, Unsafe Conditions and Near Misses.
Bar Chart 2 – Status of Actions

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<th>Aug-17</th>
<th>Sep-17</th>
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<tr>
<td>Underway</td>
<td>6</td>
<td>11</td>
<td>28</td>
<td>13</td>
<td>19</td>
<td>20</td>
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<tr>
<td>Completed</td>
<td>65</td>
<td>83</td>
<td>60</td>
<td>43</td>
<td>23</td>
<td>15</td>
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<tr>
<td>Percent Completion</td>
<td>91.5%</td>
<td>88.3%</td>
<td>68.2%</td>
<td>76.8%</td>
<td>54.8%</td>
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Appointing a replacement member to the Tūpuna Maunga o Tāmaki Makaurau Authority

File No.: CP2018/03270

Te take mō te pūrongo / Purpose of the report
1. To agree to the appointment of a permanent member to the Tūpuna Maunga o Tāmaki Makaurau Authority (Tūpuna Maunga Authority).

Whakarāpopototanga matua / Executive summary
2. The Auckland Council appoints six members to the Tūpuna Maunga Authority. The Auckland Council has previously resolved that the appointees will include three councillors and three local board members. The Auckland Council appointed Councillor Ross Clow as an interim member of the Tūpuna Maunga Authority and resolved to appoint a permanent member in March 2018.

Ngā tūtohunga / Recommendation/s
That the Governing Body:

a) agree to the appointment of a replacement Governing Body member to the Tūpuna Maunga o Tāmaki Makaurau Authority

b) note that if no replacement is made then Councillor Ross Clow will continue as an Auckland Council appointee on the Tūpuna Maunga o Tāmaki Makaurau Authority.

Horopaki / Context
3. The Auckland Council has six appointees on the Tūpuna Maunga o Tāmaki Makaurau Authority (Tūpuna Maunga Authority). The Governing Body confirmed on 1 November 2016 that the Auckland Council appointees be made up three councillors and three local board members (GB/2016/240).

4. At the Governing Body meeting of 23 November 2017 Cr Clow was appointed to be an interim member of the Tūpuna Maunga Authority. Also at that meeting the Governing Body resolved to:
   “request expressions of interest from councillors to permanently fill the vacancy on the Tūpuna Maunga o Tāmaki Makaurau Authority for decision by the March 2018 Governing Body meeting and in the absence of any councillor interest, explore the appointment of an external representative”.

Tātaritanga me ngā tohutohu / Analysis and advice
5. At the Governing Body meeting of 1 November 2016 the following criteria were considered when appointing members to the Tūpuna Maunga Authority:

   a) a strong interest in and commitment to the health and wellbeing of the Tūpuna Maunga

   b) a strong interest in and commitment to the key principles that underpin the co-governance relationship, being a relationship of partnership with its foundations in Te Tiriti o Waitangi/the Treaty of Waitangi, and the principle that ‘the Tūpuna Maunga are the kaupapa’

   c) that local board representatives are appointed from areas of the region where maunga included in the settlement are located
d) that the Governing Body and local boards consider a geographic spread of representation when appointing Tūpuna Maunga Authority members given the regional nature of their responsibilities. Governing Body representation need not be restricted to councillors within whose wards the maunga are situated.

**Ngā whakaaweawe ā-rohe me ngā tirohanga a te poari ā-rohe / Local impacts and local board views**

6. The work of the Tūpuna Maunga Authority spans many local board areas, but the appointment of a councillor to the Tūpuna Maunga Authority is a Governing Body decision, therefore the views of local boards have not been sought.

**Tauākī whakaaweawe Māori / Māori impact statement**

7. The Tūpuna Maunga Authority is a tangible expression of a Treaty-based partnership between Ngā Mana Whenua and Auckland Council. It is a vehicle through which the mana whenua worldview and historical, cultural and spiritual connections with the maunga will be given visibility and guide decision-making for the health and wellbeing of these important taonga.

**Ngā ritenga ā-pūtea / Financial implications**

8. There are no additional financial implications attached to the making of this decision.

**Ngā raru tūpono / Risks**

9. No particular risks are identified.

**Ngā koringa ā-muri / Next steps**

10. Staff will enact any appointment in terms of the governing legislation.

**Ngā tāpirihanga / Attachments**

There are no attachments for this report.

**Ngā kaihaina / Signatories**

<table>
<thead>
<tr>
<th>Author</th>
<th>Dominic Wilson - Head of Co-governance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authorisers</td>
<td>Phil Wilson - Governance Director</td>
</tr>
<tr>
<td></td>
<td>Stephen Town - Chief Executive</td>
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</table>
Amendments to the Governing Body Terms of Reference

File No.: CP2018/03137

Te take mō te pūrongo / Purpose of the report
1. To adopt changes to the Governing Body Terms of Reference and committee membership.

Whakarāpopototanga matua / Executive summary
2. Last December I proposed that council’s committee structure be revised to help ensure a sharper focus on council initiatives to improve efficiency, deliver services more effectively and achieve greater value for money. This process is an important driver in increasing public trust and confidence in Council, and will allow us to identify and agree to where savings can be best applied to achieve better outcomes for Auckland.

3. Reflecting on our discussions at the time and since December, I have decided not to establish a new committee to undertake this critical work, but rather to broaden the responsibilities of the Appointments and Performance Review Committee.

4. These new responsibilities will include overseeing the council’s programme of section 17A reviews. The committee will also be able to report and make recommendations to the Governing Body on efficiency initiatives outside the scope of section 17A reviews. To reflect these broader responsibilities, the committee has been renamed Appointments, Performance Review and Value for Money Committee.

5. These changes also will result in minor amendments to the Finance and Performance Committee Terms of Reference, namely removing the responsibility for overseeing and making decisions relating to the Value for Money programme.

6. The amended Terms of Reference also reflect the appointment of Councillor Josephine Bartley to:
   - the Appointments, Performance Review and Value for Money Committee;
   - the Community Development and Safety Committee;
   - the Regulatory Committee; and
   - the Disability Advisory Panel.

7. A further change to the Terms of Reference include the Community Development and Safety Committee reverting to meeting every four weeks.

8. There are also other changes to the committee membership as follows:
   - removing Councillor Greg Sayers as Deputy Chair of the Audit and Risk Committee and as member of the Strategic Procurement Committee, following his resignation from these committees.
   - appointing Deputy Mayor Cashmore as Deputy Chair of Audit and Risk, and adding Councillor Ross Clow to the membership of that Committee.
   - removing Councillor Wayne Walker as a member of the Civil Defence Emergency Management Group Committee following his resignation and adding Councillor Bartley to the membership of that Committee.

9. The Governing Body Terms of Reference have been updated accordingly and are presented with tracked changes in Attachment A for consideration and adoption by the Governing Body.
Ngā tūtohunga / Recommendation/s

That the Governing Body:

a) note the Mayor’s changes to the committee structure

b) adopt the amended Governing Body Terms of Reference in Attachment A of this report and delegate the responsibilities, duties and powers to committees as set out in the Terms of Reference.

Ngā tāpirihanga / Attachments

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Ngā kaihaina / Signatories

Author | Mayor Phil Goff
Auckland Council
Governing Body
Terms of Reference

Adopted by the Governing Body on 1 November 2016

Minute number GB/2016/237

Amended 22 February 2018 (see page 2)
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<td>6.1 AUCKLAND DOMAIN COMMITTEE</td>
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<td>6.2 HAURAKI GULF FORUM</td>
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<td>7.1 JOINT GOVERNANCE WORKING PARTY</td>
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<td>7.2 TE TIRITI O WAITANGI / TREATY OF WAITANGI SETTLEMENT WORKING PARTY</td>
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8.6 YOUTH ADVISORY PANEL
8.7 RURAL ADVISORY PANEL
8.8 AUCKLAND CITY CENTRE ADVISORY BOARD
8.9 HERITAGE ADVISORY PANEL
## AMENDMENTS

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<td>Mayor (Email Fran Moid 7/12/16; amendments reported to GB 15/12/2016).</td>
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<td>Under “Decision-making powers” changed: “The committee has no decision making powers.” to “The committee has no decision making powers other than those in these terms of reference”.</td>
<td>Audit and Risk Committee.</td>
<td>Changes were made for clarification.</td>
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<td>Under “External Audit” changed “…the nature and scope of the external audit” to: “the nature, scope and fees of the external audit”.</td>
<td></td>
<td>The first change clarifies that the committee undertakes decision-making within its own responsibilities.</td>
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<td></td>
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<td></td>
<td>Fees for the external audit are implicitly dependent on the nature and scope of the audit.</td>
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<td></td>
<td></td>
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<td>The second change makes that explicit.</td>
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<td>22 / 06 / 2017</td>
<td>Updated Advisory Panels membership lists.</td>
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<td>Various changes to responsibilities and membership.</td>
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<td>Governing Body 14 December 2017, GB/2017/177</td>
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<td>Declared elected 21/2/2018 and sworn in at council meeting 22/2/2018</td>
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| 15/03/2018 | Included Cr Josephine Bartley               | Appointments, Performance Review and Value for Money Committee  
Community Development and Safety Committee  
Regulatory Committee  
Civil Defence Emergency Management Committee  
Disability Advisory Panel                | To be approved by Governing Body on 22 March 2018         |
| 15/03/2018 | Removed Cr Greg Sayers                      | Audit and Risk Committee  
Strategic Procurement Committee                      | To be approved by Governing Body on 22 March 2018         |
| 15/03/2018 | Added Cr Ross Clow  
Made Deputy Mayor Bill Cashmore deputy chair     | Audit and Risk Committee  
Civil Defence Emergency Management Committee          | To be approved by Governing Body on 22 March 2018         |
| 15/03/2018 | Removed Cr Wayne Walker                     | Civil Defence Emergency Management Committee          | To be approved by Governing Body on 22 March 2018         |
| 15/03/2018 | Removed Cr Sharon Stewart                  | Disability Advisory Panel                             | To be approved by Governing Body on 22 March 2018         |
| 15/03/2018 | Updated membership list                     | Youth Advisory Panel                                  | To be endorsed by Governing Body on 22 March 2018 – names will be added after the meeting  |
| 15/03/2018 | Changed the frequency of meetings           | Community Development and Safety Committee             | To be approved by Governing Body on 22 March 2018         |
1 INTRODUCTION

1.1 GENERAL PRINCIPLES OF DELEGATION

This document sets out the terms of reference for committees of the Governing Body. The mayor is responsible for establishing committees and appointing chairpersons. The Governing Body, through this document and subject to section 1.4, delegates to committees those powers necessary for them to carry out their responsibilities as set out in this document.

