

# Local Government Excellence Programme

Performance Assessment Framework  
(Territorial Authority version)

2019

# 1

## Instructions and required documentation

### Instructions

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

This version of the PAF is for Territorial Authorities.

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

Use Dropbox to share a copy of the completed document (complete with copies of all required documents listed below, and any supplementary documents) with the assessors **at least two weeks** before the scheduled on-site assessment visit. The CouncilMARK™ Programme Manager will confirm the names and contact details of the two assessors assigned to your assessment.

### Required documentation

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

Required documentation	Date of publication
1. Long-Term Plan	
2. Annual Plan	
3. 30-year Infrastructure Strategy	
4. Financial Strategy	
5. Two examples of current Asset Management Plans	
6. Communications and Engagement Strategy/Plan and Communications and stakeholder audits	
7. Key strategies/policies that are guiding documents (for example economic development strategy, property acquisition and sale policy, media policy)	
8. Annual resident/ratepayer survey	
9. Business satisfaction survey	
10. Two examples of most recently completed Section 17A service reviews	



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<b>Required documentation</b>	<b>Date of publication</b>
11. Two examples of recently completed business cases	
12. Two recent (substantive) examples of management reports to council	
13. Audit report (with any corrective actions)	
14. Risk policy, risk register and risk analysis reporting by senior executive	
15. Example of a community engagement plan	
16. Most recent operational/financial reports sent to elected members	
17. Chief Executive's Performance Agreement	
18. Committee Structure (and names)	
19. Delegations Manual/Document	
<b>Supplementary documentation</b>	<b>Date of publication</b>
1.	
2.	
3.	
4.	
5.	
6.	



# 2

## Council and stakeholder interviews

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The assessors will meet with the Mayor and elected members, the Chief Executive and senior leaders, a broad selection of staff, and selected external stakeholders during the on-site portion of the assessment process. Please provide the names and position/role of all people who will be interviewed in the following table.

A copy of the completed on-site assessment agenda will also be provided.

Interviewees (name and position)	
Mayor and elected members	Role
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Staff	Role
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External stakeholders	Organisation/role
• Māori/iwi representatives (ideally, a group)	
• Business community representatives	
• Community group(s) with whom council has substantial dealings	
• NZTA representative	
• Regional council representative	
•	
•	

# 3

## About Council

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

<b>Population</b> (most recent figure, noting the source)	Reference <a href="#">Statistics New Zealand</a>
<b>Population characteristics</b>	Reference <a href="#">Statistics New Zealand</a>
<b>Council type</b> (Remove those that aren't relevant)	(Reference – <a href="#">CouncilMARK Prospectus</a> ) <input type="checkbox"/> Large metro council (populations 100,000 plus); <input type="checkbox"/> Small metro or large provincial council (populations between 30,000 and 99,999); or <input type="checkbox"/> Small provincial or rural council (populations less than 30,000)
<b>Land area</b> (square km)	Reference <a href="#">Department of Internal Affairs</a>
<b>Transport network</b> (km)	Reference <a href="#">Ministry of Transport</a> Describe road and any other transport infrastructure the council provides
<b>Significant water bodies</b>	List significant waterbodies; lakes, estuaries, rivers
<b>Gross domestic product</b>	
<b>Growth/decline/stable population</b>	



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

**What do you refer to your senior leadership team as (ie Chief Executive and second tier managers)?**

**Does Council have a formal committee that represents the interests of iwi/hapu, ie Māori Standing Committee? If so, what is the name of the group, and what is the purpose/role of the committee?**

Please include an organisational hierarchy in the pack.

