

Notice of Meeting:

I hereby give notice that an ordinary Meeting of the Council will be held on:

Date: Thursday 28 June 2018
Time: 9.30am
Meeting Room: Council Chamber
Venue: Municipal Building, Garden Place, Hamilton

Richard Briggs
Chief Executive

Council
OPEN AGENDA
Item 15: Waikato Plan Review
and
Item 16: Resolution to Exclude the Public

Membership

Chairperson	Mayor A King
Deputy Chairperson	Deputy Mayor M Gallagher
Members	Cr M Bunting
	Cr J R Casson
	Cr S Henry
	Cr D Macpherson
	Cr G Mallett
	Cr A O'Leary
	Cr R Pascoe
	Cr P Southgate
	Cr G Taylor
	Cr L Tooman
	Cr R Hamilton

Quorum: A majority of members (including vacancies)

Meeting Frequency: Monthly – or as required

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Governance Manager

25 June 2018

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Council Report

Item 15

Committee: Council
Author: Blair Bowcott
Position: Executive Director Special Projects
Date: 28 June 2018
Authoriser: Blair Bowcott
Position: Executive Director Special Projects
Report Name: Waikato Plan Review

Report Status	<i>Open</i>
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Purpose

- To respond to the Council's resolutions relating to the Waikato Plan, from 27 July 2017:
 - That the membership of the Leadership Group will be reviewed within 12 months of the adoption of the Waikato Plan, with the aim of reducing the number of members to 12; and
 - That Council reviews its ongoing participation in the Waikato Plan by 30 June 2018, taking into consideration the progress against outcomes achieved by the Plan following adoption, external funding contribution targets being achieved (25% for 2018/19 and 50% for 2019/20 and future years) and other key partners' feedback.
- To inform the Council on options for the future of the Waikato Plan as set out in an Independent Review by McGredy Winder.
- To seek a decision on Council's continued involvement in Waikato Plan implementation, including continued membership of the Waikato Plan Leadership Group, in light of the recommendations of the McGredy Winder report and the support and adoption of these recommendations or otherwise by the other councils, stakeholders and the Waikato Plan Leadership Group.

Staff Recommendation

- That the Council:
 - supports the recommendations of the McGredy Winder report to amend the Waikato Plan Leadership Group Terms of Reference and to re-shape the project management, programme development, business case and funding arrangements for the Waikato Plan;
 - confirms that Hamilton City Council will continue to participate in the Waikato Plan subject to the substantive recommendations of the McGredy Winder report being supported and adopted by the other partner councils, stakeholders and the Waikato Plan Leadership group;
 - delegates the Chief Executive to commence immediate negotiations with other partner councils, stakeholders and the Waikato Plan Leadership Group to implement the amendments and agree a transition for the Waikato Plan in accordance with the substantive recommendations of the McGredy Winder report;

- d) notes that under the model proposed in the McGredy Winder report that Hamilton City Council makes no financial contribution to the core project manager, programme and business case development of the Waikato Plan;
- e) approves Hamilton City Council's withdrawal from the Waikato Plan should the other partner councils, stakeholders and Waikato Plan Leadership Group not agree with the substantive recommendations of the McGredy Winder report and that if a transition plan is not finalised in a timely manner to the satisfaction of the CEO;
- f) confirms HCC's representative on the Leadership Group as being the Mayor or the Mayor's Nominee; and
- g) notes that amended Terms of Reference for the Waikato Plan Leadership Group (as per the McGredy Winder report) will come back to Council for approval in due course.

Executive Summary

5. The Hamilton City Council resolutions of 27 July 2017 sought a review of the Waikato Plan Leadership Group within 12 months of the adoption of the Waikato Plan, and a review of HCC's ongoing participation in the Waikato Plan against outcomes achieved by the Plan. HCC's elected representative on the Leadership Group (the Mayor) has expressed frustration at the Waikato Plan Leadership Group meetings at the lack of progress and effectiveness of the Waikato Plan to date, and concerns regarding the significant costs to support the administration of the Waikato Plan. Concerns have also been raised regarding the amount of time it has taken to get the Waikato Plan implementation underway.
6. In response to concerns, an independent review of the Waikato Plan implementation arrangements was commissioned to test whether the Waikato Region has the optimal structures and processes to implement strategic outcomes across the four well-beings. McGredy Winder were commissioned by the Regional Chief Executives to undertake this review.
7. The McGredy Winder report is attached to this report as Attachment One. An executive summary of the report can be found on pages i to vi of Attachment One. The report finds that there is considerable opportunity for the Waikato Plan, and the core collaboration between the partners, to make a significant contribution to the development of the Waikato. The issues, opportunities and challenges facing the region are such that a partner acting by themselves is unlikely to achieve the best outcomes. The Waikato Plan currently provides the best opportunity to bring together a collaborative response from within the region.
8. The McGredy Winder report concludes that the Waikato Plan initiative is at a major cross-roads. It either needs to be re-shaped or re-energised or it should be wound up in its current form and the partners encouraged to pursue the implementation actions directly.
9. In order for the Waikato Plan process to continue, the McGredy Winder report recommends that the Terms of Reference for the Waikato Plan Leadership Group be amended to refine the role and function of the Group to be more of a facilitator and influencer, rather than directing the use of others' resources.
10. The report finds that 'many voices saying the same thing' is more achievable and would be more powerful than 'one voice' for the Waikato, and that having many parties on the Leadership Group is therefore a powerful and positive thing. There is no recommendation to reduce the number of members on the Leadership Group at this time, however the Leadership Group itself has previously noted this needs to be revisited.
11. The report also recommends that implementation funding be stripped out of the Waikato Plan budget and that funding be undertaken on a project-by-project basis based on the merits of a business case for each project and the willingness of partners to fund the activity.

12. Finally, the McGredy Winder report recommends transitioning to a new project structure with a core Waikato Plan project team, funded by and based at the Regional Council, consisting of project management, programme management and business case expertise.
13. Staff recommend that Council approve Option One, to support the re-shaped project structure and amended Terms of Reference for the Waikato Plan Leadership Group set out in the McGredy Winder report and remain part of the Waikato Plan Leadership Group. The Waikato Plan is valued by many of our stakeholders and other councils in the region. They want it to continue. The McGredy Winder proposal retains the Waikato Plan and opportunity for partnerships between Government, councils, iwi, business and community stakeholders. By remaining as part of the Waikato Plan, the key relationships with our stakeholders are maintained. Importantly, HCC can be an active or passive participant.
14. Option One would not involve any cost to HCC for the Waikato Plan unless we choose to participate in project implementation on a case-by-case basis funded by existing opex budgets.
15. Staff consider the decisions requested have a low significance and that the recommendations comply with the Council's legal requirements.