Section 2 sets out those matters which the Governing Body cannot legally delegate under the Local Government Act 2002 or has elected not to delegate.

The business to be transacted by the Governing Body and its committees is large and wide-ranging, dealing with the details of many Acts and Regulations, the council's plans, bylaws, and a range of Governing Body activities and services. The terms of reference and delegations in this document are intended to reflect the principles of subsidiarity to allow the Governing Body to delegate its powers and functions to the most efficient and effective levels.

The committee to which powers are delegated will usually exercise the delegated power, but is not obliged to do so. The most common circumstances where the committee with the delegation might choose not to exercise it are when the matter has become a matter of public notoriety, or the issues are contentious and finely balanced.

A decision made by a committee under delegation from the Governing Body has the same effect as if it were made by the Governing Body itself.

1.2 ESTABLISHMENT OF COMMITTEES

In accordance with section (9)(3) of the Local Government (Auckland Council) Act 2009, the mayor has the power to establish the committees of the governing body and appoint the chairperson of each committee of the governing body.

Committee includes, in relation to the Governing Body:

(a) a committee comprising all the members of the Governing Body
(b) a standing committee appointed by the Governing Body
(c) a standing committee appointed by the mayor
(d) a joint committee appointed under clause 30 of Schedule 7 of the Local Government Act 2002
(e) any subcommittee, or reporting committee, of a committee described in items (a) (b), (c) or (d) of this definition.

Independent Māori Statutory Board: Promotes issues of significance for mana whenua groups and mataawaka of Tāmaki Makaurau and ensures council compliance with statutory provisions relating to the Treaty of Waitangi. Nominees represent the Board on various committees and are included in the quorum at a committee meeting.

Ex officio member: ‘By virtue of the office held’. An ex officio member of a committee is a member because of the office held. An ex officio member may either have full voting rights or voting rights for some of the responsibilities of the committee, as stated in the Terms of Reference. The Local Government
(Auckland Council) Act 2009 states that the mayor is an ex officio member of all committees and Standing Order 4.1.1 states that both the mayor and deputy mayor are members of all committees.

**Panels:** The role of a panel is to inform and advise the council. They have no decision-making role.

**Quorum:** Unless otherwise specified, a quorum is defined as a half, if the total number of members is even, or a majority, if the total number of members is odd.

- Ex officio members are not included in calculating the quorum but are counted towards the quorum when present; this reflects the expectation that ex officio members will not always be able to attend all committees and forums but have full voting rights when present (unless specified otherwise).

- Appointed members are included in calculating the quorum and are counted towards the quorum when present; this reflects the expectation that appointed members will attend those committees to which they are appointed.

- Vacancies are not included in calculating the quorum.

- Any member attending a meeting by way of audio link or audio-visual link and who is not physically present at the meeting is not to be counted as present for the purpose of the quorum.

### 1.3 AMBIGUITY AND CONFLICT

In the event of ambiguity or conflict between the provisions of the Terms of Reference, which results in uncertainty or dispute as to which committee has delegated authority to act in respect of a particular matter, the chief executive will prepare a written report and submit it to the mayor (or the deputy mayor in the absence of the mayor) for consideration and determination. The decision of the mayor (or deputy mayor) will be final and binding.

If neither the mayor nor the deputy mayor is available, the decision of the chief executive will be final and binding.

### 1.4 CALLING IN A MATTER FOR GOVERNING BODY CONSIDERATION

The mayor may require any matter that would otherwise be reported to a committee, to be reported to the Governing Body. If that matter is already on a published agenda for a committee meeting, that meeting will not consider that matter unless invited by the mayor to make a recommendation to the Governing Body.
2 GOVERNING BODY

Terms of Reference

Those powers which cannot legally be delegated:

(a) the power to make a rate
(b) the power to make a bylaw
(c) the power to borrow money, or purchase or dispose of assets, other than in accordance with the Long Term Plan
(d) the power to adopt a long term plan, annual plan, or annual report
(e) the power to appoint a chief executive
(f) the power to adopt policies required to be adopted and consulted on under the Local Government Act 2002 in association with the long-term plan or developed for the purpose of the local governance statement
(g) the power to adopt a remuneration and employment policy.

Additional responsibilities retained by the Governing Body:

(a) approval of long-term plan or annual plan consultation documents, supporting information and consultation process prior to consultation
(b) approval of a draft bylaw prior to consultation
(c) resolutions required to be made by a local authority under the Local Electoral Act 2001, including the appointment of electoral officer
(d) adoption of, and amendment to, the Committee Terms of Reference, Standing Orders and Code of Conduct
(e) relationships with the Independent Māori Statutory Board, including the funding agreement and appointments to committees
(f) approval of the Unitary Plan
(g) overview of the implementation and refresh of the Auckland Plan and receiving regular reporting on the overall achievement of Auckland Plan priorities and performance measures.

Quorum: 11

Frequency of meetings: Monthly
3 COMMITTEES OF THE WHOLE OF THE GOVERNING BODY

3.1 PLANNING COMMITTEE

Terms of Reference (Delegations)

Responsibilities
This committee guides the physical development and growth of Auckland through a focus on land use planning, housing and the appropriate provision of infrastructure and strategic projects associated with these activities. Key responsibilities include:

- Relevant regional strategy and policy
- Infrastructure strategy and policy
- Unitary Plan
- Spatial plans
- Plan changes to operative plans
- Housing policy and projects
- Special Housing Areas
- City centre development
- Tamaki regeneration
- Built heritage
- Urban design
- Environmental matters relating to the committee’s responsibilities
- Acquisition of property relating to the committee’s responsibilities and within approved annual budgets
- Initiatives of the following CCOs that have a significant impact upon implementation of the Auckland Plan and other relevant plans, policies and strategies:
  - Panuku Development Auckland
  - Auckland Transport
  - Watercare Services Limited
  - Regional Facilities Auckland (stadium)

Powers

(i) All powers necessary to perform the committee’s responsibilities, including:
   (a) approval of a submission to an external body
   (b) establishment of working parties or steering groups.

(ii) The committee has the powers to perform the responsibilities of another committee, where it is necessary to make a decision prior to the next meeting of that other committee.

(iii) The committee does not have:
   (a) the power to establish subcommittees
   (b) powers that the Governing Body cannot delegate or has retained to itself (section 2).
## Membership:

<table>
<thead>
<tr>
<th>Role</th>
<th>Name</th>
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<tbody>
<tr>
<td>Chairperson</td>
<td>Cr Chris Darby</td>
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<tr>
<td>Deputy chairperson</td>
<td>Cr Richard Hills</td>
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<tr>
<td>Members</td>
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<tr>
<td>Mayor Phil Goff</td>
<td>Cr Mike Lee</td>
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<td>Deputy Mayor Bill Cashmore</td>
<td>Cr Daniel Newman</td>
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<td>Cr Josephine Bartley</td>
<td>Cr Dick Quax</td>
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<td>Cr Cathy Casey</td>
<td>Cr Greg Sayers</td>
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<tr>
<td>Cr Ross Clow</td>
<td>Cr Desley Simpson</td>
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<td>Cr Fa’anana Efeso Collins</td>
<td>Cr Sharon Stewart</td>
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<td>Cr Linda Cooper</td>
<td>Cr Sir John Walker</td>
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<td>Cr Alf Filipaina</td>
<td>Cr Wayne Walker</td>
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<tr>
<td>Cr Christine Fletcher</td>
<td>Cr John Watson</td>
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<td>Cr Penny Hulse</td>
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</table>

**IMSB appointees (s 85 (1)):**

<table>
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<tr>
<th>Name</th>
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<tr>
<td>Tau Henare</td>
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<td>Liane Ngamane</td>
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**Quorum:** 11

**Frequency of meetings:** Monthly
3.2 FINANCE AND PERFORMANCE COMMITTEE

Terms of Reference (Delegations)

Responsibilities

The purpose of the Committee is to:

a) advise and support the mayor on the development of the Long Term Plan (LTP) and Annual Plan (AP)

b) monitor the overall financial management and performance of the council parent organisation and Auckland Council Group

c) make financial decisions required outside of the annual budgeting processes

Key responsibilities include:

- Advising and supporting the mayor on the development of the LTP and AP for consideration by the Governing Body including:
  - local board agreements
  - financial policy related to the LTP and AP
  - setting of rates
  - preparation of the consultation documentation and supporting information, and the consultation process, for the LTP and AP

- Monitoring the operational and capital expenditure of the council parent organisation and Auckland Council Group, and inquiring into any material discrepancies from planned expenditure

- Monitoring the financial and non-financial performance targets, key performance indicators, and other measures of the council parent organisation and each Council Controlled Organisation (CCO) to inform the Committee’s judgement about the performance of each organisation

- Advising the mayor on the content of the annual Letters of Expectations (LoE) to CCOs

- Exercising relevant powers under Schedule 8 of the Local Government Act 2002, which relate to the Statements of Intent of CCOs

- Exercising Auckland Council’s powers as a shareholder or given under a trust deed, including but not limited to modification of constitutions and/or trust deeds, granting shareholder approval of major transactions where required, exempting CCOs, and approving policies relating to CCO and CO governance

- Approving the financial policy of the council parent organisation

- Approving group-wide policies that apply to the council parent organisation and CCOs

- Overseeing and making decisions relating to an ongoing programme of service delivery reviews, as required under section 17A of the Local Government Act 2002

- Establishing and managing a structured approach to the approval of non-budgeted expenditure (including grants, loans or guarantees) that reinforces value for money and an expectation of tight expenditure control

- Write-offs

- Acquisition and disposal of property, in accordance with the LTP

- Recommending the Annual Report to the Governing Body

- Te Toa Taktini.
Powers

(i) All powers necessary to perform the committee’s responsibilities, including:
   (a) approval of a submission to an external body
   (b) establishment of working parties or steering groups.