# 4

## Performance indicators

### Priority one: Governance, leadership and strategy

Vision, strategy and goals	Indicators
<ol style="list-style-type: none"> <li>1. How was the Council’s vision and overall strategy (for its community as a whole) developed?</li> <li>2. What level of involvement do stakeholders and the public have in determining vision, strategy and goals?</li> <li>3. How well aligned is vision and overall strategy with the community’s interests and goals, and the wider environmental and social context? How often is this tested?</li> <li>4. Is the vision and strategy clearly articulated with measurable goals, and is documentation easily accessible by the public?</li> <li>5. How is vision and strategy used to justify operating plans, work programmes, projects and expenditure?</li> <li>6. How are competing demands assessed and prioritised?</li> </ol>	<ul style="list-style-type: none"> <li>• Vision, overall strategy and goals are coherent, succinct, clearly articulated in the LTP and all other core council documents.</li> <li>• Elected members are actively involved in the development and promotion of the vision, strategy and goals.</li> <li>• Internal and external documentation is explicitly aligned to vision, strategy and goals.</li> <li>• Outcome measures are explicitly linked with strategic goals.</li> <li>• Strategic documents and policies are reviewed regularly.</li> <li>• A mechanism is in place to assess and prioritise projects and proposals.</li> <li>• Formal and informal collaborations with others to set and achieve region-wide goals.</li> </ul>
<p><b>Council self-assessment</b></p>	
<p><b>Assessor comments</b></p>	





Conduct of Council business	Indicators
<p>7. How is 'the business of council' conducted?</p> <p>8. What use is made of committees, and has their effectiveness been reviewed in the last three years?</p> <p>9. To what extent are elected members committed to the tenet of collective responsibility, and how is this demonstrated?</p> <p>10. How are conflicts of interest managed?</p> <p>11. What is the quality of the relationship (confidence, trust and transparency) between elected members, between the Mayor and Chief Executive, and between the elected members and Chief Executive?</p> <p>12. How are major differences/splits that may occur between groups of elected members dealt with?</p>	<ul style="list-style-type: none"> <li>• Elected members are united in their commitment to achieve vision and goals, via agreed strategy.</li> <li>• Committee structures, terms of references and delegations are explicitly documented.</li> <li>• Register of interests and formal conflict of interest process in place.</li> <li>• A mechanism to express and resolve major differences in place.</li> <li>• There is mutual trust and confidence between elected members and management (especially the Chief Executive) to deliver successful community outcomes.</li> <li>• Elected members understand and adhere to the tenet of collective responsibility.</li> <li>• Mayor, elected members and Chief Executive project a publicly-united view on all strategic matters.</li> <li>• Code of Conduct reviewed in the last three years.</li> </ul>
<p><b>Council self-assessment</b></p>	
<p><b>Assessor comments</b></p>	



Professional development of elected members	Indicators
<p>13. Is a formal induction programme in place for elected members that covers governance (role, function, responsibilities); vision, strategy and goals; policies, culture and work practices; and operations?</p> <p>14. What provision is made for the ongoing professional development of elected members, both individually and as a group?</p> <p>15. What process is used to ensure the elected member induction is effective and conveys necessary information?</p>	<ul style="list-style-type: none"><li>• Comprehensive induction programme, covering both governance role and strategic and operational topics is in place.</li><li>• A structured professional development programme is established for all elected members; budget is assigned and programme is delivered.</li><li>• Supplementary professional development options are utilised to support specific needs.</li><li>• All elected members understand the 'governance' role and function, and observe it in practice.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



Performance of elected members	Indicators
<p>16. Have the elected members undertaken a self-assessment and/or an independent assessment (third party evaluation) of their individual and collective 'performance' in the last year. If so, what form did it take and what was learned?</p> <p>17. Has the Mayor sought feedback on his/her performance in the current triennium? If so, what was the feedback?</p>	<ul style="list-style-type: none"> <li>• Structured and independent performance review system in place.</li> <li>• Findings from performance reviews documented, and are discussed amongst elected members, and actioned.</li> </ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	
Chief Executive performance	Indicators
<p>18. How it the Chief Executive's performance agreement aligned with vision, strategy and agreed goals?</p> <p>19. How do elected members both monitor and support the Chief Executive, and hold him/her accountable for performance?</p>	<ul style="list-style-type: none"> <li>• Chief Executive's performance agreement is aligned with the Council's vision, strategy and goals.</li> <li>• Performance of Chief Executive evaluated regularly, at least once a year. Findings are documented.</li> <li>• Structured professional development programme in place for the Chief Executive.</li> </ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



