Local Government Excellence Programme

Performance Assessment Framework (Regional Council version)

2020

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 Regional Councils.

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 three 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. Note the titles of the plans may differ.

Required documentation	Date of publication
1. Long-Term Plan	
2. Annual Plan	
3. 30-year Infrastructure Strategy	
4. State of the Environment report	
5. Regional Pest Management Plan or Biosecurity Plan	
6. Regional Policy Statement	
7. Regional Coastal Management Plan	
8. Regional Air Plan and Regional De-carbonisation Plan	
9. Land and Water Plan including fresh water monitoring	
10. Resilience Plan (may be a Hazard's Mitigation Plan and Climate Adaptation Plan)	

Required documentation	Date of publication
11. Financial Strategy	
12. Two examples of current Asset Management Plans	
13. Regional Land Transport Plan	
14. Annual Report	
15. Communications and Engagement Strategy/Plan and Communications and stakeholder audits	
16. Financial policies e.g. Funding/Financing, Treasury management, Development/Financial contributions	
17. Key strategies/policies that are guiding documents (for example economic development strategy, property acquisition and sale policy, media policy)	
18. Annual resident/ratepayer survey	
19. Business satisfaction survey	
20. Two examples of most recently completed Section 17A service reviews	
21. Two examples of recently completed business cases	
22. Two recent (substantive) examples of management reports to Council	
23. Audit report (with any corrective actions)	
24. Risk policy, risk register and risk analysis reporting by senior executive	
25. Example of a community engagement plan	
26. Most recent operational/financial reports sent to elected members	
27. Chief Executive's Performance Agreement	
28. Committee Structure (and names)	
29. Delegations Manual/Document	
30. Code of Conduct	
31. Two examples of catchment (management) plans	
32. Two examples of bylaws	
Supplementary documentation	**Date of publication**
1. Waste minimisation plan	
2. Contaminated land management	
3. Harbour management	
4. Māori engagement policy and Guiding Principles for Iwi Governance	

2 Council and stakeholder interviews

The assessors will meet with elected members, the Chief Executive and senior leaders, a broad selection of staff, and selected external stakeholders during 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 should also be provided.

Interviewees (name and position)	
Chair and elected members	**Role**
•	
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Staff	**Role**
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External stakeholders	Organisation/role
• Māori/iwi/mana whenua representatives (a group or several interviews, particularly if there is co-governance)	
• Environment, community and industry group(s) with whom Council has substantial dealings (e.g. farmer groups if rural and industry and commerce if urban, and possibly both, and developers)	
• NZTA representative	
• Representatives from one (ideally, more) TLAs	
• MFE representative	
• Department of Conservation representative	
• Maritime NZ or (Marine Pollution Response Service) representative	

3 About Council

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

Population (most recent figure, noting the source)	Reference [Statistics New Zealand](#)
Population characteristics	Reference [Statistics New Zealand](#) Demographics – age, income, ethnicity, household structure
Land area (square km)	Reference [Department of Internal Affairs](#) Urban area (%)
Public Transport network	Include information on public transport services and infrastructure
Significant water bodies	List significant waterbodies; lakes, estuaries, rivers, and include km of stop banks in region, km of coastline
Gross domestic product	
Growth/decline/stable population	

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)?
How do you structure the relationship with iwi/mana whenua/hapu, ie Māori Standing Committee, special staff members, co-governance arrangements, elected members?

Please include an organisational hierarchy in the pack.

4 Performance indicators

Priority one: Governance, leadership and strategy

Vision, strategy and goals	Indicators
1. How was Council's vision and overall strategy (for its community as a whole) developed? 2. What level of involvement do māori, stakeholders and the public have in determining vision, strategy and goals? 3. How well aligned is vision and overall strategy with the community's interests and goals, and the wider environmental and social context? How often is this tested? 4. Is the vision and strategy clearly articulated with measurable goals, and is documentation easily accessible by the public? 5. How is vision and strategy used to justify operating plans, work programmes, projects and expenditure? 6. How are competing demands assessed and prioritised?	• Vision, overall strategy and goals is coherent, succinct, clearly articulated in LTP and all other core Council documents. • Reflects Iwi/mana whenua aspirations for the environment. • Elected members are actively involved in the development and promotion of the vision, strategy and goals. • Internal and external documentation is explicitly aligned to vision, strategy and goals. • National Policy Statements are well integrated into the regional context • Strategic documents and policies are reviewed regularly. • Formal and informal collaborations with territorial authorities and other agencies to set and achieve region-wide goals.
Council self-assessment	
Assessor comments	

