

Rangitikei District Council

2018 LTP self-assessment questions

Section 1: Local authority specific risks and issues	
How does the local authority ensure that it has identified the important issues facing the local authority and that sufficient disclosure will be made in the consultation document/LTP to provide meaningful information to the community in order to effectively consult on these issues? (Section 93B).	
Purpose: To assess the extent to which the local authority has identified its important issues and that they will be communicated in the consultation document to enable effective consultation.	
Key questions	Response
1.1 We are aware of the following areas that council has decided to focus on and which the local authority may intend consulting its community on: <ul style="list-style-type: none">• Progress on significant projects• Strategic framework – affordability will continue to be an issue.• Impact of growth in the regions which has been higher than projected.• rural communities about affordability. Discussions with Government about commitment to rural schemes – subsidies to build them.	
1.2 What other issues and/or matters is the local authority facing and still considering whether to consult on and why?	
1.3 What process has the local authority undertaken to date to identify, prioritise / decide whether to consult on these issues and/or matters?	

Section 1: Local authority specific risks and issues

How does the local authority ensure that it has identified the important issues facing the local authority and that sufficient disclosure will be made in the consultation document/LTP to provide meaningful information to the community in order to effectively consult on these issues? (Section 93B).

Purpose: To assess the extent to which the local authority has identified its important issues and that they will be communicated in the consultation document to enable effective consultation.

Key questions	Response
1.4 What processes has the local authority taken to gain assurance the issues and matters outlined in 1.1 are complete and that those in 1.2 and 1.3 will be included/excluded appropriately?	
1.5 How is council planning to disclose the issues/matters in the consultation document in order for the community to provide feedback on the choices it faces in respect of these issues/matters? Is the process different from the process the council took in 2015?	

Section 2: Project Management Processes

How does the local authority ensure that there is clear accountability for the integrity of the information, and for meeting deadlines?

Purpose: To identify if there are any potential risks arising from the way the local authority intends to manage the consultation document/LTP process.

Key questions	Response
<p>2.1 Is the local authority using the same processes for the development of its consultation document/LTP as it has for prior plans?</p> <p>If yes, were there any lessons learnt from the prior process and how has the local authority addressed this?</p> <p>If not, what is the local authority doing that is different?</p>	
<p>2.2 Is the local authority familiar with the most recent SOLGM LTP guides?</p>	
<p>2.3 When did the local authority last complete the SOLGM health check?</p>	
<p>2.4 As a result of considering the SOLGM guides and completing the checklist what areas has the local authority identified that require action?</p> <p>What action is planned to address these areas?</p>	
<p>2.5 Explain how the local authority is approaching the preparation of the consultation document and the LTP?</p> <p>What approach does the local authority propose to develop the information and assumptions underlying the information included in the consultation document?</p>	
<p>2.6 How have responsibilities relating to the LTP project been assigned?</p>	
<p>2.7 How are those with project responsibilities being held accountable?</p>	

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Key questions	Response
2.8 If the local authority has an overall project plan in place how broad is the scope of this plan? Does it capture all the processes and system flows linked to the whole project? If so, how?	
2.9 How has the local authority ensured all those involved in small parts of the project understand how their work contributes to the overall project, including the importance of the coordination and timing of the completion of each part of the project?	
2.10 Has a risk assessment been completed? What risks were identified and what strategies and processes have been put in place to mitigate the identified risks?	
2.11 How has the local authority made certain that everyone involved in the project is clear on their responsibilities and their reporting relationships?	
2.12 Are specific duties and reporting relationships outlined in employee job descriptions or other documentation?	
2.13 How has the local authority made certain that there is clear communication of what is required of each individual involved in the project and by when?	
2.14 Is there a project manager? What are their responsibilities? Who do they report to?	

Section 2: Project Management Processes**How does the local authority ensure that there is clear accountability for the integrity of the information, and for meeting deadlines?**

Purpose: To identify if there are any potential risks arising from the way the local authority intends to manage the consultation document/LTP process.

Key questions	Response
<p>2.15 Have any project monitoring procedures been put in place? What do these procedures consist of?</p> <p>How has the local authority ensured that the monitoring role is carried out effectively by a sufficiently senior staff member (or a management committee) to provide assurance that monitoring will occur and that targets and deadlines will be achieved?</p>	
<p>2.16 Has the local authority obtained any independent quality assurance advice over key elements of the development of the project?</p>	

Section 3: Content of the consultation document and LTP

What controls does the local authority have in place to ensure that the consultation document and LTP contents cover the content requirements of the Act?