Background

16. The Mayoral Forum endorsed the development of a Waikato Plan in 2013.
17. On 27 July 2017 Hamilton City Council adopted the Waikato Plan and approved the establishment of the Waikato Plan Leadership Group, delegating authority to that group to implement the Waikato Plan, along with two key resolutions:
 - *That the membership of the Leadership Group will be reviewed within 12 months of the adoption of the Waikato Plan, with the aim of reducing the number of members to 12; and*
 - *That Council reviews its ongoing participation in the Waikato Plan by 30 June 2018, taking into consideration the progress against outcomes achieved by the Plan following adoption, external funding contribution targets being achieved (25% for 2018/19 and 50% for 2019/20 and future years) and other key partners' feedback.*
18. At the 27 July 2017 meeting, the Mayor or Mayor's nominee was appointed as Council's representative on the Waikato Plan Leadership Group.
19. Since the adoption of the Waikato Plan in 2017, the Waikato Plan Leadership Group has been formed. The Mayor has attended the meetings of the Waikato Plan Leadership Group with the Deputy Mayor attending some discussions.
20. The Waikato Plan has been in implementation phase since September 2017 and has started to deliver outcomes including the Aligned Planning (resource consent processes) work, Index of Multiple Deprivation report, and provision of support and technical expertise to the South Waikato Economic Development Plan, and the Waikato Regional Maaori Economic Action Plan.
21. The Local Government Act (Community Well-being) Amendment Bill currently before Parliament will reinstate the Local Government Act 2002 purpose, to promote the social, economic, environmental and cultural well-being of communities in the present and for the future. This is well-aligned with the purpose of the Waikato Plan.
22. Importantly, the Waikato Plan Leadership Group brings iwi around the table for engagement on the four well-beings, which represents a significant opportunity for collaborative working. Iwi are an important part of the regional economy and a key part of the culture and spirit of the region and its people.
23. It has taken much longer than anticipated to get the Waikato Plan Leadership Group established and operating. At the same time, the new Government has formed and begun to articulate new priorities, and the Waikato Plan Leadership Group has not made as much

progress as anticipated with Government agencies. The costs of managing the Waikato Plan implementation processes, and the lack of external funding raised for the 18/19 year to achieve the 25% target, have been raised as concerns. Questions have also been raised as to the role of the Chair not being clear (compared to other regional leaders such as Mayors) and whether the current project structure is optimal.

24. Concerns were raised at the Waikato Plan Leadership Group meeting on 16 April 2018, with regards to the size of the Leadership Group and the timing of confirmation of members when a resolution to reduce the size of the group was imminent. In response to these concerns, around the April meeting of the Waikato Plan Leadership Group, it was agreed:

“That an independent review be commissioned by the Waikato Local Government Chief Executives, as soon as possible, to test whether the Waikato Region has the optimal structures and processes to implement strategic outcomes across the four well-beings. Such structures to include the Waikato Plan, Future Proof, Waikato Means Business, Waikato Mayoral Forum and the Regional Transport Committee.”

25. The Independent Review has been undertaken by McGredy Winder and the results of that review are included as Attachment One to this report. The Independent Review conducted by McGredy Winder was informed by a desk-top review of relevant material and through interviews with key stakeholders, including the Mayor and Chief Executive of Hamilton City Council.
26. This Independent Review also responds to both of HCC’s resolutions of 27 July 2017.

Findings of the McGredy Winder Report

27. Value of the Waikato Plan: The McGredy Winder report makes some key observations about the value of the Waikato Plan.
28. The report finds that:
- There is considerable opportunity for the Waikato Plan, and the core collaboration between the partners, to make a significant contribution to the development of the Waikato.
 - There are major areas of the Waikato Plan that are strongly aligned with the current government’s priorities, and others can be made to better align by reframing them. To realise opportunities the Waikato will need to attract the government’s attention with proposals (solutions), not problems.
 - There are numerous regional bodies, which all make a significant contribution to the vibrancy of the people and communities of the region and to their well-being. These are important partners.
 - The issues, opportunities and challenges facing the region are such that any partner acting by themselves is unlikely to achieve the best outcomes. The report finds that the Waikato Plan currently provides the best opportunity to bring together that sort of response from within the region.
 - There is significant potential to unlock funding from a range of organisations that are not currently part of the Leadership Group. For example, Momentum has signalled a real interest in working with the Waikato Plan partners to progress a range of issues that are important to them. Equally, there is significant scope to secure government funding for some actions. The Provincial Growth Fund offers considerable scope, but to access it the region will need to have specific projects that have a convincing business case.

- There is an ongoing role for the Plan in driving regional strategy to inform the new Regional Economic Development Agency, since its focus will be more on implementation than developing strategy. Waikato Means Business has found the Waikato Plan useful in terms of providing strategic direction.
29. Challenges for the Waikato Plan: The report also observes that there are some significant challenges for the Waikato Plan to overcome in order to be effective:
- If the Waikato Plan is to achieve its potential and the vision that some partners hold, the Leadership Group will need to secure higher and more uniform levels of support from partners.
 - Allocating budget for unspecified activity is very difficult for all of the Waikato Plan partners. It is likely that partners will be more inclined to contribute to implementation projects that they see real value in, than to the generic support for the Waikato Plan.
 - The framework of technical and officer support is complex, with multiple layers, making decision making and resource allocation difficult.
 - Business-case development is needed to ensure actions are thoroughly tested before being implemented.
 - One voice for the Waikato is unrealistic – many voices saying the same thing is more achievable and would be more powerful.

Recommendations from the McGredy Winder Report for next steps for the Waikato Plan

30. The McGredy Winder report concludes that the Waikato Plan initiative is at a major cross-roads. It either needs to be re-shaped or re-energised or it should be wound up in its current form and the partners encouraged to pursue the implementation actions directly.
31. In order for the Waikato Plan process to continue, the McGredy Winder report recommends that if the Waikato Plan is to be re-shaped and re-energised, the following actions should be taken:
- Change the Terms of Reference for the Leadership Group: Make changes to the Terms of Reference for the Waikato Plan Leadership Group to:
 - Refine the role and function of the Group to be more of a facilitator and influencer rather than directing the use of others' resources;
 - There is no recommendation to reduce the number of members on the Leadership Group – in fact the report finds that many members are likely to make the Group more effective under a revised Terms of Reference.
 - Fund projects on a case-by-case basis: Strip implementation funding out of the Waikato Plan budget and secure implementation funding on a project-by-project basis based on the merits of the business case and the willingness of the partners to fund the activity;
 - Regional Council to fund a core Waikato Plan project team: Establish a core Waikato Plan project team, based at the Regional Council, consisting of project management, programme development and business case expertise. This project team would likely involve around two FTEs, but that could include some part-time roles. The team would need to be supported by the host council.
 - Transition from current contracted support to new project team: Manage an appropriate transition from the existing contracted project support resources to the new team as quickly as possible.

- Manage each project individually, with the Leadership Group having oversight: Establish project specific governance, reporting and funding arrangements for each implementation activity that reflect the nature of the activity and the partners. All implementation activity should be reported to the Leadership Group so that it can undertake its core facilitation and clearing-house roles.