(ii) The committee has the powers to perform the responsibilities of another committee, where it is necessary to make a decision prior to the next meeting of that other committee.

(iii) The committee does not have:
   (a) the power to establish subcommittees
   (b) powers that the Governing Body cannot delegate or has retained to itself (section 2).

Reporting committees (refer Section 4 for details)

- Strategic Procurement Committee
- Audit and Risk Committee.

Membership:

Chairperson: Cr Ross Clow
Deputy chairperson: Cr Desley Simpson

Members:
Mayor Phil Goff Cr Penny Hulse
Deputy Mayor Bill Cashmore Cr Mike Lee
Cr Josephine Bartley Cr Daniel Newman
Cr Cathy Casey Cr Dick Quax
Cr Fa'anana Eleso Collins Cr Greg Sayers
Cr Linda Cooper Cr Sharon Stewart
Cr Chris Darby Cr Sir John Walker
Cr Alf Filipaina Cr Wayne Walker
Cr Christine Fletcher Cr John Watson
Cr Richard Hills

IMSB appointees (s 85 (1)):
Terence Hohnneck David Taipari

Quorum: 11

Frequency of meetings: Monthly, with additional meetings for the purposes of key decisions and performance reporting.
3.3 ENVIRONMENT AND COMMUNITY COMMITTEE

Terms of reference (Delegations)

Responsibilities
This committee deals with all strategy and policy decision-making that is not the responsibility of another committee or the Governing Body. Key responsibilities include:

- Development and monitoring of strategy, policy and action plans associated with environmental, social, economic and cultural activities
- Natural heritage
- Parks and reserves
- Economic development
- Protection and restoration of Auckland’s ecological health
- Climate change
- The Southern Initiative
- Waste minimisation
- Libraries
- Acquisition of property relating to the committee’s responsibilities and within approved annual budgets
- Performing the delegations made by the Governing Body to the former Parks, Recreation and Heritage Forum and Regional Development and Operations Committee, under resolution GB/2012/157 in relation to dogs
- Initiatives of the following CCOs that have a significant impact upon implementation of the Auckland Plan and other relevant plans, policies and strategies:
  - ATEED
  - Regional Facilities Auckland (art gallery, zoo and cultural institutions).

Powers

(i) All powers necessary to perform the committee’s responsibilities, including:
   (a) approval of a submission to an external body
   (b) establishment of working parties or steering groups.

(ii) The committee has the powers to perform the responsibilities of another committee, where it is necessary to make a decision prior to the next meeting of that other committee.

(iii) The committee does not have:
   (a) the power to establish subcommittees
   (b) powers that the Governing Body cannot delegate or has retained to itself (section 2).

Reporting committees (refer Section 4 for details)
- Community Development and Safety Committee
Membership:

Chairperson: Cr Penny Hulse
Deputy chairperson: Cr Alf Filipaina

Members:
Mayor Phil Goff Cr Mike Lee
Deputy Mayor Bill Cashmore Cr Daniel Newman
Cr Josephine Bartley Cr Dick Quax
Cr Cathy Casey Cr Greg Sayers
Cr Ross Clow Cr Desley Simpson
Cr Fa'amanana Efeso Collins Cr Sharon Stewart
Cr Linda Cooper Cr Sir John Walker
Cr Chris Darby Cr Wayne Walker
Cr Christine Fletcher Cr John Watson
Cr Richard Hills

IMSB appointees (s 85 (1)): James Brown Glenn Wilcox

Quorum: 11
Frequency of meetings: Monthly
4 REPORTING COMMITTEES

4.1 AUDIT AND RISK COMMITTEE

Terms of Reference (Delegations)

Parent committee: Finance and Performance Committee

Purpose

The purpose of the Audit and Risk Committee is to assist and advise the Governing Body in discharging its responsibility and ownership of governance, risk management, and internal control.

The committee will review the effectiveness of the following aspects of governance, risk management and internal control:

- enterprise risk management (ERM) across the Auckland Council group
- internal and external audit and assurance
- integrity and investigations
- monitoring of compliance with laws and regulations
- significant projects and programmes of work focussing on the appropriate management of risk
- oversight of preparation of the LTP, Annual Report, and other external financial reports required by statute.

The scope of the committee includes the oversight of risk management and assurance across council’s CCOs with respect to risk that is significant to the Auckland Council group.

To perform his or her role effectively, each committee member must develop and maintain his or her skills and knowledge, including an understanding of the committee’s responsibilities, and of the council’s business, operations and risks.

Decision-Making Powers

The committee has no decision making powers other than those in these terms of reference.

The committee may request expert advice through the chief executive where necessary.

The committee may make recommendations to the Governing Body and / or chief executive.

Tenure

External members will be appointed for an initial period not exceeding three years, after which they will be eligible for extension or re-appointment, after a formal review of their performance, and have not already served two terms on the committee. Councillors appointed to the committee will automatically cease to hold office at the time of the local authority triennial elections. They may be eligible for re-appointment post those elections if they are returned to office and have not already served two terms on the committee.

The chief executive, and the senior management team members will not be members of the committee.

The members, taken collectively, will have a broad range of skills and experience relevant to the operations of the council. At least one member of the committee should have accounting or related financial management experience, with an understanding of accounting and auditing standards in a public sector environment.
Committee’s responsibilities

The committee’s responsibilities are detailed below.

Forward Work Programme

The committee will agree and approve annually a forward work programme – which will consist of in depth briefings and reviews of specific significant risks and assurance strategies, as contained in the ERM ‘Top Risks’ or Auckland Council’s work plan.

Risk management

- Review, approve and monitor the implementation of the ERM policy, framework and strategy (including risks pertaining to CCOs that are significant to the Auckland Council group).
- Review and approve the council’s “risk appetite” statement.
- Review the effectiveness of risk management and internal control systems including all material financial, operational, compliance and other material controls. This includes legislative compliance (including Health and Safety), significant projects and programmes of work, and significant procurement.
- Review risk management reports identifying new and / or emerging risks, and any subsequent changes to the ERM ‘Top Risk’ register.

Internal Audit

- Review annually the Internal Audit Charter – which confirms the authority, independence and scope of the function.
- Review and approve annually and monitor the implementation of the 3-year Internal Audit Strategy and 12 month detailed Internal Audit Plan.
- Review the co-ordination between the risk and internal audit functions – including the integration of the council’s ERM risk profile with the Internal Audit programme. This includes assurance over all material financial, operational, compliance and other material controls. This includes legislative compliance (including Health and Safety), significant projects and programmes of work, and significant procurement.
- Review the reports of the Internal Audit functions dealing with findings, conclusions and recommendations (including assurance over risks pertaining to CCOs that are significant to the Auckland Council group)
- Review and monitor management’s responsiveness to the findings and recommendations – enquiring into the reasons that any recommendation is not acted upon.

Fraud and Integrity

- Review and approve annually, and monitor the implementation of, the Fraud and Integrity Strategy, including detailed work programme.
- Review annually the whistleblowing procedures and ensure that arrangements are in place by which staff, may, in confidence, raise concerns about possible improprieties in matters of financial reporting, financial control or any other matters, and that there is proportionate and independent investigation of such matters and appropriate follow-up action.
- Review the procedures in relation to the prevention, detection, reporting and investigation of bribery and fraud.
- Review and monitor policy and process to manage conflicts of interest amongst elected members, local board members, management, staff, consultants and contractors.
- Review reports from the Risk, Internal Audit, Integrity and Investigations, external audit and management related to whistle blower, ethics, bribery and fraud related incidents.
Statutory Reporting

Review and monitor the integrity of the interim and annual report including statutory financial statements and any other formal announcements relating to the council’s financial performance, focusing particularly on:

- compliance with, and the appropriate application of, relevant accounting policies, practices and accounting standards
- compliance with applicable legal requirements relevant to statutory reporting
- the consistency of application of accounting policies, across reporting periods, and the Auckland Council group
- changes to accounting policies and practices that may affect the way that accounts are presented
- any decisions involving significant judgement, estimation or uncertainty
- the extent to which financial statements are affected by any unusual transactions and the manner in which they are disclosed
- the disclosure of contingent liabilities and contingent assets
- the clarity of disclosures generally
- the basis for the adoption of the going concern assumption
- significant adjustments resulting from the audit.

External Audit

- Discuss with the external auditor before the audit commences:
  - the nature, scope and fees of the external audit
  - areas of audit focus
  - error and materiality levels.
- Review with the external auditors representations required by elected members and senior management, including representations as to the fraud and integrity control environment.
- Review the external auditors management letter and management responses, and inquire into reasons for any recommendations not acted upon.
- Where required, the chair may ask a senior representative of the Office of the Auditor General to attend the committee meetings to discuss the office’s plans, findings and other matters of mutual interest.

Interaction with Council Controlled Organisations

Other committees dealing with CCO matters may refer matters to the Audit and Risk Committee for review and advice.

This committee will enquire to ensure adequate processes at a governance level exist to identify and manage risks within a CCO. Where an identified risk may impact on Auckland Council or the wider group, the committee will also ensure that all affected entities are aware of and appropriately managing the risk.

The Head of Risk and Head of Internal Audit are responsible for the provision of quality risk, assurance, insurance and ethics and integrity services for all CCOs except Auckland Transport and Watercare (with the exception of insurance services which are provided to Auckland Transport). Auckland Transport and Watercare have their own risk and assurance functions. The Head of Risk and Head of Internal Audit are responsible for monitoring CCO risk and internal audit strategies with respect to risks that are significant to the Auckland Council group.
Annual Report on the work of the committee

The chair of the committee will submit a written review of the performance of the committee to the chief executive on an annual basis. The review will summarise the activities of the committee and how it has contributed to the council’s governance and strategic objectives. The chief executive will place the report on the next available agenda of the governing body.