Outcome framework	Indicators
7. What is the state of environment for the region? 8. What outcomes are anticipated over the next 3 years, 10 years and 30 years? 9. What level of involvement do māori, stakeholders and the public have in determining these outcome goals? 10. How well aligned is vision and overall strategy with social expectations a licence for industrial or farming activity? 11. Is the statement of goals and interventions clearly stated, and is documentation easily accessible by the public? 12. How is this statement of outcomes used to justify operating plans, work programmes, projects and expenditure? 13. How are competing demands assessed and prioritised?	• Current state and future desired outcomes are clear for all portfolios such as air, freshwater, coastal environment. • These outcomes are stated in appropriate timeframes with appropriate operational plans. • Value for money is considered including regulatory impact and cost benefit of activities. • Elected members are actively involved in the development and promotion of these outcomes. • Internal and external documentation is explicitly aligned to these outcomes. • Strategic documents and policies are reviewed regularly. • Formal and informal collaborations with territorial authorities and other agencies to set and achieve region-wide goals. •
Council self-assessment	
Assessor comments	

Engagement with Māori/iwi/mana whenua	Indicators
14. What is the Council's strategy for engagement with local Māori/iwi/mana whenua? 15. How is the effectiveness of engagement measured? 16. How do iwi/mana whenua participate in local government decision-making?	• An active engagement plan is operating and valued by both Council and Māori/iwi/mana whenua. • Council provides tangible opportunities for participation in decision-making. • Elected members and managers meet with local Māori/iwi/mana whenua periodically, to gain a shared understanding of current and emerging matters. • Council meetings with Māori/iwi/mana whenua on their Marae • Engagement is translated into tangible action on mutually-agreed matters of importance.
Council self-assessment	
Assessor comments	

Conduct of Council business	Indicators
17. How is 'the business of Council' conducted? 18. What use is made of committees, and has their effectiveness been reviewed in the last three years? 19. To what extent are elected members committed to the tenet of collective responsibility, and how is this demonstrated? 20. How are conflicts of interest managed? 21. What is the quality of the relationship (confidence, trust and transparency) between elected members, between the Chair and the Chief Executive, and between the elected members and the Chief Executive?	• Elected members are united in their commitment to achieve vision and goals, via agreed strategy. • Committee structures, terms of references and delegations are explicitly documented. • Register of interests and formal conflict of interest process in place. • A mechanism to express and resolve major differences in place. • There is mutual trust and confidence between elected members and management (especially the Chief Executive) to deliver community outcomes.

22. How are major differences/splits that may occur between groups of elected members dealt with?	• Elected members understand and adhere to the tenet of collective responsibility.
	• Chair, elected members and the Chief Executive project a publicly-united view on all strategic matters.
	• Has the Code of Conduct been reviewed in the last three years.

Council self-assessment

Assessor comments

Professional development of elected members	Indicators
23. 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? 24. What provision is made for the ongoing professional development of elected members, both individually and as a group? 25. What process is used to ensure the elected member induction conveys necessary information and that it is effective?	• Comprehensive induction programme, covering both governance role and strategic and operational topics is in place. • A structured professional development programme is established for all elected members; budget is assigned and programme is delivered. • Supplementary professional development options are utilised to support specific needs and skill/knowledge gaps. • All elected members understand the 'governance' role and function, and observe it in practice. • How is continuous professional development of elected members monitored

Council self-assessment

Assessor comments

Performance of elected members	Indicators
26. 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? 27. Has the Chair sought feedback on his/her performance in the last three years? If so, what was the feedback?	• Structured and independent performance review system in place. • Findings from performance reviews documented, and are discussed amongst elected members, and actioned.
Council self-assessment	
Assessor comments	

