

Audit, Risk & Finance - Updates on Audits for the Year

Report Title Date	Recommendations	Completed Not Started In Progress	Response
BCA Audit 12 December 2018	There were no recommendations and 15 Regulations where general non compliances were detailed	Completed	March 2019 The recommendation was completed in March 2019 as our Building Control Authority Accreditation certificate cannot be issued until all recommendations/non compliances by IANZ have been addressed.
NZTA Investment Audit Report 12 December 2018	Q2 Investigate retentions relating to Contract 693 and 710 to ensure the amounts being held are still valid.	Completed	23/04/20 Response from Wendy Mosley: <i>Contracts 693 and 710 retentions are no longer showing which means they have been dealt with and cleared.</i>
	Q3 a) Implements quality assurance procedures to improve its tender evaluation process	Completed	5/5/20 Response from Shakhin Sharma <i>We have developed a standardized scoring and recording template for tenders and all tenders are evaluated with a member, who is a qualified evaluator.</i>
	Q3 b) Ensures there is a Qualified Proposal Evaluator on the tender evaluation team for all NZ Transport Agency financially assisted contracts with an estimated value exceeding \$200,000.	Completed	<i>Answer per above</i>
	Q4 a) Ensures that all procurement records are held on Council's files.	Completed	5/5/20 Response from Shakhin Sharma <i>All records are saved in the respective council files</i>
	Q4 b) Completes exemption declarations when it considers a road safety audit is not required for a construction period or renewal	In Progress	21/08/20 NTA have a dedicated safety team comprising of four people, who ensure safety audits are done as per NZTA Standards and exemptions from the same where an audit is not required
Recognised Agency Assessment Report (Food) Audit, Risk & Finance 11 September 2019	There were no findings and 6 observations	Completed	March 2019 The Recognised Agency Assessment Report resulted in 6 observations and no findings. All observations were actioned and closed on the second day of the assessment. We received the Recognised Agency certificate as a result of this outcome.
Barker & Associates Report August 2019	Technology:		

Report Title Date	Recommendations	Completed Not Started In Progress	Response
	<ul style="list-style-type: none"> Upgrade the GIS system to align and integrate with new EPlan requirements. 	Completed	GIS launched 7 October 2019 Isoplan completed on current operative district plan Isoplan on Proposed District Plan will be completed as this is developed
	<ul style="list-style-type: none"> Integrate technological systems across Council. 	In Progress	Planners and technical support have been allocated laptops with updated desk arrangements to be able to use these laptops required. Flexi desks purchased for all staff
	<ul style="list-style-type: none"> Provide reliable technology for Council asset management and engineering plan approvals. 	In Progress	Development Engineers in Infrastructure have sought alignment of technology used by customers submitting plans so that updates and training of systems are aligned. Progress through review of engineering standards but generally subject to Infrastructure budgets
	Consultants		
	<ul style="list-style-type: none"> Consolidate the consultant base, based on skills, experience and local knowledge. 	In Progress	Started by Quality Assurance Manager
	<ul style="list-style-type: none"> Contractually bind consultants to delivering quality professional services in a timely and cost certain manner. 	In Progress	Consultants met with in December and January and advised of new templates coming and use of one drive. New agreements being drafted where necessary as they expire
	<ul style="list-style-type: none"> Ensure consultants are briefed and sent resource consents to process promptly (as a minimum within 5 working days of lodgement). 	Completed	Sec 88 check carried out on consents on lodgement which has improved delays in allocation to consultants Consultant's report each week on their capacity
	<ul style="list-style-type: none"> Allocate the management of consultants to other staff members e.g. technical support officers to reduce the workload of team leaders. 	Completed	Resource Consents Team Leader / Principal Planner managing consultants
	<ul style="list-style-type: none"> Ensure clear lines of communication are established between Council staff and consultants. 	Completed	Resource Consents Team Leader / Principal Planner managing consultants
	Consent conditions		
	<ul style="list-style-type: none"> Prepare standardised conditions for common conditions on resource consents 	Completed	Standard condition set for land use and subdivision completed and being used
	<ul style="list-style-type: none"> Compliance and Monitoring team review draft bespoke conditions to ensure they are clear and enforceable 	Completed	All standard conditions reviewed by Compliance and Monitoring
	<ul style="list-style-type: none"> Undertake an annual audit of the standardised conditions and update as necessary 	On-going	Planned for 2021
	<ul style="list-style-type: none"> Nominate a staff member to be responsible for and champion consent conditions 	Completed	Principal Planner (once employed) will continue
	Communication and Customer Service		