Membership:

Chairperson (independent): Sue Sheldon
Deputy chairperson: Deputy Mayor Bill Cashmore Cr Greg Sayers

Governing Body members (2): Cr Ross Clow Deputy Mayor Bill Cashmore Cr Richard Hills

Independent members (2): Paul Condor Bruce Robertson

Ex officio: Mayor IMSB Chair (or nominee)*

* expected to attend for matters that are relevant to the IMSB

Quorum: 3 (which must include 2 Governing Body members)

Frequency of Meetings: Quarterly
4.2 COMMUNITY DEVELOPMENT AND SAFETY COMMITTEE

Terms of Reference (Delegations)

Parent committee: Environment and Community Committee

Responsibilities and key projects

The committee is responsible for regional community development and safety, including:

- grants for regional events, arts and cultural organisations
- arts, culture and heritage
- alcohol harm reduction strategy (recommendation to Environment and Community Committee)
- homelessness plan (recommendation to Environment and Community Committee).

Powers

All powers necessary to perform the committee’s responsibilities.

Except:

(a) powers that the Governing Body cannot delegate or has retained to itself (section 2)
(b) where the committee’s responsibility is limited to making a recommendation only
(c) where a matter is the responsibility of another committee
(d) the approval of expenditure that is not contained within approved budgets
(e) the approval of expenditure of more than $2 million
(f) the approval of final policy
(g) deciding significant matters for which there is high public interest and which are controversial
(h) the commissioning of reports on new policy where that policy programme of work has not been approved by the Environment and Community Committee
(i) the power to establish sub-committees.
Membership:

Chairperson: Cr Cathy Casey
Deputy chairperson: Cr Fa’anana Efeso Collins

Members (9):
- Cr Josephine Bartley
- Cr Alf Filipaina
- Cr Richard Hills
- Cr Mike Lee
- Cr Daniel Newman
- Cr Dick Quax
- Cr Sir John Walker
- Cr Wayne Walker
- Cr John Watson

Ex officio:
- Mayor
- Deputy mayor

IMSB appointees (2):
- Tony Kake
- Dennis Kirkwood

Quorum: 6

Frequency of meetings: See page 19-weekly
4.3 STRATEGIC PROCUREMENT COMMITTEE

Terms of Reference (Delegations)

Parent committee: Finance and Performance Committee

Responsibilities

The committee is established to assist the chief executive to undertake the management procedure of ensuring sound procurement processes are followed in relation to procurement of goods and services necessary to deliver on the work programme and operations outlined in the council’s adopted Annual plan.

It will ensure that reasonable purchasing procedures have been followed in awarding contracts and will provide an efficient mechanism for documenting the approvals for those contracts.

Within a framework where contracts are an operational matter delegated to the chief executive, this committee will consider all contracts beyond the chief executive’s financial delegations. The chief executive may refer contracts within his financial delegations which are sensitive or may impact on the reputation of the council.

The chief executive has power to award contracts up to $20 million alone and the power to award contracts up to $22.5 million jointly with the mayor and Finance and Performance Committee chair.

The committee will have responsibility for:
- awarding of contracts of $22.5 million or greater.
- awarding of contracts less than $22.5 million which are sensitive or may impact on the reputation of the council if the chief executive refers the matter to the committee
- oversight over the procurement processes and procedures.

From time to time the committee may advise the chief executive and council on changes to the procurement and contracts probity procedures.

Powers

All powers necessary to perform the committee’s responsibilities.

Except:

(a) powers that the Governing Body cannot delegate or has retained to itself (section 2)

(b) where the committee’s responsibility is limited to making a recommendation only

(c) power to establish sub-committees.
Membership:

Chairperson: Deputy Mayor Bill Cashmore
Deputy chairperson: Cr Ross Clow

Members (85):
Cr Cathy Casey
Cr Linda Cooper
Cr Alf Filipaina

Cr Penny Hulse
Cr Daniel Newman
Cr Greg Sayers

Ex officio: Mayor

Quorum: 4

Frequency of meetings: Monthly.
5 OTHER COMMITTEES

5.1 APPOINTMENTS AND APPOINTMENTS, PERFORMANCE REVIEW AND VALUE FOR MONEY COMMITTEE

Terms of Reference (Delegations)

Responsibilities

The Council Appointments and Performance Review and Value for Money Committee is established to:

1. Review the chief executive’s performance and to recommend to the Governing Body the terms and conditions of the CE’s employment including any performance agreement measures and annual remuneration.

2. Make appointments to Council-Controlled Organisations (CCOs), Council Organisations (COs) and exempt CCOs and COs.

3. Approve policies relating to the appointment of directors and trustees to CCOs and COs.

4. Monitor and report to the Governing Body on the implementation of service delivery reviews required under s17A of the Local Government Act 2002, and the recommendations arising from those reviews.

5. Approve the scheduling of the forward s17A work programme, and recommend to the Governing Body the terms of reference for individual reviews.

6. Request reports on Auckland Council parent and CCO value for money, savings and effectiveness-focused initiatives that are beyond the scope of s17A reviews, and make recommendations on these reports to the Governing Body.

Powers

All powers necessary to perform the committee’s responsibilities.

Except:

(a) powers that the Governing Body cannot delegate or has retained to itself (section 2)

(b) where the committee’s responsibility is limited to making a recommendation only

(c) the power to establish sub-committees.
Membership:

Chairperson: Mayor Phil Goff
Deputy chairperson: Cr Christine Fletcher

Members (45):
Cr Josephine Bartley
Cr Chris Darby
Cr Richard Hills

Ex officio:
Deputy mayor
Chair of the IMSB for responsibilities 2 and 3 to 6 above

Quorum: 34

Frequency of meetings: Monthly
5.2 CIVIL DEFENCE EMERGENCY MANAGEMENT GROUP COMMITTEE

Terms of reference (Delegations)

Responsibilities and powers

The Civil Defence Emergency Management Group Committee is a statutory committee required under S12(1) of the Civil Defence and Emergency Management Act 2002 (CDEM Act) and is responsible for:

- being Auckland’s strategic forum for civil defence and emergency management planning and policy
- establishing an emergency management structure for the Auckland region
- developing, approving, implementing and monitoring the Auckland Civil Defence Emergency Management Group Plan
- developing, approving, implementing and monitoring other relevant strategies and policies relevant to the powers and functions of the Civil Defence and Emergency Management Group as identified in the CDEM Act
- performing the statutory functions of a civil defence emergency management group
- representing Auckland in the development of national emergency management policy including approving relevant policy and legislative submissions to external bodies
- engaging with Local Boards and local board portfolio holders on civil defence and emergency management issues.

The Civil Defence Emergency Management Group Committee will exercise the statutory powers outlined in the Civil Defence Emergency Management Act 2002 and the Auckland Civil Defence Emergency Management Group Plan. The Civil Defence Emergency Management Group Committee is authorised to approve use of the established emergency funding facility provided for emergency management.

Relevant legislation includes but is not limited to:

Civil Defence Emergency Management Act 2002; and
Hazardous Substances and New Organisms Act 1996.

Membership:

Chairperson: Cr Sharon Stewart
Deputy chairperson: Cr John Watson

Members (75):
Cr Josephine Bartley
Cr Ross Clow
Cr Fa'anana Efeso Collins

Ex officio:
Mayor
Deputy mayor
All other councillors without voting rights

IMSB appointees (s 85 (1)):
Dennis Kirkwood
Tau Henare

Quorum: 3

Frequency of meetings: Quarterly
5.3 REGULATORY COMMITTEE

Terms of Reference (Delegations)

Responsibilities

The committee is responsible for regulatory hearings (required by relevant legislation) on behalf of the council. The committee is responsible for appointing independent commissioners to carry out the council’s functions or delegating the appointment power (as set out in the committee’s policy). The committee is responsible for regulatory policy and bylaws. Where the committee’s powers are recommendatory, the committee or the appointee will provide recommendations to the relevant decision-maker.

The committee’s key responsibilities include:

- Decision-making (including through a hearings process) under the Resource Management Act 1991 and related legislation
- hearing and determining objections under the Dog Control Act 1996
- decision-making under the Sale and Supply of Alcohol Act 2012
- hearing and determining matters regarding drainage and works on private land under the Local Government Act 1974 and Local Government Act 2002 (this cannot be sub-delegated)
- hearing and determining matters arising under bylaws
- receiving recommendations from officers and appointing independent hearings commissioners to a pool of commissioners who will be available to make decisions on matters as directed by the Regulatory Committee
- receiving recommendations from officers and deciding who should make a decision on any particular matter including who should sit as hearings commissioners in any particular hearing
- monitoring the performance of regulatory decision-making
- where decisions are appealed or where the committee decides that the council itself should appeal a decision, directing the conduct of any such appeals
- considering and making recommendations to the Governing Body regarding the regulatory and bylaw delegations (including to Local Boards)
- regulatory fees and charges
- recommend bylaws to Governing Body for consultation and adoption
- appointing hearings panels for bylaw matters
- review local board and Auckland water organisation proposed bylaws and recommend to Governing Body
- set regulatory policy and controls, including performing the delegations made by the Governing Body to the former Regulatory and Bylaws Committee, under resolution GB/2012/157 in relation to dogs and GB/2014/121 in relation to alcohol.
- engage with local boards on bylaw development and review
- adopting or amending a policy or policies and making any necessary sub-delegations relating to any of the above areas of responsibility to provide guidance and transparency to those involved.

Not all decisions under the Resource Management Act 1991 and other enactments require a hearing to be held and the term “decision-making” is used to encompass a range of decision-making processes including through a hearing. “Decision-making” includes, but is not limited to, decisions in relation to applications for resource consent, plan changes, notices of requirement, objections, existing use right certificates and certificates of compliance and also includes all necessary related decision-making.
In adopting a policy or policies and making any sub-delegations, the committee must ensure that it retains oversight of decision-making under the Resource Management Act 1991 and that it provides for councillors to be involved in decision-making in appropriate circumstances.