Chief Executive performance	Indicators
28. How is the Chief Executive's performance agreement aligned with vision, strategy and agreed goals? 29. How do elected members both monitor and support the Chief Executive, and hold him/her accountable for performance?	• Chief Executive's performance agreement is aligned with the Council's vision, strategy and goals. • Performance indicators are established, documented and monitored. • Performance of the Chief Executive is evaluated regularly, at least once a year. Feedback is obtained from all elected members and external stakeholders. Findings are documented. • Structured professional development programme is in place for the Chief Executive and monitored
Council self-assessment	
Assessor comments	

Health and Safety framework	Indicators
30. Are the core principles of health and safety embedded in the organisation? 31. Is the health and safety framework fully compliant with legislation? 32. What training is provided to ensure the health and safety system is well understood by both elected members, management, staff, contractors? 33. What is the quality and frequency of health and safety performance reporting and auditing? And to whom is this provided? 34. Is there active followup on identified health and safety concerns?	• A comprehensive health and safety framework and hazard management system is in place and understood by both elected members and senior management. • Wellbeing measures are included in the H&S framework. • Regular reporting (minimum quarterly) is provided to elected members, with relevant 'lead and lag' indicators, near miss, trend reporting, investigations (root-cause analysis), preventative and corrective actions. • Health and safety is embedded in the culture of the organisation, with clearly defined accountability at all levels.
Council self-assessment	
Assessor comments	

Advice, reporting and decision-making	Indicators
35. What is the frequency and scope of management reporting? 36. In what form is management advice and reporting provided? 37. How does management advice,reporting and financial analysis enable informed decisions by elected members? 38. Are the decisions of elected members transparent and well-documented? 39. How do elected members monitor the implementation of their decisions, and verify whether expected benefits/outcomes are achieved?	• Regular (monthly) management and performance reporting in place, covering all material operational and financial matters. • Reports are well-written, well-structured, well-reasoned, evidence-based and balanced with explicit references to approved goals and policies. • Proposals are understood and critically assessed by elected members, especially for relevance, value-for-money and alignment with vision, strategy and LTP priorities, and that they meet regulatory requirements. • Decision-making considers risk in accordance with the significance of the decisions. • Formal delegations framework in place.
Council self-assessment	
Assessor comments	

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

Priority two: Financial decision-making and transparency

Financial strategy and reporting	Indicators
1. How is the financial strategy linked to Council vision, outcomes and strategic goals (including the infrastructure strategy)? 2. Is the financial strategy realistic and suitable to support Council priorities and outcomes? 3. What financial reports are generated, how often and to whom? 4. How is financial data and analysis being used to inform spending decisions, monitor and verify performance and forecast future demands?	• Financial strategy is visibly and coherently linked to the vision and overall outcomes, and 30-year infrastructure strategy. • Financial strategy provides relevant context for financial goals including evidence-based analysis, and quantifiable steps for achieving the long-term financial goals. • Financial reports are succinct and enable effective analysis to an appropriate level of detail. Comprehensive explanations of material variances are provided. • Elected members understand and challenge and question management. • Financial performance is publicly reported at least annually and preferably six-monthly, and variances from budget are explained. • Finance team understands revenue and expenditure drivers, and provides sound and straightforward (jargon-free) advice to both senior management and elected members. • Annual financial results are largely free of both significant operating surpluses and capital expenditure carry-forwards. • Capital and operating budgets are clearly linked to strategic goals in the LTP.
Council self-assessment	
Assessor comments	

Audit, risk and control	Indicators
5. Does Council have an audit and risk committee (or equivalent), with independent members and a terms of reference? 6. Is an approved risk policy in place that is regularly reviewed? 7. How are significant risks identified, recorded and mitigated? 8. Do elected members understand, monitor and take responsibility for significant risks? 9. Is the risk register regularly updated?	• An audit and risk committee is operating with suitable expertise and independent member(s). Appropriate independent advice (eg treasury) is sought when needed. • Risk policy (including risk appetite statement) in place. • Risk register in use; material risks are measured, prioritised, mitigated and reported quarterly. Economic trade-offs between mitigation and non-mitigation are documented and reported, and is considered in decision making. • Elected members understand and actively manage significant risks. • Financial management is substantively compliant with Office of the Auditor-General standards and guidelines, especially in relation to purchasing/contracting. • Issues of financial probity dealt with to the highest standards, especially registers of elected member interests and conflicts maintained by Chief Executive or legal counsel.
Council self-assessment	
Assessor comments	