How do the recommendations from the McGredy Winder Report address HCC's resolutions

32. The McGredy Winder report addresses the HCC resolutions of 27 July 2017 as follows:

- Review of the membership of the Leadership Group with a view to reducing the number of members to 12: The McGredy Winder report has found that, with recommended changes to the Terms of Reference, the Leadership Group has considerable potential to influence the future direction of the Waikato. The report suggests that many voices saying the same thing may be more realistic than having 'one voice' for the Waikato. Amending the Leadership Group's role to be more of a clearinghouse and facilitator rather than a governance board, means that the reducing the number of members on the Group is less important. The report suggests that having numerous parties on the Leadership Group would be a good thing. The greater number of partners that say the same thing, the stronger the message will be. The report therefore does not recommend reducing the number of members on the Leadership Group at this time.

- Review of HCC's ongoing participation in the Waikato Plan taking into account:

Progress against outcomes achieved by the Plan following adoption

The report notes that the region has so far been unable to translate the Plan's actions into implementable projects with the resources necessary to be successful. Some progress has been made, including work on finding efficiencies in the resource consenting process, development of an Index of Multiple Deprivation report, and provision of support and technical expertise to the South Waikato Economic Development Plan and the Waikato Regional Maaori Economic Action Plan. Substantial work on the majority of actions is yet to occur.

External funding contribution targets being achieved

Government co-funding has not been able to be secured, and the report notes that it seems unlikely that the government will want to contribute to the administration and support of the Waikato Plan in its current form. It may be encouraged to contribute to implementation projects that align with its interests and priorities. And there are positive signals from some Government agencies that this will occur in 2018/19.

Other key partners' feedback

A diversity of feedback was received however some key themes were identified. There are some quite different, even incompatible views around the Waikato Plan and its future. These different views are expected given the diversity of membership on the Leadership group, and have existed since the Waikato Plan was initially conceived. However, it is clear that all the other councils and stakeholders involved in the Waikato Plan support its continuation, and can see the potential benefits and outcomes it will deliver.

33. Overall, the report finds that the Waikato Plan has significant potential to be a driving force for the implementation of projects across the four well-beings in the Waikato. The issues, opportunities and challenges facing the region are such that any partner acting by themselves are unlikely to achieve the best outcomes. The report finds that the Waikato Plan currently provides the best opportunity to bring together that sort of response from within the region. However, the report recommends that the way the project is delivered needs to be fundamentally altered with a new project and funding structure as described earlier.

Options

34. Staff have assessed that there are two reasonable and viable options for the Council to consider:

Option One - Recommended	Support the re-shaped project structure and amended Terms of Reference for the Waikato Plan Leadership Group set out in the McGredy Winder report and remain part of the Waikato Plan Leadership Group.
Option Two – Not Recommended	Withdraw from the Waikato Plan Leadership Group and from participation in the Waikato Plan at this time.

35. Staff recommend Option One.
36. Option One addresses the resolutions of HCC on 27 July 2017 as follows:
37. Review of the membership of the Leadership Group with a view to reducing the number of members to 12:
38. The staff view is that, if the Terms of Reference of the Leadership Group are amended in line with the recommendations of the McGredy Winder report, the Leadership Group would be given a fresh mandate to facilitate and influence the focus of work to improve the four well-beings in the Waikato. The Leadership Group would no longer oversee allocating the resources of others, because each project would stand on its own merits (described and tested in a business case) and be funded by willing participants committed to a specific case. Therefore, the size of the Leadership Group would not dictate its efficiency. As such, staff agree with the McGredy Winder report recommendations to amend the Leadership Group Terms of Reference, and not to immediately reduce the size of the group. This however does not preclude the Leadership Group reviewing its size in time and reducing numbers.
39. The changes proposed would mean that the Waikato Plan would provide a supportive voice to other collaborative initiatives, such as the Regional Economic Development Agency.
40. With a different mandate, more focussed on guiding, influencing and facilitating, than on allocating the Waikato Plan budget, there is a need to consider who is the appropriate HCC representative on the Waikato Plan Leadership Group. Council has previously resolved that the current representative is the Mayor or the Mayor’s nominee. This resolution is considered appropriate as it provides HCC with maximum flexibility to determine the appropriate representative.
41. Review of HCC’s ongoing participation in the Waikato Plan:
42. The staff view is that HCC should continue to participate in the Waikato Plan, but with an amended project structure as recommended in the McGredy Winder report.
43. The amended project structure would support funding for projects on a case-by-case basis based on robust business cases. WRC would cover the central costs of the project. HCC would

still be part of the valuable contributions around the table but there would be no cost to HCC unless it was to participate in particular projects. Funding for participation in projects would be from existing budgets.

44. Continuing to participate in the Waikato Plan, with the changes recommended by McGredy Winder, would mean that HCC would continue to have a valuable opportunity to influence the future direction of the Waikato. Continued involvement would preserve relationships with stakeholders.
45. Council has also set the CEO significant savings targets in the 2018-28 Long Term Plan. Collaboration is a key part of achieving these savings which could result in more efficient and different ways of delivering outcomes. In particular, the Waikato Plan enables HCC to continue to work closely with the Government to better leverage existing funders as well as build new and stronger partnerships.
46. **Option Two is not recommended.** There is considerable value in continuing with the Waikato Plan partnership. The Waikato Plan Leadership Group is the first group of its type in the region – a group which can discuss, advocate and lead projects that span across central government, local government, Iwi and the wider community, breaking down traditional silos and allowing for collaboration towards outcomes for the good of the Waikato as a whole. If HCC was to leave, this could put the whole endeavour at risk and bring the reputation of the Waikato as a place where positive collaboration is occurring into doubt. Conversely, if HCC was to leave and the Waikato Plan was to continue, HCC would lose a valuable opportunity to influence the future direction of the Waikato. Relationships with key stakeholders would be affected and would impact on HCC's ability to work collaboratively with others when we need to, especially on sub-regional matters including with the stakeholders of the Waikato Plan.
47. It is important that the government and other potential investors in the Waikato see that important organisations in the Waikato are collaborating, that the Waikato is confident and that there is a common sense of direction. If HCC does not continue its involvement in the Waikato Plan, this puts the image of the Waikato as a place which is positive, collaborative and open for business, at risk.

Financial Considerations

48. The recommended changes to the Waikato Plan (Option 1 above), as set out in the McGredy Winder report, would require no financial contribution by Hamilton City Council to Waikato Plan implementation, except in cases where the Council chose to be involved in a particular project, where a collaborative approach was seen to be advantageous. In those cases, it is proposed that any contributions would be made from existing budgets. Core project costs would be met by the Waikato Regional Council (WRC), although a budget from WRC may not be in place until 2019/20.
49. Potential funding for the transition to the new structure may come from unspent funds in 2017/18 Waikato Plan budget, and other council and stakeholder contributions. Waikato Regional Council also have some budget allocated in 2018/19 for the Waikato Plan.