For the avoidance of doubt, these delegations confirm the existing delegations (contained in the chief executive’s Delegations Register) to hearings commissioners and staff relating to decision-making under the RMA and other enactments mentioned below but limits those delegations by requiring them to be exercised as directed by the Regulatory Committee.

**Relevant legislation includes but is not limited to:**

- All Bylaws
- Biosecurity Act 1993
- Building Act 2004
- Dog Control Act 1996
- Fencing of Swimming Pools Act 1987
- Gambling Act 2003; Land Transport Act 1998
- Health Act 1956
- Local Government Act 1974
- Local Government Act 2002
- Local Government (Auckland Council Act) 2009
- Resource Management Act 1991
- Sale and Supply of Alcohol Act 2012
- Waste Minimisation Act 2008
- Maritime Transport Act 1994
- Related Regulations

**Powers**

(i) All powers necessary to perform the committee’s responsibilities.

   **Except:**

   (a) powers that the Governing Body cannot delegate or has retained to itself (section 2)

   (b) where the committee’s responsibility is limited to making a recommendation only.

(ii) Power to establish subcommittees.

**Membership:**

- **Chairperson:** Cr Linda Cooper
- **Deputy chairperson:** Deputy Mayor Bill Cashmore
- **Members (67):** Cr Josephine Bartley Cr Dick Quax
  - Cr Fa’ananana Efeso Collins Cr Sharon Stewart
  - Cr Richard Hills Cr John Watson
  - Cr Daniel Newman Cr Wayne Walker
- **Ex officio:** Mayor
- **IMSB appointees (s 85 (1)):** David Taipari Glenn Wilcox

**Quorum:** 5

**Frequency of meetings:** Monthly
6  JOINT COMMITTEES

6.1  AUCKLAND DOMAIN COMMITTEE

Terms of Reference

Background

The Auckland Domain is an important regional park and also has areas within it managed by the Waitemata Local Board. This committee is set up jointly by the Governing Body and Waitemata Local Board to coordinate decisions relating to the Domain.

Responsibilities

Decision-making responsibility for parks, recreation and community services and activities in Auckland Domain including those anticipated in the Auckland Domain Act 1987, which are the responsibility of the Governing Body or the Waitemata Local Board.

Powers

All powers of the Governing Body and Waitemata Local Board necessary to perform the committee’s responsibilities including those powers conferred on Auckland Council pursuant to the Auckland Domain Act 1987.

Except:

(a) powers that the Governing Body cannot delegate or has retained to itself (section 2)
(b) where a matter is the responsibility of another committee or local board
(c) the approval of expenditure that is not contained within approved budgets
(d) the approval of expenditure of more than $2 million
(e) the approval of final policy
(f) deciding significant matters for which there is high public interest and which are controversial.

Membership:

Chairperson: Cr Mike Lee
(Appointed by Governing Body)
Deputy chairperson: Pippa Coom
(Appointed by Waitemata Local Board)

Members:
Governing Body (2) Cr Linda Cooper Cr Desley Simpson
Waitemata Local Board (2) Shale Chambers Vemoly Tava

Ex officio: Mayor Deputy mayor

IMSB appointees (s 85 (1)): Renata Blair Terence Hohneck

Quorum: Half or majority (see 1.2 Quorum )

Frequency of meetings: Quarterly or as determined by the committee
6.2 HAURAKI GULF FORUM

Terms of Reference

The Hauraki Gulf Forum is established under the Hauraki Gulf Marine Park Act 2000 with the following purpose, functions, powers and membership.

Purpose (Hauraki Gulf Marine Park Act 2000, s 15)

- Integrate the management and, where appropriate, to promote the conservation and management in a sustainable manner, of the natural, historic and physical resources of the Hauraki Gulf, its islands, and catchments, for the benefit and enjoyment of the people and communities of the Gulf and New Zealand.
- Facilitate communication, cooperation, and coordination on matters relating to the statutory functions of the constituent parties in relation of the Hauraki Gulf, its islands and catchments and the forum.
- Recognise the historic, traditional, cultural and spiritual relationship of tangata whenua with the Hauraki Gulf, its islands, and where appropriate, its catchments.

Functions: (Hauraki Gulf Marine Park Act 2000, s 17)

- Prepare a list of strategic issues, determine a priority for action on each issue, and regularly review that list.
- Facilitate and encourage co-ordinated financial planning, where possible, by the constituent parties.
- Obtain, share, and monitor information on the state of the natural and physical resources.
- Receive reports on the completion and implementation of deeds of recognition.
- Require and receive reports from constituent parties on the development and implementation of policies and strategies to address the issues identified under paragraph (a).
- Receive reports from the tangata whenua of the Hauraki Gulf on the development and implementation of iwi management or development plans.
- Prepare and publish, once every 3 years, a report on the state of the environment in the Hauraki Gulf, including information on progress towards integrated management and responses to the issues identified in accordance with paragraph (a).
- Promote and advocate the integrated management and, where appropriate, the sustainable management of the Hauraki Gulf, its islands, and catchments.
- Encourage, share, co-ordinate where appropriate, and disseminate educational and promotional material.
- Liaise with, and receive reports from, persons and groups having an interest in the Hauraki Gulf and business and community interests to promote an interest in the purposes of the forum.
- Commission research into matters relating to the functions of the forum.

When carrying out its functions, the forum must have particular regard to the historic, traditional, cultural, and spiritual relationship of tangata whenua with the natural, historic, and physical resources of the Hauraki Gulf, its islands, and catchments.

Powers (Hauraki Gulf Marine Park Act 2000, s 18):

- consider issues related to its purpose
- receive reports from constituent parties
- make recommendations to constituent parties
advise any person who requests the forum’s advice
commission or undertake those activities that are necessary to achieve its purpose.

The forum must not:
(a) appear before a court or tribunal other than as a witness if called by a party to proceedings
(b) take part in a decision-making process under any enactment other than to advise when requested to do so.

Joint committee (Hauraki Gulf Marine Park Act 2000, s 16)

“(2) The forum consists of the following representatives:
(a) 1 representative appointed by the Minister of Conservation:
(b) 1 representative appointed by the Minister of Fisheries:
(c) 1 representative appointed by the Minister of Maori Affairs:
(ca) 7 representatives appointed by the Auckland Council:
(d) 1 representative appointed by each of the following local authorities:
   (iv) Hauraki District Council:
   (vi) Matamata-Piako District Council:
   (ix) Thames-Coromandel District Council:
   (x) Waikato District Council:
   (xi) Waikato Regional Council:
(e) 6 representatives of the tangata whenua of the Hauraki Gulf and its islands appointed by the Minister, after consultation with the tangata whenua and the Minister of Maori Affairs.

(2A) The representatives appointed in accordance with subsection (2)(ca) must—
(a) be members of —
   (i) the Auckland Council, or
   (ii) a local board of the Auckland Council elected in accordance with the Local Electoral Act 2001 and
(b) include 1 member of each of the Great Barrier Island and Waiheke Island local board”

Auckland Council representatives (5 + 1 alternate):

Members:  
Cr Christine Fletcher  
Cr Richard Hills  
Cr Mike Lee  
Cr Wayne Walker  
Cr John Watson

Alternate:  
Cr Desley Simpson

Quorum:  
Half or majority (see 1.2 Quorum)

Frequency of meetings  
Quarterly or as determined by the forum
7 WORKING PARTIES

7.1 JOINT GOVERNANCE WORKING PARTY

Context
The governance of Auckland Council comprises the mayor and councillors together with twenty-one local boards.

Purpose
The Joint Governance Working Party meets as necessary to consider governance matters of mutual interest to the Governing Body and local boards and to report its findings.

Powers
The working party does not have delegated decision-making powers but reports its findings to local boards and the Governing Body for final decisions.

The Working Party will generally determine its findings by consensus, but where there is division of opinion, this will be noted in its findings and it will be acceptable to record minority views.

Matters are referred to the Working Party by resolution of the Governing Body, or, if the matter is urgent, by the chairperson together with the Chief Executive (or nominee).

Members and meeting procedure
The Joint Governance Working Party has an equal number of governing body and local board members who are appointed by the mayor after calling expressions of interest.

The Working Party may co-opt, or liaise, as it deems necessary on an issue basis. For example, if it is dealing with a rural issue and does not have rural representation, it may invite a rural elected member to participate in order to provide advice.

Meetings will not generally be advertised or open to the public. All elected members who are not members of the working party have the right to attend and listen. They may participate if invited to by the chairperson.

It may liaise with representatives of CCOs and co-governance entities.

Chair and deputy chair
The chairperson and deputy chairperson will be appointed by the mayor. They will not both be governing body members nor both local board members. If both the chairperson and deputy chairperson are absent for a meeting, the meeting will appoint a chairperson for that meeting.

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Membership:

Chairperson: Richard Northey
Deputy chairperson: Cr Linda Cooper

Members: (3+3):
- Cr Cathy Casey
- Cr Daniel Newman
- Cr Wayne Walker
- Angela Dalton
- Phelan Pirie
- Shane Henderson

All other elected members: May attend and listen. May participate at the invitation of the chairperson.

Quorum:

If the total membership is even, one-half of Governing Body members and one-half of local board members otherwise a majority of each.

Frequency of meetings:

As required in order to conduct its business.
7.2 TE TIRITI O WAITANGI / TREATY OF WAITANGI SETTLEMENT WORKING PARTY

Reporting

The Te Tiriti o Waitangi / Treaty of Waitangi Settlement Working Party is accountable to the Governing Body and reports its findings to the Governing Body.

Purpose

The Crown negotiates settlements with iwi on a confidential basis and from time to time invites Council to express its views.