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?	• Budgets for each activity area are zero-based. • If budget is unbalanced, reasons are explained in plain language. • Budgets are presented in a format that is readily understood by non-technical readers (especially elected members and senior managers). • Budgets have regard for past financial performance, such as areas of consistent under-spending or over-spending in activities.
Council self-assessment	
Assessor comments	

Activity costing	Indicators
13. How are activities accounted for and can costs be allocated to those activities? 14. Are the allocated of costs in line with consumption of resources? 15. Are all costs fully absorbed? 16. Is activity costing used in cost benefit analysis and regulatory impact assessments?	• Expenditure can be located by activities and geographies. • Costs are accurately charged to activities. • Costs are fully absorbed. • Activity costs are used in budgeting and cost benefit analysis/ regulatory impact assessments.
Council self-assessment	
Assessor comments	

Financial position	Indicators
17. Is the Council's level of debt aligned to its growth and the capacity of its ratepayers? 18. Does Council have a recognised credit rating, or has it been deemed prudent not to do so? What is basis for decision? 19. 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? 20. Have any issues raised in audit management letters been resolved in a timely manner? 21. What processes are in place to manage debtors and rates arrears?	• No unnecessary cash reserves held. • Levels of debt consider inter-generational equity between ratepayers. • Fiscal benchmark requirements are met. • Any audit report qualifications are quickly and effectively resolved. • All issues identified in audit management letters are resolved satisfactorily. • Aged debt (90- day plus) is actively managed. • Process in place to regularly review, and where appropriate, dispose of non-strategic assets.
Council self-assessment	
Assessor comments	

Endowment management	Indicators
22. Is there professional and arm's length independent governance and management of endowment funds? 23. Are commercial assets recognised as such and managed appropriately? 24. Is there separation of investment and commercial management from the Council activities? 25. Are the funds and other commercial assets managed as an endowment fund, a fund in perpetuity?	• Responsibility for asset management is arm's length from the Council and Councillors. • There is a formal Statement of Investment Performance and Objectives. • Fund objectives are approved by the Council. • There is formal, independent governance with appropriately qualified directors • There is an independent fund monitor and independent investment advisor/consultant.

	• There is a clearly defined distribution rule (e.g. smoothed distributions) or short-term fund that supports revenue distribution when markets fluctuate.
	• Commercial property is treated as an asset class.
Council self-assessment	
Assessor comments	

Asset management	Indicators
26. Are asset management plans (AMP's) in place for all major assets and categories (transport, property, land and buildings, flood protection), 27. What systems are in place for effective monitoring and maintenance of assets, to ensure agreed service levels are delivered? 28. What benchmarks are used to measure asset condition and performance? 29. Is asset condition explicitly reconciled with strategy and service level goals?	• AMP's in place for all asset and service categories. • AMP's and related technical documents include a plan-English summary; linkages to overall vision, outcomes and infrastructure strategy is explicit. • Asset performance and condition is continuously measured, monitored and reported. • Impact of climatic change (and other significant environmental considerations) on asset condition and current and future performance is identified and understood; appropriate mitigations are documented. • Network efficiency and network resilience is understood and measured. • Relevant international accreditations in place. • Condition of assets is regularly assessed, and asset condition is reconciled with infrastructure and financial strategies. • The Council values and manages its intangible assets.
Council self-assessment	
Assessor comments	

Capital investments	Indicators
30. 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)? 31. What formal delegations framework is used, and is it documented and applied consistently? 32. What project management methodologies and disciplines are in use to support delivery of projects within budget and time goals? 33. Are formal project reviews conducted and reported? 34. Are the benefits to be realised from a capital project documented, monitored and reported post-project delivery?	• Major capital expenditure decisions (over a documented threshold) are supported by a comprehensive business case, ideally containing essential elements of a better business case (strategic, economic, financial, commercial, management). • All business cases genuinely assess all reasonable options, including doing nothing. • Business case development is facilitated by an accredited Better Business Case Practitioner (or equivalent). • Business cases are robust and recognised by agencies such as Office of the Auditor-General and NZTA. • An approriate project management methodology is used to deliver capital projects over a documented threshold (including project management, steering/oversight group, detailed project plan, independent quality assurance and reporting framework). • Capital projects are managed by accredited/recognised project managers. • Post-implementation reviews and benefits realisation assessments are undertaken and reported for all major capital projects. • Major capital projects are individually reported in the Annual Report.
Council self-assessment	
Assessor comments	