Health and Safety framework	Indicators
<p>20. Are the core principles of health and safety embedded in the organisation?</p> <p>21. Is the health and safety framework fully compliant with legislation?</p> <p>22. What training is provided to ensure the health and safety system is well-understood by both elected members and management?</p> <p>23. What is the quality and frequency of health and safety performance reporting? To whom is this reporting provided?</p>	<ul style="list-style-type: none"><li>• A comprehensive health and safety framework is in place and understood by both elected members and senior management.</li><li>• Regular reporting (minimum quarterly) is provided to elected members, with relevant 'lead and lag' indicators, trend reporting and corrective actions.</li><li>• Health and safety is embedded in the culture of the organisation.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



<b>Advice, reporting and decision-making</b>	<b>Indicators</b>
<p>24. What is the frequency and scope of management reporting?</p> <p>25. In what form is management advice and reporting provided?</p> <p>26. How does management advice and reporting enable informed decisions by elected members?</p> <p>27. Are the decisions of elected members transparent and well-documented?</p> <p>28. How do elected members monitor the implementation of their decisions, and verify whether expected benefits/outcomes are achieved?</p>	<ul style="list-style-type: none"><li>• Regular (monthly) management reporting in place, covering all material operational and financial matters.</li><li>• Reports are well-written, well-structured, well-reasoned, evidence-based and balanced (not pushing a preferred staff option), with explicit references to approved goals and policies.</li><li>• Proposals are understood and critically assessed by elected members, especially for relevance; value-for-money; and alignment with vision, strategy and LTP priorities.</li><li>• Decision-making considers risk in accordance with the significance of the decisions.</li><li>• Formal delegations framework in place.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



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<b>Assessors' recommended grading</b>
<b>Assessors' initial comments on Council's performance</b>
<b>Areas where the Council excels and why</b>
<b>Areas where the Council could improve and why</b>



**Priority two: Financial decision-making and transparency**

Financial strategy and reporting	Indicators
<ol style="list-style-type: none"> <li>1. How is the financial strategy linked to council vision, outcomes and strategic goals (including the infrastructure strategy)?</li> <li>2. Is the financial strategy realistic and suitable to support council priorities and outcomes?</li> <li>3. What financial reports are generated, how often and to whom?</li> <li>4. How is financial data being used to inform spending decisions, monitor and verify performance and forecast future demands?</li> </ol>	<ul style="list-style-type: none"> <li>• Financial strategy is visibly and coherently linked to the vision and overall outcomes, and 30-year infrastructure strategy.</li> <li>• Financial strategy provides relevant context for financial goals including evidence-based analysis, and quantifiable steps for achieving the long-term financial goals.</li> <li>• Financial reports are succinct and enable effective analysis to an appropriate level of detail. Comprehensive explanations of material variances are provided.</li> <li>• Financial performance is reported publicly at least annually, and variances from the budget are explained.</li> <li>• Finance team understands revenue and expenditure drivers, and provides sound and straightforward (jargon-free) advice to both senior management and elected members.</li> <li>• Annual financial results are largely free of significant operating surpluses and capital expenditure carry-forwards.</li> <li>• Capital and operating budgets are clearly linked to strategic goals in the LTP.</li> </ul>
<p><b>Council self-assessment</b></p>	
<p><b>Assessor comments</b></p>	