The Te Tiriti o Waitangi / Treaty of Waitangi Settlement Working Party will:

- Consider and make recommendations on the Council’s position in relation to Te Tiriti o Waitangi / Treaty of Waitangi settlements and related matters
- Consider and make recommendations on matters relating to the establishment and on-going implementation of co-managements and other governance arrangements
- Liaise with local boards in whose areas Te Tiriti o Waitangi / Treaty of Waitangi settlement arrangements are being implemented, or being considered
- Liaise with Mana Whenua representatives
- Liaise with the Independent Maori Statutory Board
- Liaise with CCOs on Te Tiriti o Waitangi / Treaty of Waitangi settlement matters
- Liaise with relevant Mana Whenua and Iwi Authorities affected by each Treaty settlement

The Te Tiriti o Waitangi / Treaty of Waitangi Settlement Working Party will have the discretion to invite Ward Councillors, CCO representatives and Local Board representatives of affected areas to participate in its deliberations.

Membership:

Chairperson:
Deputy chairperson:

Members: Cr Linda Cooper Cr John Watson
          Cr Daniel Newman

Ex officio: Mayor Deputy mayor

Quorum: 3

Frequency of meetings: Bi-monthly (on the understanding a meeting will be cancelled if not needed and additional meetings will be called if required)
8 ADVISORY PANELS

Chief liaison councillor: Cr Cathy Casey

8.1 DISABILITY ADVISORY PANEL

Membership:

Chairperson: Philip Patston
Deputy chairperson: Dan Buckingham

Members:
Colleen Brown
Jade Farrar
Mary Schnackenberg

Gemma Stewart
Ursula Thynne
Rachael Peterson

Councillor liaison: Cr Sharon Stewart, Josephine Bartley

8.2 ETHNIC PEOPLES ADVISORY PANEL

Membership:

Chairperson: Sunil Kaushal
Deputy chairperson: Jade Tang-Taylor

Members:
Bill Guan
Naoe Hashimoto
Anita Keestra
Jessica Phuang

Ljubica Mamula-Seadan
Anukool Sathu
Dave Tomu

Councillor liaison: Cr Alf Filipaina
8.3 PACIFIC PEOPLES ADVISORY PANEL

Membership:

Chairperson: Ralph Erika
Deputy chairperson: Caroline Ligi Harris

Members: Afafesae Kibona Manoa Pat Masina
         Cedric Eddie Tuiavii Sefita Alofi Hao'uli
         Helen Tau'au-Filisi Tammy Kingi
         Jordan Knightley

Councillor liaison: Cr Alf Filipaina

8.4 RAINBOW COMMUNITIES ADVISORY PANEL

Membership:

Co-chairperson: Julie Radford-Poupard
Co-chairperson: John Kingi

Members: Aram Wu Diana Rands
         Moira Clunie Bruce Kilmister
         Mark Fisher Audrey Hutcheson
         Lexie Matheson Dave Hati
         Julie Watson

Councillor liaison: Cr Richard Hills

8.5 SENIORS ADVISORY PANEL

Membership:

Chairperson: Janet Clews
Deputy chairperson: David Wong

Members: Judy Blakey Sonny Manuel Niha
         Roger Fowler Joan Lardner-Rivlin
         Mihorei Roberta Te Huia Mary Tunks

Councillor liaison: Cr Daniel Newman
8.6 YOUTH ADVISORY PANEL

Membership:

Chairperson: Veisinia Maka
Deputy chairperson: Damian Pitua

Members:
- Stella Andrews
- Na’or Tal Alfassi Berman
- Julia Caulfield
- Olivia-Cen
- Michael Chushing
- Jack Downs
- Shehara Fank
- Kramer Hoeflich
- Amy Irvine
- Luke Johnson

- Dayeon Lee
- Elja Murphy
- Alexander-Murray
- Soul O’Reilly
- Jacqueline Paul
- Lucy Pearson
- Tremayne Reid
- Star Rawiri
- Kitty-Sun

To be added post 22/03 meeting

Councillor liaison: Cr Fa’anana Efeso Collins
8.7 RURAL ADVISORY PANEL

Purpose:

To identify and communicate to the council the interest and preferences of the rural based industries and rural communities of Auckland in relation to:

- the content of the strategies, policies, plans, and bylaws of the council
- any matter that the panel considers to be of particular interest or concern to the rural based industries and rural communities of Auckland.

To advise the mayor and the council’s Governing Body and local boards of the council processes and mechanisms for engagement with the rural-based industries and communities in Auckland.

To deliver recommendations for accelerating the social, economic, environmental and cultural performance of the rural part of the Auckland Council region.

Scope:

To provide a forum for consideration of issues affecting the rural part of the Auckland Council area and recommendations to the council including (but not limited to):

- driving economic growth
- food and fibre production and associated food and beverage processing (value adding) and equine based activities
- research and development support
- environmental resource issues including quarrying and aggregate production
- ecological, landscape and coastal values
- service delivery
- rural infrastructure, including transport
- biosecurity
- amenities and open space
- transport
- rating.

Membership:

Membership includes one councillor as chair of the panel.

The mayor may appoint the members of the panel in consultation with the chair and lead officer of the panel.

The total number of panel members must be no more than 21. The panel may have a maximum of five elected members to act as conduits to the governing body and local boards.

The membership criteria include expertise in a wide range of the rural sector. Rural Advisory Panel members must be the representatives of rural industries and organisations in Auckland. The members must be Auckland-based with required regional knowledge.

The new panel’s term should end one month prior to the next local government elections in 2019. The membership of the panel may be rolled over for more than one electoral term of three years.
Membership:

Chairperson: Deputy Mayor Bill Cashmore
Deputy chairperson: Cr Greg Sayers
Members: 21 members from rural sector

Frequency of meetings: Two-monthly
8.8 AUCKLAND CITY CENTRE ADVISORY BOARD

Terms of reference

(Excerpt – full terms of reference available as a separate document)

1. These terms of reference set out the roles, responsibilities and working arrangements for the Auckland City Centre Advisory Board.

2. The board is a key advisory body, with no decision-making or autonomous budgetary authority.

3. The board will assist the Auckland Council, specifically the Governing Body and the Waitematā Local Board and Auckland Council Controlled Organisations to oversee and be a key advisor to the Auckland Council on achieving the vision and strategic outcomes of the Auckland Plan, the City Centre Masterplan, the expenditure of the city centre targeted rate and city centre issues.

Membership:

Includes one councillor and one local board member.

The board should include members who can provide expert advice on many areas including transport, landscape, environment and youth sectors. The membership includes a position for Mana Whenua. Representatives from CCOs may be board members without voting rights. The number of the board members should be between 16 and 21 at any time.

The new panel’s term should end one month prior to the next local government elections in 2019. The membership of the panel may be rolled over for more than one electoral term of three years.

Governing Body members: Mayor Phil Goff Cr Mike Lee
Alternate: Cr Chris Darby

Frequency of meetings: Monthly
8.9 HERITAGE ADVISORY PANEL

Purpose

- Provide advice to the council in relation to:
  - the direction and content of strategies, policies and initiatives
  - any matter that the panel considers to be of particular interest or concern to the historic heritage of Auckland.
- To deliver advice for improving the promotion and management of historic heritage of the Auckland region.
- Advise Auckland Council on council processes and mechanisms for engagement with the historic heritage community, including owners of heritage buildings in Auckland.
- To recommend historic heritage expert membership and provide advice to the Auckland Urban Design Panel.

Scope

To provide a forum for the consideration of issues affecting historic heritage of the Auckland region and provide advice to the council.

Priorities

The priorities for the panel include:

- Historic Heritage Plan
- Issues relating to the Unitary Plan
- Council processes
- Input into the Auckland Urban Design Panel.

Membership:

Membership includes one councillor as chair of the panel.

The mayor will appoint the members in consultation with the chair and the lead officer of the panel. The total number of panel members must be no more than 16. The membership criteria include expertise in a wide range of the heritage sector. The members must be Auckland-based or reside in Auckland.

The new panel’s term should end one month prior to the next local government elections in 2019. The membership of the panel may be rolled over for more than one electoral term of three years.

Chairperson: Cr Mike Lee
Deputy chairperson:

Members: 15 members from the heritage sector

Frequency of meetings Quarterly
New appointments to the Youth Advisory Panel

File No.: CP2018/02349

Te take mō te pūrongo / Purpose of the report
1. To note the appointment process for three new candidates to the Youth Advisory Panel.

Whakarāpopototanga matua / Executive summary
2. In February 2018, three Youth Advisory Panel members resigned to pursue their studies outside Auckland.
3. Following these resignations the council began an appointment process to fill in the three vacant positions, which are from the Franklin, Ōrākei and Whau Local Board areas.
4. The three candidates who scored the second highest from the three local board areas during the 2017 selection process have been offered a seat on the Youth Advisory Panel until September 2019 as per the demographic advisory panels’ terms of reference (Attachment A).

Ngā tūtohunga / Recommendation/s
That the Governing Body:
   a) note the appointment process for three candidates to the Youth Advisory Panel.
   b) note that the confidential report presents the candidates’ profiles in detail.

Horopaki / Context
5. On 10 November 2016 the Governing Body established a Youth Advisory Panel with 21 members, one from each of the 21 Auckland local board areas, for the 2016-2019 term of the council (GB/2016/51). On 25 May 2017 the Mayor appointed 21 members with the Governing Body endorsement.
6. The panel’s role is to offer young people’s views on Auckland Council’s regional and strategic agendas and advise on the council’s effective engagement with youth.
7. In February 2018, three Youth Advisory Panel members resigned to pursue their studies outside of Auckland. These members are:
   - Alexander Murray, Franklin Local Board area
   - Olivia Cen, Ōrākei Local Board area
   - Kitty Sun, Whau Local Board area.
8. Following their resignations, the council began an appointment process to fill in the three vacant positions.