Transparency	Indicators
35. Is the rates-setting process published publicly? 36. Is rates information easily accessible and understandable by all ratepayers? 37. Is financial performance information readily available online and presented in a manner that is easily understood by the public? 38. What approach is used to ensure 'best value' procurement? 39. Is information about major contracts published online?	• Empirical data is used to justify all rates demands, especially targeted rates. • Straightforward language is used to report and justify rates and user charges. • Cost-allocation decisions (eg user charges) are driven by strategy and operational priorities, not by other reasons. • Debt and financing costs are equitably shared between current and future generations. • Capital expenditure is reported comprehensively for all major projects. • Procurement strategy balances price and non-price attributes to achieve best value for money. • Procurement policy and associated documents are maintained and publicly available, including online.
Council self-assessment	
Assessor comments	

Assessors' recommended grading

Assessors' initial comments on Council's performance

Areas where the Council excels and why

Areas where the Council could improve and why

Priority three: Regulatory and service delivery

Aligning services with vision and strategic outcomes	Indicators
1. How are core service delivery strategies linked with vision, overall strategy and goals, for the achievement of community outcomes? 2. Are linkages explicitly summarised and explained in public documentation? 3. How is Council responding to potential consequences of climatic change and other locally-relevant environmental considerations?	• Strategies are in place for all core activities (infrastructure; property, land and buildings; regulatory compliance and enforcement). • Current state and desired future state of all services is identified and clearly documented. • Strategies are interlinked both internally and with relevant external entities (Territorial Authorities, NZTA, others).
Council self-assessment	
Assessor comments	

Regulatory compliance and enforcement	Indicators
4. Does the Council have a Compliance and Enforcement Strategy? 5. How are resourcing decisions for different compliance activities prioritised? 6. To what extent are timeframes for consenting decisions imposed under RMA legislation achieved? 7. How are different compliance options determined (eg education versus infringements)? 8. How is the effectiveness of compliance and enforcement measured and monitored?	• A comprehensive strategy is in place and is linked to key community outcomes (environmental, public safety, other). • An effective work programme is in place (and documented) for prioritising and actioning compliance activities. • Consent applicants are clear on what is required of them, and decisions are issued within legislative timeframes. • Consent application and compliance monitoring reports are publicly available • Compliance activities are appropriately resourced and targeted to the most important issues facing the region. • There is an effective balance between public education programmes and prosecution regulatory options.

Council self-assessment	
Assessor comments	

Determining and monitoring service levels	**Indicators**
9. How are service levels determined and communicated? 10. How is service performance monitored, reported and improved?	• Service levels are based on an effective mix of quality, timeliness and value for money. Service levels reference appropriate benchmarks. • Performance trends are monitored and reported over a sustained period of time, and Council can demonstrate improvement trends. • Survey results are credible, publicly reported and used to inform decision-making and to make adjustments, as appropriate.
Council self-assessment	
Assessor comments	

People capability, capacity and culture	Indicators
11. How does the Council ensure it has the appropriate capability and capacity to deliver services at agreed levels now and in the future? 12. What arrangements are in place for staff development, key worker risk and succession planning? 13. What diversity and inclusion policies, processes, measures and targets are in place? 14. How is staff performance assessed? 15. What form of staff engagement surveys are conducted and how are the results actioned?	• Effective resource planning systems are in place. • Sufficient skills and capacity is available to deliver on plans, through an effective mix of internal and external resources. • Appropriate training and development plans and tools in place and in use (for all staff). • Chief Executive has a strong commitment to continuously improving the organisational culture and capability. • Recognised and independent process is used to evaluate the organisational culture. • Engagement and diversity results are shared with staff, prioritised for action, and changes are monitored and reported. • Engagement and other results demonstrate a strong and cohesive team culture.
Council self-assessment	
Assessor comments	