Purpose: To consider how the local authority intends to ensure that the contents of the consultation document and LTP are consistent with the requirements of the Local Government Act 2002

Key questions	Response
3.1 What controls does the local authority have in place to ensure that the consultation document and LTP include the information required by the Act?	
3.2 Does the local authority make use of any disclosure checklist? I.e. there are various consultants that have developed checklists for use by the sector. SOLGM has also produced a disclosure checklist, which is included in its Health Check publication. If so, what has the local authority done to ensure the disclosure checklist: <ul style="list-style-type: none">• covers all relevant aspects, and• has been correctly completed?	
3.3 Has the local authority made use of templates during the development process to accumulate information that is required to be disclosed? In what areas have templates been used?	
3.4 Who is responsible for ensuring the information required to be disclosed in the consultation document and the LTP is included in those documents?	
3.5 Is there a review process to ensure all disclosure requirements have been met? How will this process be carried out and by whom?	
3.6 Describe the local authority's quality assurance process to oversee the quality of the consultation document and the LTP document and to ensure coherence and internal consistency of content. Has the process been evaluated to assess its effectiveness?	

Section 4: Governance**Are the governance structures of council effective, open and transparent? (s39(b))**

Purpose: To assess the extent of understanding of roles by elected members and staff in the development of the consultation document/LTP.

Key questions**Response**

4.1 How do the local authority processes (whether changed or not) ensure elected members and staff understand their respective roles in preparing and consulting on the key aspects of the LTP?

4.2 What processes have been put in place to record discussions with stakeholders outside of formally constituted meetings?

Section 5: Activity planning, asset management planning and infrastructure strategy

How will the local authority ensure that the information used in groups of activity and asset management planning is robust and integrated into the LTP?

Purpose: To assess the extent to which activity planning is consistent with the purpose of local government and the levels of service goals, and provides robust underlying information for the LTP.

Key questions	Response
<p>5.1 How has the local authority's infrastructure strategy (IS) changed from the previous LTP? If there are changes, how has the revised strategy been developed? What are the nature of the changes? Have changes to the IS been developed in consultation with elected members?</p>	
<p>5.2 Is the local authority including more than the mandatory activities in its IS? If yes, which activities?</p>	
<p>5.3 Has the local authority been successful in completing the forecast work (maintenance and capital) in its activity and asset management plans to date? If not:</p> <ul style="list-style-type: none">• what were the significant deviations of planned versus actual work undertaken,• what were the causes and what have been the implications? <p>If the local authority has a history of capital expenditure being under budget what has the local authority done to address this issue and to provide comfort that the forecast spending will occur when scheduled to the value budgeted?</p>	

Section 5: Activity planning, asset management planning and infrastructure strategy

How will the local authority ensure that the information used in groups of activity and asset management planning is robust and integrated into the LTP?

Purpose: To assess the extent to which activity planning is consistent with the purpose of local government and the levels of service goals, and provides robust underlying information for the LTP.

Key questions	Response
<p>5.4 Is there a gap between depreciation charged and capital expenditure (both in total and for renewals) over the past 5 years? Can the local authority explain why that gap exists and whether it is justified?</p>	
<p>5.5 How confident is the local authority that its asset data is reliable? Does the local authority have an AMP improvement programme? If so, what progress has the local authority made in respect of the improvement programme? What areas of asset management planning does the local authority consider to be weak or limited?</p>	
<p>5.6 What disclosure is the local authority intending to provide in its LTP and 30 year infrastructure strategy about the reliability of asset condition data and the implications for the accuracy of financial forecasts?</p>	
<p>5.7 What does the local authority do to ensure that critical asset data is complete and up to date at the time the LTP is being prepared?</p>	
<p>5.8 In respect of each asset class covered by the infrastructure strategy what is the local authority's assessment of network performance? Are there any network performance issues? How is the local authority planning to address network performance/how has it assessed the impacts?</p>	
<p>5.9 What is the local authority planning to do to ensure any significant movements since the last valuation are reflected in the opening asset values to be included in the LTP?</p>	

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Key questions	Response
<p>5.10 What has the local authority done to reconfirm or change the service levels since the prior LTP? If the local authority is planning changes to service levels what consultation has been completed? What analysis has been completed to consider the impacts of current levels of service on future generations?</p>	
<p>5.11 What systems and processes does the local authority have to ensure that asset and activity information will flow through into the LTP? Specifically the disclosure requirements outlined in Schedule 10 of the Act, as follows: For each group of activities for each financial year covered by the plan, the local authority needs to disclose the amount of capital expenditure that the authority has budgeted to:</p> <ul style="list-style-type: none">a meet additional demand for an activity; andb improve the level of service; andc replace existing assets.	