Legal and policy Considerations

50. The Waikato Plan is a voluntary collaborative initiative under the Local Government Act and is an enabling document rather than a prescriptive one. Future participation in individual projects would be at the discretion of Council and subject to future decision-making in accordance with appropriate Council delegations.

Cultural Considerations

51. Iwi are part of the Waikato Plan Leadership Group. Maaori interests are an integral part of the Waikato Plan. Iwi representation on the Waikato Plan Leadership Group provides an invaluable opportunity to ensure Iwi voices are heard in addressing positive outcomes across the four well-beings.

Sustainability Considerations

52. The Waikato Plan addresses a range of HCC's sustainability principles. A number of actions which could be implemented from the Plan cover sustainability matters.

Risks

53. The Waikato Plan was developed with the full support of HCC. The Plan has been a significant collaboration between multiple stakeholders and with awareness from central government. The Waikato Plan is being viewed positively by many entities in the region and nationally, including the District Health Board, the National Infrastructure Unit (Treasury), Ministry of Social Development, Ministry of Business, Innovation and Employment, the Department of Internal Affairs, Ministry of Education, Ministry of Transport and the New Zealand Transport Agency. These groups provide significant investment into the Waikato and are looking at using the Waikato Plan as a basis for their investment conversations.
54. If HCC does not continue to participate in the Waikato Plan implementation there are four main risks:
- Waikato Plan may not continue without HCC, given that HCC is the largest local authority in the area and represents a significant proportion of the population in the region. This would mean the loss of the very real potential of the Waikato Plan to make a significant contribution to the development of the Waikato and link with the Government's goals.
 - Waikato Plan does continue, but HCC does not participate, then HCC would not enjoy the benefits of the opportunities provided by 'many voices saying the same thing' to Government.
 - Stakeholder relationships and ongoing work programmes may be impacted.
 - If HCC does not continue its involvement in the Waikato Plan, this puts the image of the Waikato as a place which is positive, collaborative and open for business, at risk.

Significance & Engagement Policy

Significance

55. Staff considered the following factors under the Significance and Engagement Policy:
Community views are already known, including the community's preferences about the form of engagement.
56. Based on these factors, staff have assessed that a decision in accordance with Option One has a low level of significance because it is in accordance with feedback from the Special Consultative Procedure undertaken during Plan development. There is no additional financial implications from a decision in accordance with the recommendations.

Engagement

- 57. Community views and preferences are already known to the Council through engagement undertaken by the Waikato Plan project team through the Special Consultative Procedure and presented to the Waikato Plan Joint Committee. Staff recommend that no further engagement on this matter is required because the necessary engagement has already been completed.

Attachments

Attachment 1 - Review of the Waikato's 4 Well-Beings Implementation Structures and Processes 2018 .



Review of the Waikato's 4 Well-Beings Implementation Structures and Processes 2018

Peter Winder
June 2018

WWW.MCGREDYWINDER.CO.NZ



Executive Summary

- i. The Waikato Plan (the Plan) was adopted in August 2017 after more than four year's work, costing in the order of \$1.345m. The Waikato Plan is a comprehensive, high-level approach the future of the Waikato.
- ii. Around the April meeting of the Waikato Plan Leadership Group, it was agreed:

“That an independent review be commissioned by the Waikato Local Government Chief Executives, as soon as possible, to test whether the Waikato region has the optimal structures and processes to implement strategic outcomes across the four well-beings. Such structures to include the Waikato Plan, Future Proof, Waikato Means Business, Waikato Mayoral Forum and the Regional Transport Committee.”
- iii. The Waikato Local Government Chief Executives have commissioned McGredy Winder & Co to undertake the independent review. It is primarily focused on the Waikato Plan.
- iv. The review has been informed by a desktop review of relevant material, and interviews with key stakeholders. Written feedback was provided by the Waikato District Health Board. Due to the time constraints of this review and the other commitments of the reviewer it was unfortunately not possible to co-ordinate input from Tainui and Maniapoto.

Context

Four Well-Beings

- v. The Local Government (Community Well-being) Amendment Bill currently before Parliament will reinstate in the Local Government Act 2002 the previous purpose: to promote the social, economic, environmental, and cultural well-being of communities in the present and for the future.
- vi. The broader purpose and its focus on “promote” provides a statutory underpinning for the role of local authorities, and local authority leaders as advocates and promoters of the well-being of their communities. It is a shift away from a solely infrastructure, regulatory and service delivery focus. It provides legitimacy for advocacy and is well aligned with the purpose of the Waikato Plan.

Regional Governance Structures

- vii. In addition to the Waikato Plan Leadership Group, there are a number of regional or sub-regional governance and decision-making structures across the Waikato. These include:
 - Waikato Regional Council
 - Regional Transport Committee
 - Mayoral Forum
 - CE Forum
 - Future Proof
 - Waikato Iwi
 - Waikato River Authority



- Waikato Means Business
 - Waikato District Health Board
 - Intersect Waikato
 - Others, including Sport Waikato, Creative Waikato, Momentum and a range of other significant philanthropic organisations, and educational and research institutions, and the University of Waikato and Wintec in particular.
- viii. All of these regional bodies make a significant contribution to the vibrancy of the people and communities of the region and to their well-being. They are important partners. Some are core statutory entities with defined statutory roles. Others are very reliant on public funding. Momentum and the other philanthropic institutions, have the potential to bring considerable funds to bear to address regional issues. There is considerable scope for deeper engagement with the philanthropic institutions within the region.

Government Priorities and Engagement

- ix. The government has a number of priorities that will, or could, have a marked impact on the Waikato. However, few of these are specifically focused on regions, let alone targeting the Waikato itself. Across many of the government priorities, it is too early to know or anticipate the nature of the potential impact on the Waikato.
- x. Government priorities include:
- the comprehensive review of taxation, employment law reform, pay fairness and equity, raising the minimum wage, and welfare reform
 - the Provincial Growth Fund
 - housing, the shortage of housing, housing affordability, homelessness, the rapid roll out of the Kiwibuild programme, improvements to state housing
 - a substantial shift in emphasis in the transport portfolio, with more attention to road safety, less investment in State Highway construction, greater focus on Auckland and public transport
 - health and education reform, but also addressing major legacy underfunding issues
 - establishing a Climate Change Commission, and a focus on adaptation to climate change
 - freshwater management and land use change.
- xi. The Waikato is not yet a real focus of the government. To realise opportunities the Waikato will need to attract the government's attention with proposals (solutions) not problems. This is difficult because government has no bureaucratic infrastructure with which to engage with the Waikato.