Tātaritanga me ngā tohutohu / Analysis and advice
9. The panels’ terms of reference state that ‘the council will appoint the next highly ranked candidates in the selection process should any appointed members decline the appointment offer or decide to leave the panel.’ The terms of reference are attached as Attachment A.
10. Three candidates who scored the second highest from the three local board areas during the 2017 selection process have been offered a seat on the Youth Advisory Panel until September 2019 and have accepted.
11. The three candidates accepted to be on the panel and are currently undergoing Ministry of Justice criminal record checks.

**Ngā whakaaweawe ā-rohe me ngā tirohanga a te poari ā-rohe / Local impacts and local board views**

12. Local boards expect the Youth Advisory Panel to strengthen its ties with local youth, particularly local youth councils.

**Tauākī whakaaweawe Māori / Māori impact statement**

13. The Youth Advisory Panel has been guided by *I Am Auckland: the Children and Young People's Strategic Action Plan*. Goal seven of this plan is rangatahi tū rangatira (all Rangatahi will thrive).

14. In 2017, rangatahi participated in the selection process to share their views and voices on the make-up of the Youth Advisory Panel. The criteria for the selection process included an understanding of the Treaty of Waitangi as one of the key desired competencies.

15. Four Youth Advisory Panel members identify themselves as Māori or of Māori descent. None of the members who resigned are Māori or of Māori descent.

**Ngā ritenga ā-pūtea / Financial implications**

16. The only expense for the appointment process to replace three vacant positions is the fees for the Ministry of Justice criminal history checks, which will be covered from existing budgets.

**Ngā raru tūpono / Risks**

17. The candidates are undergoing criminal history checks. Should a candidate have any previous criminal records, the council may cancel his/her appointment to the panel.

**Ngā koringa ā-muri / Next steps**

18. A confidential report with the profiles of the proposed candidates is on this Governing Body agenda. The report will remain in confidence until the Governing Body endorses the appointments to the panel, and the Ministry of Justice confirms the clearance of the candidates for criminal record checks.

**Ngā tāpirihanga / Attachments**

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<td>Terms of Reference for Demographic Advisory Panels 2016-2019</td>
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<tr>
<th>Author</th>
<th>Austin Kim - Principal Advisor Panels</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authorisers</td>
<td>Marguerite Delbet - General Manager Democracy Services</td>
</tr>
<tr>
<td></td>
<td>Phil Wilson - Governance Director</td>
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<td>Stephen Town - Chief Executive</td>
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Terms of Reference
Auckland Council Demographic Advisory Panels
2016 – 2019

DISABILITY ADVISORY PANEL
ETHNIC PEOPLES ADVISORY PANEL
PACIFIC PEOPLES ADVISORY PANEL
RAINBOW COMMUNITIES ADVISORY PANEL
SENIORS ADVISORY PANEL
YOUTH ADVISORY PANEL
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<td>V 1.0</td>
<td>Mayoral proposal</td>
<td>Governing Body</td>
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<td>V 1.1</td>
<td>Amended as per the Governing Body resolution on 23 March 2017</td>
<td>Governing Body</td>
<td>GB/2017/31</td>
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<td></td>
<td>- the Youth Advisory Panel has three meetings and up to four workshops per year</td>
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<td></td>
<td>- demographic advisory panels will advise on Auckland Council’s “regional” policies, plans and strategies.</td>
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Terms of Reference

The terms of reference set out the purpose, role and protocols of all Auckland Council demographic advisory panels. Panel members abide by the Code of Conduct for members of Auckland Council advisory panels (Appendix A).

Demographic advisory panels

The demographic advisory panels of Auckland Council in the 2016-2019 term are the:

- Disability Advisory Panel
- Ethnic Peoples Advisory Panel
- Pacific Peoples Advisory Panel
- Rainbow Communities Advisory Panel
- Seniors Advisory Panel
- Youth Advisory Panel.

Purpose

As one of council’s engagement mechanisms with diverse communities, the demographic advisory panels provide advice to the governing body and council staff within the remit of the Auckland Plan on the following areas:

- Auckland Council’s regional policies, plans and strategies
- regional and strategic matters including those that Council-Controlled Organisations deal with
- any matter of particular interest or concern to diverse communities.

Outcomes

The panels’ advice will contribute to improving the outcomes of diverse communities and social cohesion as set out in the Auckland Plan. The panels will advise through their agreed strategic agenda and detailed work programme.

Strategic agenda and work programme

The panels must develop a work programme and set a strategic agenda for the term. The agendas should be focused and integrated across the panels for collaborative input into shared agendas, particularly on the Auckland Plan, the Long-term Plan and annual plans.

The panels should advise on council’s organisational strategies relevant to diverse communities, for example, the diversity leadership strategy as part of the Engage and Enable Communities approach.

The governing body and council staff should work with the panels for the development of their strategic agendas and work programme. An appropriate committee will approve the panels’ work programme and any subsequent major changes to it.

Chief liaison councillor and liaison councillors

The mayor appoints a chief liaison councillor and one liaison councillor for each of the six advisory panels.
The role of a chief liaison councillor is to:

- support a more integrated panel approach
- provide connections between the governing body and the panels
- advise the mayor on panel issues.

The role of a liaison councillor is to:

- ensure that the governing body is aware of panels’ feedback on council issues and their advice on diverse communities.
- help align the panels’ strategic agendas with governing body priorities
- actively engage in panel meetings and workshops
- engage with the panel chair and the lead officer for meeting agendas

The panels will mainly engage with the governing body through the environment and community committee meetings or workshops. The panels may also engage with other committees considering regional plans and strategies on which the panels have provided advice.

Selection process

The selection process of panel members is open for applications. The members of the panels are selected on the basis of their:

- individual competencies
- lived experience with relevant diverse communities
- ability to offer policy and strategic advice
- understanding of diverse communities of Auckland
- understanding of Te Tiriti O Waitangi.

Qualification of members is set out in Appendix B.

The mayor appoints panel members with the endorsement of the governing body to give effect to the membership of the panels.

Membership

Each panel has between six and 10 members.

The membership of the Rainbow Communities Advisory Panel in the previous term will continue in the 2016-2019 term. In this instance, the number of members may be more than 10.

The Youth Advisory Panel has 21 members, one the 21 local board areas of Auckland. Members of the Youth Advisory Panel should be aged between 14 and 24 at the time they are appointed. The members of the Youth Advisory Panel are exempt from clause (2)(a) of Appendix B.

Each panel must have at least one member with lived experience in Te Ao Māori and knowledge of the contemporary issues facing Māori communities. The representation of Māori members may not be applicable to the Ethnic Peoples Advisory Panel, Pacific Peoples Advisory Panel or Youth Advisory Panel.
When a panel has less than six members, the council must appoint additional members to meet the minimum number of members. The council may consider appointing previous unsuccessful applicants.

The council will appoint the next highly ranked candidates in the selection process should any appointed members decline the appointment offer or decide to leave the panel.

Auckland Council family staff including CCOs are not eligible to be panel members.

The panels’ term ends one month prior to the next local government elections in 2019.

The membership of a panel member will lapse if one or more of the disqualifying matters set out in Appendix B applies to the panel member.

If a member fails to attend a significant number of meetings, breaches the Code of Conduct or otherwise underperforms in his/her duty as a member, the chair must raise the issue of expectations about performance with the member and if necessary with the General Manager Democracy Services.

Meetings and workshops

Each panel will have a maximum of three formal meetings and up to seven workshops per year with the exception of the Youth Advisory Panel that will have up to four workshops per year, at a time deemed convenient to the majority of members.

Scheduled meetings are open to the public and any elected members of Auckland Council.

Workshops are used for discussion between panel members, governing body members and relevant council staff.

The workshops include integrated panel workshops on shared council agendas, for example, the council’s diversity leadership strategy.

Additional workshops or meetings will be organised in agreement with General Manager Democracy Services to advance the panels’ strategic agenda and work programme depending on the availability of budget.

Quorum

The quorum required for resolutions at a scheduled meeting of the panels will be half the members if the number of members is even, and a majority if the number of members is odd. The quorum includes the chief liaison councillor and liaison councillors.

Meeting protocols

The mayor appoints an interim chair/co-chairs. The panels must then confirm or elect a chair and a deputy chair (or two co-chairs in the case of the Rainbow Communities Advisory Panel) within three months of the establishment of the panels. The chair (or co-chairs) is responsible for chairing all panel meetings and workshops.

The panels may invite presentations from external organisations and individuals in scheduled meetings if the topics are relevant to the panels’ strategic agendas. The chair approves such external presentations in consultation with the liaison councillor and the lead support officer.
The resolutions in each meeting should clearly be shown in meeting minutes. Minutes will be kept for workshops but will not be published.

Community forums

The panels should engage with their communities by organising community forums within an approved budget. Community forums aim to better inform the council of current community voices and to facilitate discussion between the council and diverse communities on council issues. The panels should work with council staff for community forums to complement council’s other engagement mechanisms.

Submissions

The panels must not make formal submissions to Auckland Council on council strategies, policies and plans, for example, the annual plan.

In its advisory role to the council, the panels may have input to submissions made by the council to external organisations but do not make independent submissions, except as agreed with the council.

This does not prevent individual members being party to submissions outside their role as panel members.

Communications

The panels may issue media releases through the council’s communications advisor on council matters or issues of importance to their respective communities. Any media release by a panel requires the approval of the mayoral office.

The panels should refer to the Code of Conduct in the event that a panel member receives a request for panel comment directly from a journalist or media outlet.

Panel resourcing

The council sets an annual budget for the panels.

All panel members are entitled to meeting fees as determined by the council on the basis of the Auckland Council Fees Framework and Expenses Policy for Appointed Members.

The council will reimburse personal expenditure incurred in conducting panel business, in line with the Expenses Policy.

Staff support

The panels are supported by the following council staff.

Governance Director

The Governance Director

- is the executive leadership team member responsible for advisory panels.
- through the General Manager Democracy Services, works with the mayor’s office to create strong links between the panels, the governing body and the organisation
• drives and promotes the council’s engagement with panels through the executive team
• brings panel views on council’s organisational strategy for the consideration of the executive team where appropriate.