Report Title Date	Recommendations	Completed Not Started In Progress	Response
	<ul style="list-style-type: none"> Implement standardised emails to inform customers that their communications have been received and state a clear and realistic timeframe for response. 	In Progress	Template responses being created with better use needed
	<ul style="list-style-type: none"> Implement standardised hours in the day for staff to be available for customer queries with a rotating public duty planner to be available outside of these hours. 	Completed	Current Duty Planner service is being used by CSC and customers with Resource Consent Help Desk to be the next phase of this process
	<ul style="list-style-type: none"> Create consistency in the tone and approach to managing customers to reflect that customers have been listened to, understood and that action will be taken, where appropriate. 	Completed/On-going	Use of template correspondence, staff upskilling, and team culture shift
	<ul style="list-style-type: none"> Ensure information is communicated to customers in plain language avoiding unnecessary planning jargon. 	Completed	Notifying applicant as well as agent so there is transparency to applicant about where they are in the process Decision letters being replaced with simple email and all correspondence being reviewed iteratively
	<ul style="list-style-type: none"> Update KDCs website to better manage communications, specifically include FAQs and links to key statutory documents. 	Completed	FAQs online with remaining webpages for planning updated and uploading imminent
	Templates and Checklist		
	<ul style="list-style-type: none"> Enforce the use of templates and checklists by staff and consultants. 	Completed/On-going	Template reports with conditions available and being used at present by staff and consultants
	<ul style="list-style-type: none"> Review, update, simplify and prepare templates and checklists. 	Completed	<p>New decision and report template for subdivision</p> <p>New notification assessment report template for subdivision/or land use</p> <p>Engineering report (incorporating relevant condition wording)</p> <p>New decision and report template for land use</p> <p>New decision and report template for sec127</p> <p>New decision and report template for sec 125</p> <p>New decision and report template to vary or cancel a consent notice</p> <p>New decision and report template for sec 42a hearing report</p> <p>New Deemed Permitted Boundary Activity templates</p> <p>New Deemed Permitted Marginal Activity template</p> <p>Creation of a new decision and report template for restricted discretionary land use activities in the residential zone to follow</p> <p>Template letters and checklists created/updated</p>

Report Title Date	Recommendations	Completed Not Started In Progress	Response
	<ul style="list-style-type: none"> Undertake an annual audit of the templates and checklists and update as necessary. 	Not started	Templates only just developed so will be looked at next year
	<ul style="list-style-type: none"> Nominate a staff member to be responsible for and 'champion' templates and checklists. 	Completed	Quality Assurance- Joy Hewlett
	<ul style="list-style-type: none"> Utilise the delegations effectively to more evenly distribute workload associated with review and sign off processes 	Completed	Resource Consents Manager, Resource Consents Team Leader, and Principal Planners to share workload as required Resource Consents Manager to obtain delegation for s357A objection to support GM
	<ul style="list-style-type: none"> Identify and deal quickly with low risk consents 	Completed	Checklists and flowcharts for simple consents to assist planners processing the application and final sign off have been developed Process for Deemed Permitted Marginal Activities and fast track consents established and being used.
	<ul style="list-style-type: none"> Use sec88 and s92 as intended in legislation 	Completed	Staff upskilled but on-going issue
	<ul style="list-style-type: none"> Utilise sec88c and 88E to better manage timeframes and applicants' expectations around timeframes and decisions 	Completed	Staff upskilled but on-going issue
	Mentoring and Training		
	<ul style="list-style-type: none"> Support and encourage staff to utilise external NZPI mentoring opportunities. 	In progress	Barkers & Associates have included staff in 2 updates which has been beneficial. Networking opportunities to be investigated
	<ul style="list-style-type: none"> Continue the identification of training programmes and courses for staff in the individual performance development plans. 	In progress	Development plans progressing and competency matrix to be furthered by RC Manager and Quality Assurance Manager In-house training (Know How Tuesday's) as well as online opportunities being used successfully.
	<ul style="list-style-type: none"> Establish a buddy system for graduate and/or new planners starting at KDC to be partnered with more experienced staff members. 	Completed	Senior planners will mentor more junior planners. More nurturing environment with all very senior planners working together and taking an interest in juniors Team leader weekly sessions with all planners to discuss cases and workload for greater support
	<ul style="list-style-type: none"> Develop personalised KPIs for all staff. 	In Progress	New business plan for year at 1 July, Aspirations documented Competencies still to be documented
	Workstream Prioritisation, Workloads and Work-Life Balance		
	<ul style="list-style-type: none"> Clarify essential and non-essential planning tasks based on statutory requirements to guide work prioritisation. 	Completed	Weekly work lists and meetings with Team Leader to support staff prioritising work