Science capacity	Indicators
16. What is your science strategy? 17. What is your capability plan for people, technology, data and analytics? 18. What are the operational components of monitoring? 19. What supporting assets, IT and data do you need? 20. What is your science and digital roadmap for the next five years? 21. How does this align with your regulatory activities?	• A science plan is in place covering all aspects of science activity. • The Chief Scientist or equivalent is part of the leadership team. • There is a clear alignment between regulatory and other activity and the science plan. • There is a clear plan for developing the science infrastructure including data, IT and models. • The workforce is documented and there is a plan for addressing workforce risks. • Technology is used effectively, e.g. in remote monitoring. • All dimensions of the Council's activities are backed by science. • Partnerships have been established with other Councils and with science providers.
Council self-assessment	
Assessor comments	

Environmental regulation, monitoring and reporting	Indicators
22. Where does the Council sit against expected national standards? 23. What is the approach to farm and other polluter behaviour? 24. What is the gap in current versus desired environmental measures? 25. What is the plan to close that gap? 26. What are the institutional and regulatory mechanisms in place to achieve a reduction in environmental damage? 27. How does the Council meet its environmental monitoring and reporting obligations? 28. What systems and processes are in place to ensure breaches are detected and mitigated, and reported?	• There are clear goals in terms of fresh water, sediment levels and nutrient loadings. • There is a pathway to achieve those goals, • There is a regulatory strategy in place that supports that pathway. • The impact on stakeholders of regulation has been measured and assessed in a Regulatory Impact Statement. • There is an appropriate set of regulatory interventions in place. • Integrated farm management plans are in place and being monitored/ audited. • There is appropriate credentialing of any auditors. • There is legitimate expectation that the regulations can be implemented. • Baseline measures have been established. • Quality assurance systems are in place to fulfil statutory requirements, especially National Environmental Monitoring Standards. • There is a strategy for future investment in environmental monitoring and reporting to meet current and emerging obligations. • Environmental performance data is published in a format that is readily accessible to the public (online and in print).
Council self-assessment	
Assessor comments	

Biodiversity	Indicators
29. What is the stock of biodiversity and how is it expected to change over time? 30. Which pests do you prioritise and why? 31. How do you work with others in managing pests/ catchments/ sites of interest? 32. What is your operational capacity? 33. How do you integrate efforts with land-owners, including DOC? 34. How do you develop and leverage any volunteer workforce? 35. What is your strategy to fund biodiversity?	• Council is able to describe and forecast its stock of biodiversity. • Pest management is seen as part of biodiversity. • Areas of high value are clearly recognised and protected. • Investment levels and outcomes are clear and transparent. • There are alliances at a local level to monitor and manage biodiversity, with shared goals. • There is a clear operating model utilising Council, DOC, landowner and volunteer efforts.
Council self-assessment	
Assessor comments	

Clean air and decarbonisation	Indicators
36. How are atmospheric externalities measured and responded to? 37. What expectations do stakeholders have of a decarbonisation strategy? 38. What is the transition strategy for the region?	• No quality air standards are breached. • There is a regional decarbonisation plan. • Other strategies such as the transport strategy support decarbonisation.
Council self-assessment	
Assessor comments	

Freshwater and coasts	Indicators
39. How are waterways, lakes, groundwater, wetlands, coasts and harbours managed? 40. What are the critical issues and how are they articulated? 41. What monitoring regime is in place? 42. How are pollution events managed?	• There are plans including activities, budgets and other resources to improve the health of lakes and waterways. • Institutional arrangements are in place to monitor and manage this change. • There are plans to improve the health of harbours and it is clear what actions are required and when. • There is a monitoring programme and targets.
Council self-assessment	
Assessor comments	

Local resilience	Indicators
43. Are climate change threats clearly recognised? 44. Are adaptation plans in place for those threats? 45. Are all dimensions of local resilience considered (adaptation, roading access, emergency response)	• Climate change threats are known, and the science around the estimation of those threats is up-to-date. • There is up-to-date cost benefit analysis of adaptation plans. • The Council leads emergency management responses. • There is collective buy-in from Councils in the region to emergency management. • Emergency processes are clearly set out and accredited. • Tsunami warning systems are in place • Hazard management has been implemented.