Audit, risk and control	Indicators
<p>5. Does Council have an audit and risk committee (or equivalent), with independent members and a terms of reference?</p> <p>6. Is an approved risk policy in place that is regularly reviewed?</p> <p>7. How are significant risks identified, recorded and mitigated?</p> <p>8. Do elected members understand, monitor and take responsibility for significant risks?</p> <p>9. Is the risk register regularly updated?</p>	<ul style="list-style-type: none"><li>• An audit and risk committee is operating, with suitable expertise and independent member(s). Appropriate independent advice (eg treasury) is sought when needed.</li><li>• Risk policy (including risk appetite statement) in place.</li><li>• Risk register in use; material risks are measured, prioritised, mitigated and reported quarterly. Economic trade-offs between mitigation and non-mitigation are documented and reported.</li><li>• Elected members understand and actively manage significant risks.</li><li>• Financial management is substantively compliant with Office of the Auditor-General standards and guidelines, especially in relation to purchasing/contracting.</li><li>• Issues of financial probity dealt with to the highest standards, especially registers of elected member interests and conflicts.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	





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Budgeting	Indicators
10. How are annual budgets set? 11. Is the annual budget balanced or unbalanced due to specific circumstances; and is the basis documented and explained? 12. Are the budgets financially sustainable?	<ul style="list-style-type: none"><li>• Budgets for each activity area are zero-based.</li><li>• If budget is unbalanced, reasons are explained in plain language.</li><li>• Budgets are presented in a format that is readily understood by non-technical readers (especially elected members and senior managers).</li><li>• Budgets have regard for past financial performance, such as areas of consistent under-spending or over-spending in activities.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



Financial position	Indicators
<p>13. Is the Council's level of debt aligned to its growth and the capacity of its ratepayers?</p> <p>14. Does Council have a recognised credit rating, or has it been deemed prudent not to do so? What is basis for decision?</p> <p>15. In the last three years, has an adverse, disclaimer or qualified opinion been given to the annual plan, LTP or annual report? If so, what action was taken?</p> <p>16. Have any issues raised in audit management letters been resolved in a timely manner?</p> <p>17. What processes are in place to manage debtors and rates arrears?</p>	<ul style="list-style-type: none"><li>• No unnecessary cash reserves held.</li><li>• Levels of debt have regard to inter-generational equity between ratepayers.</li><li>• Fiscal benchmark requirements met.</li><li>• Any audit report qualifications are quickly and effectively resolved.</li><li>• All issues identified in audit management letters are resolved satisfactorily.</li><li>• Aged debt (90-plus days) is actively managed down.</li><li>• Process in place to regularly review, and where appropriate dispose of non-strategic assets.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



Transparency	Indicators
<p>18. Is the rates-setting process published publicly?</p> <p>19. Is rates information easily accessible and understandable by all ratepayers?</p> <p>20. Is financial performance information readily available online, and presented in a manner that is easily understood by the public?</p> <p>21. What approach is used to ensure 'best value' procurement?</p> <p>22. Is information about major contracts published online?</p>	<ul style="list-style-type: none"><li>• Empirical data is used to justify all rates demands, especially targeted rates.</li><li>• Straightforward language is used to report and justify rates and user charges.</li><li>• Cost-allocation decisions (eg user charges) are driven by strategic and operational priorities, not political expediency.</li><li>• Debt and financing costs are equitably shared between current and future generations.</li><li>• Capital expenditure is reported comprehensively at a major project level.</li><li>• Procurement strategy balances price and non-price attributes to achieve best value for money.</li><li>• Procurement policy and associated documents are maintained and publicly available, including online.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



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<b>Assessors' recommended grading</b>
<b>Assessors' initial comments on Council's performance</b>
<b>Areas where the Council excels and why</b>
<b>Areas where the Council could improve and why</b>



### Priority three: Service delivery and asset management

Aligning services with vision and strategic outcomes	Indicators
<ol style="list-style-type: none"><li>1. How are core service delivery strategies linked with vision, overall strategy and goals, for the achievement of community outcomes?</li><li>2. Are linkages explicitly summarised and explained in public documentation?</li><li>3. How is Council responding to potential consequences of climatic change and other locally-relevant environmental considerations?</li></ol>	<ul style="list-style-type: none"><li>• Strategies are in place for all core activities (infrastructure; property, land and buildings; community services; regulatory compliance and enforcement).</li><li>• Current state and desired future state of all services is identified and clearly documented.</li><li>• Strategies are interlinked both internally, and with relevant external entities (other councils, NZTA, etc).</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