The Waikato Plan

- xii. The introduction to the Plan states that:
- “The Waikato Plan will provide the vehicle for creating traction and help us to leverage resourcing to ensure our region and our people prosper. Together we can harness the resources and opportunities of the Waikato as a collective, as together we can go further and achieve more. This first Waikato Plan document is what we have*



agreed to date, but it is just the beginning – it is the foundation stone and its contents will evolve over time as a living document.”¹

“The Plan is based on two principles:

- *Together we are stronger. Collaboration builds strength and understanding, fills gaps and cuts duplication.*
 - *To succeed as a region, all parts of the Waikato must be as successful as they can be.*
- xiii. The Plan is structured around five regional priorities. For each priority the Plan identifies key actions to address them. Implementation actions span a broad range of activity.
- xiv. The implementation of the Waikato Plan is overseen by the Waikato Plan Leadership Group. The Leadership Group is established as a joint committee and comprises 15 members and a three observers.
- xv. The executive and technical support for the Waikato Plan Leadership Group is complex because of the number of partners involved. At each level, the differing interests of partners present challenges in terms of the allocation, husbanding and management of resources, and the need to reconcile differing priorities.

Feedback

- xvi. The feedback from those that were interviewed was mixed but had some clear themes. There are some quite different, even incompatible views around the Waikato Plan and its future.
- xvii. The diversity of feedback is completely normal and expected. The Waikato Plan Leadership Group reflects very different people and with differing drivers, mandates, responsibilities and objectives. Differences have existed since the Waikato Plan was initially conceived.

Observations and Conclusions

At the Cross-Roads

- xviii. The prime conclusion that the reviewer has reached is that the Waikato Plan initiative is at a major cross-roads. Either it needs to be re-shaped and re-energised or it should be wound up in its current form and the partners encouraged to pursue the implementation actions directly.
- xix. The Waikato Plan has provided a valuable evidence base, set a vision for the development of the region and identified a range of actions that, if implemented, could help to achieve the vision for the Waikato. However, the region has so far been unable to translate the Waikato Plan priorities into implementable projects with the resources necessary to be successful.
- xx. The lack of progress on implementation and uncertainty and lack of shared vision regarding the role and purpose of the Leadership Group mean that the whole initiative is now at risk of failing to make the transition between plan making and plan implementation.

¹ The Waikato Plan, August 2017, p 5



Other Observations and Conclusions

- xxi. Having considered the feedback from interviews, the desktop research and the range of factors required in the terms of reference, the reviewer makes the following observations:
- the Waikato region is not a cohesive or coherent region of interest and is not the best scale to address all issues
 - there is considerable value in the underlying evidence base
 - significant leadership discontinuities have impacted on momentum and direction
 - there are underlying and unresolved differences in vision for the plan between the partners
 - what is being attempted is hard and it will not get easier
 - it is hard for some to see the value and even more difficult to attribute the benefits of work to date
 - there is potential for strong alignment with government objectives, but this will need some work and some re-framing of the Waikato Plan actions
 - there is an on-going need to drive regional economic development strategy
 - the framework of technical and executive support is complex and probably ineffective and decision making and resource allocation is difficult
 - decision making and analytical frameworks are not as robust as will be required
 - there is considerable optimism from some partners – the opportunities are real
 - there are mixed levels of commitment and institutional support
 - there is a need to recognise the difference between directing the use of other people's resources and guiding and encouraging their decisions
 - the role as clearinghouse and facilitator is more important than the role as a decision-maker
 - some implementation actions are now dated, not practical, not implementable, or will not be cost-effective
 - implementation actions need to be projectized and resourced if they are to progress
 - resourcing is difficult and the budget is for unspecific actions
 - there is a reliance on contracted expertise, lack of 'ownership' and institutional responsibility
 - there is potential for others to fund activities
 - likely implementation projects will involve some of the Waikato Plan partners and not others, some will have sub-regional focus
 - some implementation projects relate to the statutory functions of some partners
 - **one voice for the Waikato is unrealistic – many voices saying the same thing is more achievable and would be more powerful.**

The Cross-Roads

- xxii. Either the Waikato Plan needs to be re-shaped and re-energised, or it should be wound up in its current form and the partners encouraged to pursue the implementation actions directly.



- xxiii. There is considerable opportunity for the Waikato Plan and the core collaboration between the partners to make a significant contribution to the development of the Waikato. A number of challenges are so profound that multi-year, multi-party responses will be necessary. The Waikato Plan currently provides the best opportunity to bring together that sort of response.
- xxiv. Despite the opportunity, the reviewer considers that, for the Waikato Plan process to continue, partners need to have greater confidence that:
- a) The Plan can be translated into discrete and implementable projects based on sound business cases and clear objectives and deliverables. If the partners are not confident that they can make this transition from plan making to plan implementation then they should choose to stop now rather than waste effort and scarce resources.
 - b) The Leadership Group can function as a clearinghouse, facilitator and influencer, encouraging the allocation of resources rather than as the place that directs other people's resources. If the partners are not confident that the Leadership Group can operate in this way then they should choose to stop now rather than waste effort and scarce resources.
 - c) The Leadership Group can function as the facilitator of the message and the point at which the parties are encouraged to say the same thing rather than as the 'one voice' for the Waikato region. Authority and influence will then stem from the power of being united in common cause with many legitimate voices saying the same thing, rather than by ceding authority to speak for you to someone else. If the partners are not confident that the Leadership Group can operate in this way then they should choose to stop now rather than waste effort and scarce resources.
 - d) The Chief Executives Steering group can provide the meaningful support that is required for the Leadership Group to be effective, including support to respond to changing circumstances and emerging opportunities.
- xxv. There are a number of straight forward things that the partners can do in order to gain the confidence that they may need to proceed.

A Way Forward

- xxvi. It is recommended that if the partners choose to proceed with implementing the Waikato Plan, they take the following actions to re-shape and re-energise the programme and the way that it works:
- a) Make changes to the Terms of Reference for the Waikato Plan Leadership Group to reflect the refined role and function of the Group as a clearinghouse, facilitator and influencer, encouraging the allocation of resources rather than as the place that directs other people's resources.
 - b) Make changes to the Terms of Reference for the Waikato Plan Leadership Group to reflect the refined role as the facilitator of the message and the point at which the parties are encouraged to say the same thing rather than as the 'one voice' for the Waikato region.



- c) Strip implementation funding out of the Waikato Plan budget and secure implementation funding on a project-by-project basis based on the merits of the business case and the willingness of the partners to fund the activity.
 - d) Allocate specific resources through the regional council to undertake the critical project manager, programme development, programme coordination, and business case work that is required to make the transition from the plan making phase to the plan implementation phase.
 - e) Establish a core Waikato Plan project team at the regional council and manage an appropriate transition from the existing contracted project support resources to the new team.
 - f) Establish project-specific governance, reporting and funding arrangements for each implementation activity that reflect the nature of the activity and the partners. All implementation activity should be reported to the Leadership Group so that it can undertake its core facilitation clearinghouse roles.
- xxvii. The core Waikato Plan project team is likely to involve around two FTEs, but that may include some part-time roles.
- xxviii. The funding framework will need to be changed in order to make the recommended transition. It is important that the current contractual obligations are respected, and that sufficient resourcing is available. This means that it would be wise to carry forward any under expenditure from the current year and use contributions for 2018/19 provided in Council Long-Term Plans to support the Waikato Plan and the transition process.