**Principal Advisor Panels**

The Principal Advisor Panels:
• ensures appropriate processes and policies are in place for the panels
• supports the Chief Liaison Councillor for panels’ connection with the governing body
• facilitates working across panels
• negotiates and brokers strategic agendas between the panels and the council
• ensures strategic agenda and work programme are signed off by the governing body
• co-ordinates monitoring and reporting of progress on the panels’ strategic agendas
• establishes and oversees processes for communication between the panels and communities
• arranges recruitment and induction of members
• provides a final report on the panels’ achievements at the end of the council term.

**Lead Officer Support**

The Lead Officer Support:
• advises the chair on the strategic agendas
• co-ordinates development of the panels’ strategic agenda and work programme
• follows up on meeting actions and resolutions
• acts as a conduit with relevant parts of organisation for the panels
• supports the liaison councillor
• attends pre-meeting briefings with the chair and liaison councillor
• highlights potential issues and risks
• sits next to the chair in meetings to provide advice as appropriate
• ensures guidance and advice from the panels is clearly captured
• provides subject matter expertise.

**Deputy Lead Officer Support**

The Deputy Lead Officer Support:
• supports the lead officer to develop the panels’ strategic agendas
• updates the panels’ agendas and write necessary reports for panel meetings and workshops
• performs delegated tasks from the Lead Officer Support.

**Communications Advisor**

The Communications Advisor:
• is the panels’ single point of contact for all media activity undertaken by or in collaboration with the panels.
• anticipates and identifies media matters of relevance to the panels and/or related to the panels’ strategic agenda and work programme
• advises the chair of the panels and/or delegated panel spokesperson and relevant support staff in response to any media inquiries
• drafts a media release for the panels on issues approved by the chair and the mayoral office.
Advisor Governance Support

The Advisor Governance Support:
- prepares for meeting agendas and schedule
- arranges panel meetings and workshops
- takes meeting minutes and publishes them online on time
- acts as a first point of contact for panel issues, and refers inquiries or information to relevant council staff.

Review

The form and functioning of the panels may be reviewed prior to or after, the end of the panels’ term in September 2019.
Appendix A: Code of Conduct for members appointed to Advisory Panels

1 Purpose

The Code of Conduct sets out expectations for the general conduct of members of Auckland Council advisory panels.

2 Principles

The principles underlying the expected conduct of members include:

2.1 Honesty and integrity

Members have a duty to act honestly and with integrity at all times.

2.2 Impartiality and accountability

Members should consider issues on their merits, taking into account the views of others. This means co-operating fully and honestly to ensure the best advice is provided to the council.

2.3 Openness

Members should be as open as possible about their actions and advice. This includes having an open mind and a willingness to listen to differing points of view. This means giving reasons for advice given; communicating clearly; not being close-minded and taking personal ownership of comments made publicly.

2.4 Respect

Members should treat others, including staff, with respect at all times. This means not using derogatory terms towards others, or about others, including in public-facing media; not misrepresenting the statements or actions of others (whether they be other individual members, the governing body, local boards, committees or staff); observing the rights of other people; treating people with courtesy, and recognising the different roles others play in local government decision-making.

2.5 Duty to uphold the law

Members should uphold the law and, on all occasions, act in accordance with the trust the public places in them.

2.6 Stewardship

Members should ensure that they and the council use resources prudently and for lawful purposes.
2.7 Leadership

Members should promote and support these principles by example.

3 Relationships

3.1 Chair

The chair (co-chairs in the case of the Rainbow Communities Advisory Panel) is the presiding member at the meetings and is the spokesperson(s) for the panel.

3.2 All members

Members will conduct their dealings with each other in ways that:
- maintain public confidence in the office to which they have been appointed
- are open and honest
- focus on issues rather than personalities.

3.3 Employees of Auckland Council

Members will:
- not do anything which compromises, or could be seen as compromising, the impartiality of an employee
- avoid publicly criticising any employee in any way
- raise concerns about an employee only through the employee's employer.

4 Media

4.1 Spokesperson

The chair is the first point of contact for the official view of the panels on any issue. Where the chair is absent, any matters will be referred to the deputy chair when applicable.

No other member may comment on behalf of the panels without having first obtained the approval of the chair.

4.2 Response to media enquiries

In the event that a panel member receives a request for panel comment directly from a journalist or media outlet, the member is required to forward the request immediately to the panels' assigned communications advisor as well as the panel chairs. Panel members must not respond directly to media without prior agreement.

Where a journalist or media outlet seeks an individual panel member’s views, the panel member will:
- make clear that the views presented represent the personal views of the individual member
- ensure that information presented is consistent with information provided to the panel
- maintain the integrity of the panels and Auckland Council at all times.
4.3 Personal views

Members are free to express a personal view in public or in the media, at any time. When doing so, they should observe the following:

- comments must make clear that they represent a personal view and must not state or imply that they represent the views of the panels
- where a member is making a statement that is contrary to a panel policy, the member must not state or imply that his or her statements represent a majority view
- comments to the media must observe the other expectations of general conduct, e.g. not disclose confidential information, or compromise the impartiality or integrity of staff.

5 Confidential information

If members receive information that is confidential they must ensure it remains confidential. Confidential information is normally deemed to be such because its public release will cause some harm, either to the council or to other parties.

6 Ethics

Members will:

- claim only for legitimate expenses
- not influence, or attempt to influence, any officer or employee to take actions that may benefit the member, or the member’s family or business interests
- not use the resources of the panels for personal business
- not solicit, demand, or request any gift, reward or benefit by virtue of the member’s position.

7 Members’ interests

7.1 Acting in the interests of the advisory panel and the public

Members act in the interests of the panels and not in their own interests.

A financial conflict of interest arises when a member stands to benefit financially, either directly or indirectly, from advice given by the panels.

A non-financial conflict may arise from a personal relationship or association with another organisation or from conduct that indicates prejudice or predetermination. In these situations a member may be influenced by interests that conflict with the duty to act in the best interests of the panels.

Members must declare any private interests or personal benefits relating to their public duties and take steps to resolve any conflicts of interest in such a way that protects the public interest. This means fully disclosing actual or potential conflicts of interest; avoiding any financial or other obligation to any individual or organisation that might reasonably be thought to influence them in the performance of their duties.

8 Complaints
A complaint about a member’s conduct will be made to the chair of the panels in the first instance, who will counsel the member concerned. Alternatively, concerns about the conduct of any member or chairperson may be raised with the General Manager Democracy Services, who will give advice on options available to resolve the concerns.
Appendix B: Qualifications of Members

1. To be a member of the board, a person must
   a. be a natural person, and
   b. consent to being appointed to the board, and
   c. not be disqualified under sub clause (2).

2. The following persons are disqualified from being members:
   a. a person who is under 18 years of age (except for the Youth Advisory Panel)
   b. a person who is an undischarged bankrupt
   c. a person who is prohibited from being a director or promoter of, or being concerned or taking part in the management of, an incorporated or unincorporated body under the Companies Act 1993, or the Securities Act 1978, or the Securities Markets Act 1988, or the Takeovers Act 1993
   d. a person who is subject to a property order under the Protection of Personal and Property Rights Act 1988
   e. a person in respect of whom a personal order has been made under that Act that reflects adversely on the person’s
      i. competence to manage his or her own affairs in relation to his or her property;
      or
      ii. capacity to make or to communicate decisions relating to any particular aspect or aspects of his or her personal care and welfare
   f. a person who has been convicted of an offence punishable by imprisonment for a term of two years or more, or who has been sentenced to imprisonment for any other offence
   g. a current member of Parliament
   h. a current Auckland councillor or current local board member
   i. a current Independent Māori Statutory Board member
   j. a person who is disqualified under another Act.
Summary of Governing Body information memos and briefings - 22 March 2018

File No.: CP2018/00239

Te take mō te pūrongo / Purpose of the report
1. To receive a summary and provide a public record of memos or briefing papers that may have been distributed to Governing Body members.

Whakarāpopototanga matua / Executive summary
2. This is a regular information-only report which aims to provide greater visibility of information circulated to Governing Body members via memo-briefing or other means, where no decisions are required.

3. The following memos/responses were circulated to members:
   - 16/3/18 – World War 1 Mayoral Advisory Group

4. The following workshops/briefings have taken place:
   - 12/3/18 – Auckland Council Staff Policies CONFIDENTIAL
   - 15/3/18 – Code of Conduct

5. This document can be found on the Auckland Council website, at the following link:
   http://infocouncil.aucklandcouncil.govt.nz/
   o at the top of the page, select meeting “Governing Body” from the drop-down tab and click “View”;
   o under ‘Attachments’, select either the HTML or PDF version of the document entitled ‘Extra Attachments’.

6. Note that, unlike an agenda report, staff will not be present to answer questions about the items referred to in this summary. Governing Body members should direct any questions to the authors.

Ngā tūtohunga / Recommendation/s
That the Governing Body:

a) receive the Summary of Governing Body information memos and briefings – 22 March 2018.
Ngā tāpirihanga / Attachments

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<td>Code of Conduct Workshop Minutes <em>(Under Separate Cover)</em></td>
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Ngā kaihaina / Signatories

<table>
<thead>
<tr>
<th>Author</th>
<th>Sarndra O'Toole - Team Leader Governance Advisors</th>
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<tr>
<td>Authoriser</td>
<td>Stephen Town - Chief Executive</td>
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Exclusion of the Public: Local Government Official Information and Meetings Act 1987

That the Governing Body:

a) exclude the public from the following part(s) of the proceedings of this meeting.

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

This resolution is made in reliance on section 48(1)(a) of the Local Government Official Information and Meetings Act 1987 and the particular interest or interests protected by section 6 or section 7 of that Act which would be prejudiced by the holding of the whole or relevant part of the proceedings of the meeting in public, as follows:

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<thead>
<tr>
<th>C1 CONFIDENTIAL: New appointments to the Youth Advisory Panel</th>
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<td>Reason for passing this resolution in relation to each matter</td>
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<td>The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.</td>
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