Determining and monitoring service levels	Indicators
4. How are service levels determined and communicated? 5. How is service performance monitored, reported and improved?	<ul style="list-style-type: none"><li>• Service levels are based on an effective mix of quality, timeliness and value for money. Service levels reference appropriate benchmarks.</li><li>• Performance trends are monitored and reported over a sustained period of time, and Council can demonstrate upward improvement trends.</li><li>• Survey results are credible, publicly reported and used to inform decision-making and make adjustments as appropriate.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



People capability, capacity and culture	Indicators
<p>6. How does the Council ensure it has the appropriate capability and capacity to deliver services at agreed levels now and in the future?</p> <p>7. What arrangements are in place for staff development and succession planning?</p> <p>8. How is staff performance assessed?</p> <p>9. What form of staff engagement surveys are conducted and how are the results actioned?</p>	<ul style="list-style-type: none"><li>• Effective resource planning systems in place.</li><li>• Sufficient skills and capacity available to deliver on plans, through an effective mix of internal and external resources.</li><li>• Appropriate training and development plans and tools in place and in use (for all staff).</li><li>• Recognised and independent process used to diagnose organisational culture.</li><li>• Engagement results are shared with staff, prioritised for action, and changes monitored and reported.</li><li>• Engagement and other results demonstrate a strong and cohesive team culture.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



Asset management	Indicators
<p>10. Are management plans in place for all major asset categories (3 Waters, roads, property, buildings, etc), and how are they aligned to overall vision, strategy and goals?</p> <p>11. What systems are in place for effective monitoring and maintenance of assets, to ensure agreed service levels are delivered?</p> <p>12. What benchmarks are used to measure asset condition and performance?</p> <p>13. Is asset condition explicitly reconciled with strategy and service level goals?</p>	<ul style="list-style-type: none"> <li>• AMPs in place for all asset categories.</li> <li>• AMPs and related technical documents include a plain-English summary; linkages to overall vision, outcomes and infrastructure strategy is explicit.</li> <li>• Asset performance and condition is continuously measured, monitored and reported.</li> <li>• Impact of climatic change (and other significant environmental considerations) on asset condition, and current and future performance, is identified and understood; appropriate mitigations are documented.</li> <li>• Network efficiency and network resilience is understood and measured.</li> <li>• Relevant international accreditations in place.</li> <li>• Condition of assets is regularly assessed and asset condition is reconciled with infrastructure and financial strategies.</li> </ul>
<p><b>Council self-assessment</b></p>	
<p><b>Assessor comments</b></p>	





Three waters	Indicators
<p>14. How are regulatory standards for each service monitored and met?</p> <p>15. What treatment measures are in place for each service to ensure compliance, security and safety to meet current and forecast demands?</p> <p>16. Is the cost of delivering 3 Waters understood and incorporated into financial planning?</p> <p>17. How are community group (eg iwi, business, rural) expectations for 3 Waters services balanced against regulatory requirements?</p> <p>18. Is sufficient capacity in place to meet current and forecast needs? How has future demand been modelled?</p> <p>19. What discharge consents are in place and what will be required in the near future?</p>	<ul style="list-style-type: none"><li>• All drinking water plants meet drinking water standard, supported by appropriate risk management practices.</li><li>• Discharge consents are in place, and future renewals are being effectively planned for.</li><li>• Appropriate use of pricing controls to manage public use of drinking water and waste water.</li><li>• Treatment of stormwater and wastewater discharges meet environmental expectations of community groups and Māori/iwi, as well as regulatory requirements.</li><li>• Network failures are addressed in a timely, financially and environmentally prudent manner.</li><li>• Future demand and capacity of the networks is understood and being planned for within the capital programme.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