	• Regional and District Councils have integrated flood management plans and responses.
Council self-assessment	
Assessor comments	

Transport	Indicators

46. How is the transport network documented and understood with regard to current and future demand/capacity and changes in usage? 47. What initiatives are in place for increasing use of all forms of public and active transport modes? 48. How does the Council assess trade-offs between cost and levels of service? 49. How does the Council interact with territorial authorities to ensure quality of service goals are achieved? 50. What road safety, access and mobility plans and programmes are in place?	• There is a clear regional transport strategy including modal shifts, freight and passenger vehicle corridors. • There is full consideration of interventions in issues such as congestion. • There is a clear approach to de-carbonisation. • Transport infrastructure and assets (buses, trains, ferries etc) are well-maintained and fit-for-purpose. • Transport maintenance contracts are cost-effective. • Network availability and use is measured and reported. • Modes of transport (public, active modes - cycling, walking, scooters etc) are well integrated. • Public/active transport and roads are managed as a system. • There is close integration with Police, NZTA and territorial authorities on road safety issues. • Economic and social value of public/active transport network is considered in assessment of maintenance and replacement. • Multi-tiered investment plan in place for future public/active transport demands. • Key route journeys documented and monitored to ensure quality of journey. • Customer satisfaction on public transport is high and patronage is growing
Council self-assessment	
Assessor comments	

Regulatory services	Indicators
51. How are the Council's regulatory activities linked to outcomes? 52. How are regulatory service standards set, monitored and reported? 53. Are regulatory service standards aligned nationally or regionally?	• All regulatory services meet national standards. • The cost of all regulatory services is understood,documented and costed. • There is appropriate fee recovery. • Fee recovery is clear and transparent including the cost building blocks behind the charges. • Resourcing of each service is appropriate to satisfy community needs, regulatory requirements; economic imperatives are well aligned and prioritised according to community needs.
Council self-assessment	
Assessor comments	

Spatial planning	Indicators
54. How does the Council's RMA, land use and infrastructure, and Land Transport Management Act (LTMA) planning consider projected demographic changes in the city or district, future infrastructure requirements, natural hazards, availability of productive land and environmental factors including climate change?	• Long-term development needs and intentions are understood, defined and documented, with due consideration given to population growth/change, and climatic change. • Land use, infrastructure planning, and financial planning are explicitly linked to spatial planning. • Future demographics are well understood and linked to plans. • Spatial planning includes air space and water rights, and consideration of regional community needs. • There is a well-evidenced view of amenity value of key community assets including history and heritage. • Spatial policy is supported by sound economic analysis and relevant property rights are fully considered and documented.

	Regional Policy Statement in place and given effect (or process is in place to do so).
Council self-assessment	
Assessor comments	

Economic development	Indicators
55. What economic development activity is undertaken directly or funded from Council revenue? 56. How is that economic activity structured? 57. How does the Council know that it is making a difference?	• The Council has evidence of competitive advantage and of regional capabilities. • Economic development activity happens at arm's length from the Council. • All District Councils have interlocking plans and activities. • Risk is well considered in any activity/ investment. • There are clear criteria assisting decision making on investments and projects. • Equity of outcome is considered in those criteria. • There is a monitoring framework and clear measurement of performance.
Council self-assessment	
Assessor comments	

Assessors' recommended grading

Assessors' initial comments on Council's performance

Areas where the Council excels and why

Areas where the Council could improve and why

Priority four: Communicating and engaging with the public and business

Outcome reporting	Indicators
1. Who is the audience for the State of the Environment? 2. How is the State of the Environment reported? 3. How does the reporting assist investors and other decisions makers outside Council? 4. How well does the report clarify the issues facing the region?	• The State of the Environment is known to all stakeholders. • There is strong awareness of areas of risk and likely future Council responses. •
Council self-assessment	
Assessor comments	