Introduction

1. The Waikato Plan (the Plan) was adopted in August 2017 after more than four year's work, costing in the order of \$1.345m. The Waikato Plan is a comprehensive, high-level approach the future of the Waikato. The introduction to the Plan states:

*"The Waikato Plan will provide the vehicle for creating traction and help us to leverage resourcing to ensure our region and our people prosper. Together we can harness the resources and opportunities of the Waikato as a collective, as together we can go further and achieve more. This first Waikato Plan document is what we have agreed to date, but it is just the beginning – it is the foundation stone and its contents will evolve over time as a living document."*²

2. Around the April meeting of the Waikato Plan Leadership Group, it was agreed:

"That an independent review be commissioned by the Waikato Local Government Chief Executives, as soon as possible, to test whether the Waikato region has the optimal structures and processes to implement strategic outcomes across the four well-beings. Such structures to include the Waikato Plan, Future Proof, Waikato Means Business, Waikato Mayoral Forum and the Regional Transport Committee."

3. It is understood that the prime focus of this review was the Waikato Plan.

The Review

4. In response to the resolution, the Waikato Local Government Chief Executives have commissioned McGredy Winder & Co to undertake an independent review that is primarily focused on the Waikato Plan, but also considers how the Waikato Plan and related processes intersect and interact with Future Proof, Waikato Means Business, the Waikato Mayoral Forum and the Regional Transport Committee.
5. This is not a review of Future Proof, Waikato Means Business, the Waikato Mayoral Forum, or the Regional Transport Committee.
6. The terms of reference for the review require the reviewer to consider:
 - the revised statutory purpose of local government with the reintroduction of the four well-beings
 - the broader statutory obligations of local authorities and government agencies
 - the interests and expectations of partners in the Waikato Plan
 - the intended purpose and nature of the Waikato Plan
 - the significant investment that has been made in the Waikato Plan to date and the relatively early state of work to implement the completed plan

² The Waikato Plan, August 2017, p 5



- the extent to which the Waikato Plan is implementable, the capacity within the Waikato to implement the Plan effectively and different options for the implementation of the Waikato Plan
 - the governance and implementation structures for the Waikato Plan and how they intersect and interact with Future Proof, Waikato Means Business, the Waikato Mayoral Forum and the Regional Transport Committee, as well as how effectively they support engagement and partnership with government
 - the nature and effectiveness of the representation frameworks and the partnerships that are reflected in the Waikato Plan
 - the nature, effectiveness and future requirements for technical and administrative support for the implementation and periodic review of the Waikato Plan
 - the key policies and initiatives of the new government, how they fit and align (or not) with the Waikato Plan and options for achieving better alignment.
7. The terms of reference require the reviewer to be independent and present a considered view and set of recommendations to the Waikato Plan Leadership Group.

Approach

8. The review has been undertaken by Peter Winder, a Director of McGredy Winder & Co.
9. The review has been informed by a desktop review of relevant material, including:
- the Waikato Plan (both the draft Plan and as adopted after consultation)
 - the Waikato Plan Implementation Programme
 - agendas of the Waikato Plan Leadership Group, the Chief Executives Steering Group, the Technical Reference/Implementation Group, and the Strategic Partners Forum
 - dashboard reporting on progress with Plan Implementation
 - budgets and financial reporting
 - the terms of reference for each of the Waikato Plan groups
 - the business case and establishment plans for the Waikato Regional Economic Development Agency
 - Agendas of the Regional Transport Committee and the draft Regional Land Transport Plan
 - Agendas for the Waikato Mayoral Forum, and previous work on its priorities
 - Previous work on WLASS and its future strategy
 - Structures, terms of reference, agendas and work associated with Future Proof.
10. The insights gained from the desktop review were then further informed and tested through interviews with key stakeholders. The following people were interviewed as part of the review:
- the Mayors of Hamilton City Council and Hauraki and Waitomo District Councils
 - the Chair of the Waikato Regional Council
 - the Chief Executives of Hamilton City Council, Waipa District Council and Waikato Regional Council
 - Margaret Devlin, Chair of the Waikato Plan Leadership Group



- Dallas Fisher, Chair of Waikato Means Business and a member of the Waikato Plan Leadership Group
 - Lale Ieremia, a member of the Waikato Plan Leadership Group
 - Ken Tremaine and Bill Wasley – advisors in the development and implementation of the Plan
 - Eugene Berryman-Kamp, Chief executive of TARIT
 - Vanessa Eparaima, Chair Raukawa Settlement Trust and Raukawa Charitable Trust
 - Kelvin Eglinton, Chief Executive of Momentum
 - Parekawhia McLean, regional Director of the New Zealand Transport Agency
 - Richard Hardy and Richard Ward, officials with the Department of Internal Affairs
 - Ernst Zollner and Neasa Carroll, officials with the Ministry of Business Innovation and Employment based in the Government Auckland Policy Office
 - A senior advisor in the office of the Hon Phil Twyford.
11. Written feedback was provided by the Waikato District Health Board. Due to the time constraints of this review and the other commitments of the reviewer it was not possible to co-ordinate input from Tainui and Maniapoto.

Context

12. It is important to put this review in context. The following section addresses the legislative change to re-introduce the four well-beings to the purpose of local government, and the range of regional governance entities and forums across the Waikato.

Four Well-Beings

13. In 2002, the Local Government Act 1974 was substantially replaced by a new Local Government Act. A key feature of the 2002 reforms was to introduce a broad purpose for local government that embraced promoting the economic, environmental, social and cultural well-being of communities in the present and for the future.
14. The broad purpose for local authorities went hand-in-glove with the requirement to produce Community Outcome Statements and Long-Term Council-Community Plans (LTCCPs) that identified the community outcomes that the council and the community sought to achieve and the actions that would be taken to achieve them. LTCCPs were intended to become the focus of council advocacy and facilitation on behalf of their communities. Community Outcome Statements were intentionally broad and designed to focus communities, businesses, government agencies and non-government organisations on joined up actions to address issues and challenges that were beyond the remit and capacity of any one party.
15. In subsequent reforms, the purpose of local government was narrowed, the requirement to produce Community Outcome Statements was removed and LTCCPs became Long-Term Plans. The narrower purpose was more focused on what the local authority delivers and the way in which it operates: *to meet the current and future needs of communities for good-quality local infrastructure, local public services, and performance of regulatory functions in a way that is most cost-effective for households and businesses.*