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Waste disposal	Indicators
<p>20. What solid waste disposal and minimisation systems are in use?</p> <p>21. How are resident and community group (eg iwi, business, rural) expectations for solid waste services balanced against regulatory requirements?</p> <p>22. Is sufficient capacity in place to meet current and forecast waste needs? How has future demand been modelled?</p>	<ul style="list-style-type: none"><li>• Solid waste systems meet community/iwi environmental expectations, as well as regulatory requirements.</li><li>• Programme to actively minimise solid waste in place.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



Roading and transport	Indicators
<p>23. Is the roading network documented and understood (especially in relation to current and future demand, and changes in usage)?</p> <p>24. What initiatives are in place to increase usage of public transport?</p> <p>25. How are trade-offs between service costs and levels of service assessed?</p> <p>26. How is the effectiveness of the roading network currently measured and performance assessed?</p> <p>27. When was the cost and quality of roading maintenance last reviewed, and what were the findings?</p>	<ul style="list-style-type: none"> <li>• Roading network documentation is comprehensive, complete and up-to-date.</li> <li>• Roads (including bridges) are well-maintained and fit-for-purpose.</li> <li>• Roading maintenance contracts are cost-effective.</li> <li>• Network availability is measured and reported.</li> <li>• Modes of transport are well integrated including public transport (where applicable).</li> <li>• Transport and roads are managed as a system.</li> <li>• Economic value of a road is considered in assessment of maintenance and replacement planning.</li> <li>• Multi-tiered investment plan in place to meet future roading demands.</li> <li>• Key route journeys documented and monitored to ensure quality of journey.</li> <li>• Future demographics are understood and linked to plans.</li> <li>• Spatial planning includes air space and water rights, and consideration of community needs.</li> <li>• There is a well-reasoned view of amenity value.</li> <li>• Spatial policy is supported by sound economic analysis and relevant rights are fully considered and reflected within the District Plan.</li> <li>• A high-quality and well-evidenced land banking strategy is in place.</li> <li>• Civic assets are future-proofed (in case of use change).</li> <li>• National Policy Statement requirements are given effect (or process is in place to do so).</li> </ul>
<p><b>Council self-assessment</b></p>	
<p><b>Assessor comments</b></p>	



Community services	Indicators
<p>28. Does Council have a comprehensive community services strategy and well-being framework, and how is it linked with overall vision and strategy and LTP goals?</p> <p>29. What community services are provided by Council, and to whom, and why?</p> <p>30. What decision-making framework is used to determine whether to add, maintain or divest any particular community service?</p> <p>31. How are service levels determined and monitored?</p> <p>32. How is the cost of providing each community service calculated and are costs published to the community?</p> <p>33. Is the patronage of community services monitored and reported publicly?</p>	<ul style="list-style-type: none"><li>• Service levels and costs for all community facilities are discussed with, and understood by, the community, including the ratings and user charging implications.</li><li>• Patronage and cost of service is measured and reported.</li><li>• Service scope and quality are benchmarked to appropriate standards.</li><li>• Desired demand patterns (of community facilities) understood.</li><li>• There is active consideration of public/private provision of community facilities.</li><li>• A well-being indicator framework has been established with outcomes monitored regularly.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



Regulatory services	Indicators
34. How are regulatory service standards set, monitored and reported? 35. How are regulatory services linked to council outcomes? 36. Are regulatory service standards aligned nationally or regionally?	<ul style="list-style-type: none"> <li>• All regulatory services meet relevant national standards.</li> <li>• The cost of all regulatory services is understood and documented.</li> <li>• Resourcing of each service is appropriate to satisfy community needs, regulatory requirements and economic imperatives.</li> </ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	
Spatial planning	Indicators
37. How does the Council’s RMA, land use and infrastructure, and Land Transport Management Act (LTMA) planning take into account projected demographic changes in the city or district; future infrastructure requirements; natural hazards; and environmental factors (impacts of climatic change, for example)?	<ul style="list-style-type: none"> <li>• Long-term development needs and intentions are understood, defined and documented, with due consideration of population growth/change, and climatic change.</li> <li>• Land use, infrastructure planning, and financial planning is explicitly linked to spatial planning.</li> </ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