Report Title Date	Recommendations	Completed Not Started In Progress	Response
	<ul style="list-style-type: none"> Undertake quarterly strategic forward planning sessions between executive team, managers and team leaders to project focus and allocate resources and timeframes. 	Completed (on-going)	Senior leaders to meet monthly on progress and forward planning Team Leaders/Principal Planners meeting weekly/fortnightly
	<ul style="list-style-type: none"> Create a 'planning team' which combined the consenting and statutory planning functions together. 	Completed	Functioning team with improved structure, support, and atmosphere
	<ul style="list-style-type: none"> Give senior staff delegations to sign off on controlled and restricted discretionary consents 	Completed	Middle peer review eliminated to improve workflow. Delegations have now been distributed
	<ul style="list-style-type: none"> Distribute the delegations 	Completed	Delegations for signoff have been distributed to Principal Planners and Team Leader
	Governance and Management of External Enquiries		
	<ul style="list-style-type: none"> Ensure clarity with respect to the processes for political involvement in planning processes and the answering of enquires 	In progress	GM working with Resource Consent Manager to involve her in reporting for Council
	<ul style="list-style-type: none"> Improve staff education and protocols around responding to enquiries 	In progress	Senior planners allocated to answering calls one day a week however needs to be managed better as less time on consents Resource Consents Help Desk and facilitator to be an on-going evolution to improve this balance
	Geographical Context		
	<ul style="list-style-type: none"> Hold regular whole department meetings in varying locations to share travel, time and distances for staff 	Completed/ Ongoing	Regular quarterly department meetings. New Skype Starleaf and installation of teams has improved communication between policy and planning. Resource Consents Manager with greater presence in Dargaville
	<ul style="list-style-type: none"> Explore other software e.g. Microsoft Teams that enables clear multi office communication via video conferencing. 	Completed	Installed Microsoft teams during lockdown and used frequently
	<ul style="list-style-type: none"> Efficient planning and organisation of site visits and field work across planning teams. 	Completed	Site visits are occurring efficiently. Safe working practices must be considered, and forms completed prior to each site visit. Compliance with health and safety protocols Training and PPE improvements for staff completing site visits
Cyber Security Audit March 2020	<ul style="list-style-type: none"> Develop effective and documented procedures and processes that meet the requirements of the stated Policy and Standards 	In progress	
	<ul style="list-style-type: none"> Develop and maintain information systems risk strategy 	Not started	
	<ul style="list-style-type: none"> Implement formalised IT asset management system for external, hardware and software assets. 	In progress	
	<ul style="list-style-type: none"> Formalise IT network documentation and diagrams 	In progress	

Report Title Date	Recommendations	Completed Not Started In Progress	Response
	<ul style="list-style-type: none"> Develop and maintain information asset register 	In progress	
	<ul style="list-style-type: none"> Develop and maintain information systems standard operating procedures 	Not started	
	<ul style="list-style-type: none"> Develop and maintain information asset register for critical infrastructure 	In progress	
	<ul style="list-style-type: none"> Develop and maintain information asset register for risk 	In progress	
	<ul style="list-style-type: none"> Implement formalised IT user and account management 	In progress	
	<ul style="list-style-type: none"> Replace legacy remote access system 	Not started	Funding provided in LTP
	<ul style="list-style-type: none"> Secure data at rest and at transit 	Not started	
	<ul style="list-style-type: none"> Implement edge or boundary protections for all sites. Intrusion detection and prevention. Web filtering, data exfil, traffic monitoring 	Not started	Funding provided in LTP
	<ul style="list-style-type: none"> Develop and maintain data and system backup and recovery plan 	In progress	
	<ul style="list-style-type: none"> Develop and establish cybersecurity awareness programme for continuous training, education and awareness (TEA) 	In Progress	Outsource to approved 3 rd party vendor, funding provided in LTP
	<ul style="list-style-type: none"> Implements centralised logging and analysis system 	In progress	
	<ul style="list-style-type: none"> Implements centralised vulnerability analysis system 	Not started	
	<ul style="list-style-type: none"> Replace static signature-based endpoint protection with advanced persistent threat protection 	In progress	
	<ul style="list-style-type: none"> Develop and establish cybersecurity incident response plan 	Not started	
	<ul style="list-style-type: none"> Develop effective and documented BCP plans and procedures that meet the requirements of Council when responding to a wide range of scenarios 	In progress	