16. The Local Government (Community Well-being) Amendment Bill currently before Parliament will reinstate in the Local Government Act 2002 the previous purpose: *to promote the social, economic, environmental, and cultural well-being of communities in the present and for the future.*
17. The broader purpose and its focus on “*promote*” provides a statutory underpinning for the role of local authorities, and local authority leaders as advocates and promoters of the well-being of their communities. It is a shift away from a solely infrastructure, regulatory and service delivery focus.
18. Importantly, in each of the reforms (when the four well-beings were first introduced in 2002, when they were removed in 2012, and now that they are being returned) no transitional provisions were made. That is:
 - there was no additional resourcing or new revenue provided in 2002 to reflect a broader mandate
 - there was no period in which councils had to stop doing things as a consequence of the more narrow 2012 purpose
 - there are no new resources, or new revenue, or new powers to support the reintroduction of the well-beings.
19. It is also important to note that the purpose of local authorities under the Local Government Act 2002 does not take precedence over the specific purposes and objectives of other legislation (like the Resource Management Act, or the Land Transport Management Act) when councils perform functions or duties under those Acts.
20. The re-instatement of the four well-beings into the Local Government Act provides legitimacy for advocacy. It also provides for overlap and alignment with a range of government agencies that are also focused on well-being. District Health Boards, the Ministry of Health, school boards of trustees, the Ministry of Education, the Ministry of Social Development, the Ministry for the Environment, the Department of Conservation, the Ministry of Business, Innovation and Employment, the Ministry of Primary Industry, Housing New Zealand, the New Zealand Transport Agency, the Ministry of Transport, the Treasury, the Department of Internal Affairs, the Ministry of Culture and Heritage, Creative New Zealand, Sports New Zealand, New Zealand Trade and Enterprise, Tourism New Zealand, the New Zealand Police, Fire and Emergency New Zealand and the Ministry of Civil Defence and Emergency Management and the recently announced Ministry of Housing and Urban Development, all provide services, or have responsibilities that go directly to one or more of the four well-beings. Any of these organisations and their responsible Ministers are now legitimate partners for local authorities, or legitimate targets for local authority advocacy in relation to the issues faced by communities.
21. The Waikato Plan was developed with the intention of influencing government and changing the allocation of government resources to better achieve the vision for the Waikato. Arguably, the Waikato Plan is better aligned with the broader purpose of local government that is now being enacted than the narrower 2012 version. However, the change in legislation makes a review of the Plan timely.
22. For many of the Waikato Plan partners the change in the Local Government Act makes little if any difference because they already have a holistic approach to well-being. Iwi strategic plans are particularly notable for the way in which they embrace the long term cultural, social, and economic well-being of their people and care for the environment.



Regional Governance Structures

23. In addition to the Waikato Plan Leadership Group, there are a number of regional or sub-regional governance and decision-making structures across the Waikato.

Waikato Regional Council

24. The most obvious and truly regional governance structure is the Waikato Regional Council itself. Its elected representatives come from across the whole region and have a mandate to work on behalf of all the people and communities of the region. When the purpose of local government is changed to include the four well-beings, the regional council will have the same well-being focused statutory purpose as the territorial authorities. The Waikato Regional Council has particular responsibilities with respect to the environment under the Resource Management Act. It also has quite specific and unique obligations in relation to water and the restoration of rivers under a number of Treaty Settlements. This includes key co-governance arrangements with River Iwi.
25. In any consideration of regional implementation structures, the regional council must be considered an option. The regional council's mission "*working together to build a Waikato region that has a healthy environment, strong economy and vibrant communities*", is broad and well-being orientated. The role that the regional council has played with respect to Waikato Means Business and the establishment of the regional economic development agency illustrates the sort of role that the regional council can play – well beyond its more traditional primary focus on environmental issues. One of the distinct advantages that the regional council brings to any regional initiative is the ability to raise rates revenue from across the whole region, ensuring (within the limitations of any rating system) that those who may benefit from the initiative contribute to its funding.

Regional Transport Committee

26. Whilst technically a committee of the Regional Council, the Regional Transport Committee (RTC) is a statutory committee with specific functions under the Land Transport Management Act. The RTC must prepare the Regional Land Transport Plan, which involves combining the transport programmes of all territorial authorities, with the NZTA programme and passenger transport plans to agree the priorities for transport investment across the whole of the Waikato region. Membership comprises a representative from each territorial authority and NZTA, as well as two representatives from the Waikato Regional Council and a non-voting advisor from the New Zealand Police.
27. As the organisation that spends the most on transport infrastructure across the region, it is important that the region's priorities and growth objectives influence NZTA's decisions. The RTC is one of the forums through which the local authorities of the region influence the decision-making of NZTA. It needs to function effectively.
28. The RTC has an important function on behalf of the region. However, its mandate beyond the processes of the Land Transport Management Act is limited. As a statutory committee, the region must have a RTC and its membership is prescribed in statute. This makes this structure of limited value for considering other issues. Also its voice is perhaps less commanding than the collective voice of the Mayors of the region. The RTC has in the past played a very significant role in advocacy in relation to state highway investment. There is no impediment to this happening again.



29. It is important that the RTC makes transport planning and priority decisions in a robust regional context. A region-wide strategic view of the development of the region will help to ensure that transport investments, in state highways and roads that cross local authority boundaries in particular, reinforce the other policy settings used to shape and influence growth and development. This was one of the drivers for the original thinking about the Waikato Plan being a spatial plan for the whole of the region. In practice, developing a meaningful spatial plan for the whole of the region proved too difficult and the Waikato Plan was reconceived. That does not remove the need for transport decisions to have context. If the Waikato Plan is able to generate specific implementation initiatives that help to shape growth, then that will be an important input to the RTC's decision making.

Mayoral Forum

30. The Waikato Mayoral Forum is an important part of the system for engagement between the local authorities of the region. The Mayoral Forum is a non-statutory forum where the Mayors and the Chair of the Regional Council meet, engage, and explore the potential for joint action and ways in which their councils can work together. The Waikato Mayoral Forum as a history and track record of providing important leadership and direction. It has played a major role in driving many of the joint initiatives in the region.
31. The Mayoral Forum has no mandate other than the mandate and influence of the Mayors. It cannot make decisions that bind councils, nor can it direct the allocation of council resources. Despite this, the Forum has significant influence. As elected representatives, Mayors have significant standing. They can influence and lead communities and key people within communities because of their electoral mandate and authority. Mayors have a mandate as advocates for their district. Each leader has a voice that has standing. When the Mayors speak as one, all saying the same thing, their combined voice has impact.
32. While Mayors have only one vote around the council table, they can influence Council resource allocation. Under the Local Government Act they lead budget and planning processes. This authority lends weight to the role that the Mayoral Forum can play.
33. One of the key differences between the Mayoral Forum and the Leadership Group is that the Leadership Group is formally established as a joint committee under the Local Government Act. This formality brings with it specific authorities under the terms of reference for the committee. It also brings a high level of transparency, since all of its meetings are subject to the full openness and transparency obligations of the Local Government Official Information and Meetings Act.

CE Forum

34. Like the mayoral forum, the CE Forum has no statutory authority. Each CE does however have the relevant delegated authorities to commit their organisation's resources as provided for by Council policy and relevant budgets. The CEs have the collective ability to implement agreed policy, or joint initiatives that fall within their remit. The region's CEs are also the directors of WLASS, the shared service company that provides a vehicle for undertaking joint activity. This means that the CE Forum could be a significant vehicle for advancing the implementation of agreed policy. It is not however the role of CEs to make policy on behalf of their councils.