Regulatory compliance and enforcement	Indicators
<p>38. Does the Council have a Compliance and Enforcement Strategy?</p> <p>39. How are resourcing decisions for different compliance activities prioritised (eg enforcing consent conditions versus freedom camping)?</p> <p>40. How are different compliance options (eg education versus infringements) determined?</p> <p>41. How is the effectiveness of compliance and enforcement measured and monitored?</p>	<ul style="list-style-type: none"><li>• A comprehensive strategy is in place and is linked to key community outcomes (environmental, public safety, etc).</li><li>• An effective work programme is in place (and documented) for prioritising and actioning compliance activities.</li><li>• Consent applicants clear of what is required of them, and decisions are issued within legislative timeframes.</li><li>• Compliance activities are appropriately resourced and targeted to the most important issues facing the district/city.</li><li>• There is an effective balance between ‘carrot’ (eg public education programmes) and stick (eg prosecution) regulatory options.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



Accountability reporting	Indicators
<p>42. How are actual service delivery levels reported (including comparisons against published strategy and work programme)?</p> <p>43. How does the Council ensure public reporting is readily accessible and presented in an informative and transparent manner?</p> <p>44. Does the Council report on the completion of capital projects (including whether the project was completed on time, budget and scope)?</p> <p>45. How does the Council balance reporting against financial, social, environmental and economic outcomes?</p>	<ul style="list-style-type: none"><li>• Actual performance is clearly articulated in the Annual Report, with effective use of visual elements such as tables and graphs.</li><li>• Annual Report contains comprehensive overview of activities and service performance including multi-year (trend-line) comparisons.</li><li>• Annual Report includes candid summaries of under-performing activities and projects, with corrective actions and/or lessons learned.</li><li>• Capital projects are reported across financial years.</li><li>• Capital project over-runs/under-runs are reported and variances explained.</li><li>• Council uses a variety of financial and non-financial measures to account for performance.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



Capital investments	Indicators
<p>46. What analysis processes are used to inform investment/ownership decisions and capital projects (ie cost of capital analysis, or taking a better business case focus)?</p> <p>47. What formal delegations framework is used, and is it documented and applied consistently?</p> <p>48. What project management methodologies and disciplines are in use to support delivery of projects within budget and time goals?</p> <p>49. Are formal project reviews conducted and reported?</p> <p>50. Are the benefits to be realised from a capital project documented, monitored and reported post-project delivery?</p>	<ul style="list-style-type: none"> <li>• Major capital expenditure decisions (over a documented threshold) are supported by a comprehensive business case, ideally containing essential elements of a better business case (strategic, economic, financial, commercial, management).</li> <li>• All business cases genuinely assess all reasonable options, including doing nothing.</li> <li>• Business case development is facilitated by an accredited Better Business Case Practitioner (or equivalent).</li> <li>• Business cases are robust, and recognised by agencies such as Officer of the Auditor-General and NZTA.</li> <li>• Reputable project management methodology used to deliver capital projects over a documented threshold (including project management, steering/oversight group, detailed project plan, independent quality assurance and reporting framework).</li> <li>• Capital projects are managed by accredited/recognised and independent project managers.</li> <li>• Post-implementation reviews and benefits realisation assessments are undertaken and reported, for all major capital projects.</li> <li>• Major capital projects are individually reported in the Annual Report.</li> </ul>
<p><b>Council self-assessment</b></p>	
<p><b>Assessor comments</b></p>	





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<b>Assessors' recommended grading</b>
<b>Assessors' initial comments on Council's performance</b>
<b>Areas where the Council excels and why</b>
<b>Areas where the Council could improve and why</b>