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Key questions	Response
<p>5.12 How does the local authority provide information to its communities about the impacts of proposed/determined levels of service?</p> <p>Does the local authority provide information about the cost implications of different levels of service when consulting with the community?</p> <p>Are legislative requirements and environmental standards, to the extent they are relevant in setting minimum service levels, set out clearly for the community?</p> <p>Is the availability of resources, including financial constraints, clearly set out for community consideration?</p>	

Section 6: Financial strategy and financial management systems

How does the local authority ensure that it gives effect to the requirements for financial management, particularly sections 100, 101 and 101A?

Purpose: To assess the extent to which the local authority systems support prudent stewardship and effective use of resources in a manner that promotes the current and future interests of the community.

Key questions	Response
<p>6.1 How has the local authority changed its financial strategy since the previous LTP? If there are changes, how has the revised strategy been developed? What are the nature of the changes?</p>	
<p>6.2 In developing the local authority's financial strategy how has the local authority considered issues of prudence? Has the local authority specifically addressed the requirements of s101(3) of the Act? If any specific prudence concerns have been identified please summarise these issues.</p>	
<p>6.3 How has the local authority taken future generations into account in developing its financial strategy?</p>	
<p>6.4 Have changes to the strategy been developed in consultation with elected members?</p>	
<p>6.5 How does the local authority intend to present its financial strategy to its community to ensure that the effects on services, rates, debt and investments as a result of the local authority's proposals for funding and expenditure are clear (s101A)?</p>	
<p>6.6 Is the local authority using the same budgeting and modelling systems or financial management systems as it did for the prior LTP? If yes, has the local authority made any changes to improve these systems? If not, please describe the budgeting and modelling systems or financial management systems used.</p>	

Section 6: Financial strategy and financial management systems

How does the local authority ensure that it gives effect to the requirements for financial management, particularly sections 100, 101 and 101A?

6.7 Does the local authority's budgeting and modelling systems or financial management systems have controls in place to ensure that it addresses matters of prudence and the current and future interests of the community?
What controls are in place to ensure that limits and criteria set in policies are not breached?

6.8 Is the local authority taking the same process to develop its key forecasting assumptions?
Are there any significant changes to the proposed key forecasting assumptions that the local authority has identified?

6.9 What quality assurance processes has the local authority put in place to ensure the financial model and the financial strategy and information/summary of the financial strategy are high quality and consistently presented?

Section 7: Performance management and reporting information

How does the local authority ensure that it is giving effect to the requirements in the Act to identify the community outcomes that it aims to achieve, to assess its performance and be able to provide meaningful information to the community?

Purpose: To establish that the local authority generates forecast service performance information in the LTP which is relevant, reliable, complete, meaningful and comparable, and will allow the local authority to effectively identify community outcomes and monitor and report on the performance and impact of its activities.

Key questions

Response

7.1 Is the local authority planning on revising the performance framework it has used in prior plans?
If so, please describe the local authority's approach to setting community outcomes, performance goals, levels of service, performance measures and performance targets, and to monitoring and reporting achievements against these.
We expect the structure of performance information in the LTP to clearly show:

- *a clear link between community outcomes and the group of activities to which they primarily contribute;*
- *the services that will be carried out and why;*
- *the service levels required to meet the needs of its communities or other duties and intentions of council; and*
- *the planned level of service intended to be achieved.*

7.2 How will the local authority ensure that its presentation of the outcomes, levels of service, the performance measures and targets in the LTP allow the community to readily understand them?

Section 7: Performance management and reporting information

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Purpose: To establish that the local authority generates forecast service performance information in the LTP which is relevant, reliable, complete, meaningful and comparable, and will allow the local authority to effectively identify community outcomes and monitor and report on the performance and impact of its activities.

Key questions

Response

7.3 Does the local authority have a split in its performance measurement system to ensure:

- an appropriate level of monitoring occurs for all of the local authority's activity, but also
- an appropriate level of detail is presented in its public reporting, that is, LTP and annual report?

Has the local authority considered the volume of measures to be included in the LTP and how to ensure these are reasonable measures to inform the user of the local authority performance?

7.4 Is the local authority updating or developing new systems to monitor and report (in the annual report) against its performance measures and targets? *Local authorities should have processes in place as they develop the LTP that will enable future reporting of results.*

7.5 Has the local authority considered if its framework will enable it to meet the reporting requirements of the Act?
Will it be able to report against the requirements of clauses 23 and 25 of Schedule 10 in subsequent annual reports?

7.6 How does the local authority ensure that the forecast performance information presented in the LTP is consistent with the underlying forecast financial information?

Section 8: Legislative compliance**What is the local authority planning to do to ensure key legislation (including the LGA and LGRA) are complied with?**

Purpose: To understand what processes and controls the local authority has in place to ensure it is fulfilling its statutory and regulatory obligations.

Key questions**Response**

8.1 How will the local authority ensure key legislative and regulatory requirements are complied with when preparing the consultation document and LTP?

8.2 Describe any new rates that the local authority is considering.