Annual performance reporting	Indicators
5. How are actual service delivery levels reported (including comparisons against published strategy and work programme)? 6. How does the Council ensure public reporting is readily accessible and presented in an informative and transparent manner? 7. Does the Council report on the completion of capital projects (including whether the project was completed on time, budget and scope)?	• Performance is clearly articulated in the Annual Report, with effective use of visual elements such as tables and graphs. • The Annual Report contains a comprehensive overview of activities and service performance including multi-year (trend-line) comparisons. • The Annual Report includes candid summaries of underperforming dimensions of activity. • The Council reports against clearly articulated standards including National Policy Statements.
Council self-assessment	
Assessor comments	

Communication, engagement and stakeholder management	Indicators
8. Who are the key stakeholders for Council? 9. How is the relationship with those stakeholders managed? 10. Does the Council have a communications strategy that complements its Significance and Engagement Policy? 11. How do its communication documents align with the Council's vision, goals and strategies? 12. How does the Council promote two-way communication with its community? 13. Is the Council's communications and engagement strategy well understood and implemented by elected members and staff?	• The Council has identified stakeholders who need to be influenced and has a targeted engagement plan in place for those stakeholders. • Communications reinforce regulatory and other activity. • An effective communications strategy that promotes the vision, strategy and values (internally and publicly) is in use. • Pro-active, two-way and open system is in place for communication, with appropriate mechanisms for both community and staff feedback. • Key messages are clearly, unambiguously and consistently articulated in all internal and external messaging across print, social, online and other channels.
Council self-assessment	
Assessor comments	

Reputation and social licence	Indicators
14. Is the Council's reputation within the community and with key stakeholders assessed regularly, and if so how? 15. Are reputation survey results segmented by community and stakeholder groups?	• There is general acceptance of interventions to reduce environmental harm. • There is full understanding of furture impacts meaning investement decisions can be taken by business and other groups. • There is acceptance of the Council's role as a regulator. • A credible, independent survey mechanism is in use (in addition to public submissions), to understand regional needs and preferences, and to determine delivery performance.

	• Survey results are publicly reported, and they are actioned and monitored for improvement.
Council self-assessment	
Assessor comments	

Media	Indicators
16. Does the Council have a media and social media strategy? 17. Have relevant designated staff and elected members received media training? 18. Do the Chair and Chief Executive regularly meet with media to discuss key matters?	• Media strategy effectively promotes the key goals and outcomes. • Chair, Chief Executive and other nominated elected members and staff are effective media communicators. • Effective media relationships enables the Council to be portrayed in a fair and balanced manner. • Social media used for direct communication with selected stakeholders (as appropriate). • Effectiveness of communication is monitored and evaluated.
Council self-assessment	
Assessor comments	

Engagement with key stakeholders	Indicators
19. What is the Council's strategy for engagement with the business community and other key stakeholder groups (primary sector, industry, environmental organisations, etc)?	• An active stakeholder engagement plan is operating and valued by both Council and relevant business and community groups.

20. How is the effectiveness of engagement measured?	• Elected members and managers meet with business and other stakeholder groups periodically, to gain a shared understanding of current and emerging matters.
	• Engagement is translated into tangible action on mutually-agreed matters of importance.
	• Council provides tangible opportunities for participation in decision-making.
Council self-assessment	
Assessor comments	

Engagement with general public	**Indicators**
21. How does the Council engage with the general public? 22. How is the effectiveness of engagement and communication measured? 23. How are consultation documents presented and accessed by all sectors of the community? 24. What process is used to record information received from community engagement, and how is this used?	• Elected members and staff meet with community groups according to current and emerging needs and issues. • Community consultation is substantive (not merely validating committed decisions). • Evidence of change arising from consultation activity. • Consultation documents are readily available in a variety of formats, and key information is presented in a straightforward and balanced manner. • Council provides tangible opportunities for participation in decision-making. • Engagement is translated into tangible action on matters of importance. • Service quality and value for money is prominently addressed in Council communications. • Complex and/or detailed information is summarised, with effective use of visual aids, such as graphs and charts. • Mandatory statutory information of lesser public interest is provided separately, in appendices.
Council self-assessment	

Assessor comments

Assessors' recommended grading

Assessors' initial comments on Council's performance

Areas where the Council excels and why

Areas where the Council could improve and why

5 Overall comments

Assessors' recommended CouncilMARK™ rating
Assessors' overall comments