#### Priority four: Communicating and engaging with the public and business

Communication and engagement	Indicators
<ol style="list-style-type: none"><li>1. Does the Council have a communications strategy that complements its Significance and Engagement Policy?</li><li>2. How do its communication documents align with the Council's vision, goals and strategies?</li><li>3. How does the Council promote two-way communication with its community?</li><li>4. Is the Council's communications and engagement strategy well understood and implemented by elected members and staff?</li></ol>	<ul style="list-style-type: none"><li>• An effective communications strategy that promotes the vision, strategy and values (internally and publicly) is in use.</li><li>• Pro-active, two-way and open system in place for communication, with appropriate mechanisms for both community and staff feedback.</li><li>• Key messages are clearly, unambiguously and consistently articulated in all internal and external messaging across print, social, online and other channels.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



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Reputation	Indicators
5. Is the Council's reputation within the community and with key stakeholders assessed regularly, and if so how? 6. Are reputation survey results segmented by community group?	<ul style="list-style-type: none"><li>• A credible, independent survey mechanism is in use (in addition to public submissions), to understand local needs and preferences, and to determine delivery performance.</li><li>• Survey results are publicly reported, and they are actioned and monitored for improvement.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



Media	Indicators
<p>7. Does the Council have a media and social media strategy?</p> <p>8. Have relevant designated staff and elected members received media training?</p> <p>9. Do the Mayor and Chief Executive meet regularly with media to discuss key matters?</p>	<ul style="list-style-type: none"><li>• Media strategy effectively promotes the key goals and outcomes.</li><li>• Mayor, Chief Executive, other nominated elected members and staff are effective media communicators.</li><li>• Effective media relationships enables the Council to be portrayed in a fair and balanced manner.</li><li>• Social media used for direct communication with selected stakeholders (as appropriate).</li><li>• Effectiveness of communication is monitored and evaluated.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



Engagement with Māori/iwi	Indicators
10. What is the Council’s strategy for engagement with local Māori/iwi? 11. How is the effectiveness of engagement measured? 12. How do iwi participate in local government decision-making?	<ul style="list-style-type: none"><li>• An active stakeholder engagement plan is operating and valued by both council and Māori/iwi.</li><li>• Elected members and managers meet with local Māori/iwi periodically, to gain a shared understanding of current and emerging matters.</li><li>• Engagement is translated into tangible action on mutually-agreed matters of importance.</li><li>• Council provides Māori/iwi tangible opportunities for participation in decision-making.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



Engagement with business sector	Indicators
13. What is the Council's strategy for engagement with the business community? 14. How is the effectiveness of engagement measured?	<ul style="list-style-type: none"><li>• An active stakeholder engagement plan is operating and valued by both council and the business community.</li><li>• Elected members and managers meet with business groups regularly, to gain a shared understanding of current and emerging matters.</li><li>• Engagement is translated into tangible action on mutually-agreed matters of importance.</li><li>• Council provides tangible opportunities for participation in decision-making.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



Engagement with general public	Indicators
<p>15. How does the Council engage with the general public and individual community groups?</p> <p>16. How is the effectiveness of engagement and communication measured?</p> <p>17. How are consultation documents presented and accessed by all sectors of the community?</p> <p>18. What process is used to record information received from community engagement, and how is this used?</p>	<ul style="list-style-type: none"><li>• Elected members and staff meet with community groups according to current and emerging needs and issues.</li><li>• Community consultation is substantive (not merely validating committed decisions).</li><li>• Consultation documents are readily available in a variety of formats, and key information is presented in a straightforward and balanced manner.</li><li>• Council provides tangible opportunities for participation in decision-making.</li><li>• Engagement is translated into tangible action on matters of importance to the business community.</li><li>• Service quality and value for money is prominently addressed in council communications.</li><li>• Complex and/or detailed information is summarised, with effective use of visual aids including graphs and charts.</li><li>• Mandatory statutory information of lesser public interest is provided separately, in appendices.</li></ul>
<b>Council self-assessment</b>	
<b>Assessor comments</b>	



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<b>Assessors' recommended grading</b>
<b>Assessors' initial comments on Council's performance</b>
<b>Areas where the Council excels and why</b>
<b>Areas where the Council could improve and why</b>





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# 5

## Overall comments

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Assessors' recommended CouncilMARK™ rating
Assessors' overall comments