Future Proof

35. Future Proof is the ongoing collaboration on future planning by Waikato District Council, Hamilton City Council, Waipa District Council, NZTA and Tangata Whenua. Future Proof provides the vehicle for the partners to consider the planning and development of urban growth across a very rapidly growing part of the region. Whilst not a region-wide initiative, Future Proof is important because it provides the closest thing that the region has to a meaningful spatial plan. Future Proof planning has not only addressed the location of future urban settlement, but also how it will be serviced and connected to existing urban communities, infrastructure and services. Recently, Future Proof has been driven by the need to implement the National Policy Statement on Urban Development Capacity. Part of the Future Proof area is also a key part of the government's focus through its approach to the Auckland-Hamilton growth corridor.
36. Any consideration of regional strategy needs to consider and relate to Future Proof, just as Future Proof needs to be informed by both the specific local issues facing the residents and businesses of its constituent councils and the broader regional context. However, Future Proof decision-making is already challenged by the need to accommodate the differing aspiration of the partners (in particular the four council partners). There would seem little potential benefit and considerable downside risk in seeking to further integrate Future Proof with the Waikato Plan process and structures – other than to ensure that the two processes are fully informed and can be influenced by each other.

Waikato Iwi

37. The principal iwi groups in the Waikato region are Waikato-Tainui, Maniapoto, Raukawa, Hauraki, Te Arawa and Tūwharetoa. Within these iwi groups there are numerous hapū. Across the region there are a number of iwi authorities, iwi trust boards and rūnanga. The mandate and role of these institutions varies, but reflects the statutory authority of Treaty Settlements and the decisions by iwi, hapū and whanau as to how they will organise their affairs.
38. As mana whenua iwi exercise kaitiakitanga and rangatiratanga within their rohe.
39. Waikato Iwi are an important part of the regional economy. Māori businesses and Iwi investments across the Waikato are substantial. Iwi are a vital component of the future economic performance of the region. Waikato Iwi are also a key part of the culture and spirit of the region and its people.
40. The Waikato Iwi have a very long-term approach to the development of their people and the region. They have a broad approach to well-being and a particular focus on education, housing, and creating opportunities that will enable their people to live and work within their rohe.
41. The Waikato Regional Council website identifies 18 Iwi Management Plans. They are documents developed and approved by iwi to address matters of resource management activity of significance within their respective rohe. Management plans are focused on sustaining the mauri of the natural environment and cultural heritage within each rohe. They have standing under the Resource Management Act and provide a mechanism in which iwi interests can be considered in council processes. In addition to Iwi Management Plans Waikato Iwi have a number of significant Joint Management Agreements with local authorities setting out the way in which they will work together.



Waikato River Authority

42. The Waikato River Authority is a statutory body formed under the Waikato-Tainui Raupatu Claims (Waikato River) Settlement Act 2010, the Ngati Tuwharetoa, Raukawa, and Te Arawa River Iwi Waikato River Act 2010, and with additional responsibilities arising from the Nga Wai o Maniapoto (Waipa River) Act 2012 (and He Mahere Taiao – The Maniapoto Iwi Environmental Management Plan).
43. The vision of the Waikato River Authority is for *“a future where a healthy Waikato River sustains abundant life and prosperous communities who, in turn, are all responsible for restoring and protecting the health and wellbeing of the Waikato River, and all it embraces, for generations to come”*².
44. The purpose of the Waikato River Authority is to:
 - *“set the primary direction through the Vision and Strategy to achieve the restoration and protection of the health and wellbeing of the Waikato River for future generations*
 - *promote an integrated, holistic, and co-ordinated approach to the implementation of the Vision and Strategy and the management of the Waikato River*
 - *fund rehabilitation initiatives for the Waikato River in its role as trustee for the Waikato River Clean-up Trust.”*³
45. The Authority has ten Board Members who are appointed by the river iwi and Ministers of the Crown. The Authority is the sole Trustee of the Waikato River Clean-up Trust whose role is to fund projects which meet the purpose of the Authority. The Waikato River Authority is supported in its work by a small Management Team.
46. The Waikato River Authority is a significant regional institution with considerable resources devoted to the restoration of the combined Waikato and Waipā catchments. The Authority's Restoration Strategy reflects a very significant partnership and collaboration between many parties. Over time, the Authority have had a major impact on the region and the catchment for which it has responsibilities. However, that catchment does not cover the whole of the Waikato region.

Waikato Means Business

47. Waikato Means Business is the name of the region's 20-year economic development strategy. The strategy was released in February 2014. It was created with input from civic, business and Māori leaders. The vision for the strategy is:

*“We want to improve standards of living in the Waikato region, where all people, communities and businesses reach their potential.”*⁴
48. The strategy *“sets out the issues, challenges and opportunities that face the Waikato region, and identifies strategic priorities and areas of focus to transform it. The strategy aims to guide regional economic development policy, investment and activities.”*⁴

² Waikato River Authority website

³ Waikato River Authority website

⁴ Waikato Means Business website



49. The strategy's development was initiated by the Waikato Mayoral Forum. Development was overseen by a Governance Group, acting as a sounding board to test and challenge assumptions made, and assist in engaging the wider Waikato business community.
50. Having developed the strategy and initiated a number of important projects, the governance group has led the push to establish a regional economic development agency. The business case for the new agency has now been accepted, initial funding agreed, and the establishment process is underway.
51. Importantly, the new regional economic development agency will focus on implementing the strategy. It will not have an ongoing role in developing strategy. That means that it will need to have an ongoing relationship with a regional body that can develop strategy. Ideally, economic strategy will be developed as an integral part of broader regional strategy, consistent with a holistic approach to the four well-beings.

Waikato District Health Board

52. The Waikato District Health Board has wide-ranging objectives and functions under the New Zealand Public Health and Disability Act 2000. The first, and arguably most encompassing objective of a District Health Board is to improve, promote and protect the health of people and communities. Other objectives and functions include reducing health disparities, improving health outcomes for Māori, promoting the integration of health services, working with others and fostering community participation in health improvement.
53. There is a very considerable overlap between the broad responsibilities of the District Health Board and the well-beings purpose of local authorities. There is also overlap between the specific health roles of territorial authorities under the Public Health Act, some of the specific roles of the District Medical Officer of Health and the broad public health roles of District Health Boards. This overlap and alignment makes the District Health Board an important partner in any initiative that would impact on the health of the people and communities of the Waikato region. However, the District Health Board's interest in, for instance, economic development is likely to be more indirect (as a determinant of health outcomes) than that adopted by local authorities or other community and business groups.

Intersect Waikato

54. Intersect is the Waikato based forum of public sector agencies designed to foster effective collaborations. It is founded on the recognition that:

“Complex social problems are almost multi-dimensional. Effective solutions require co-ordinated multi agency and multi-level responses. The time is right for agencies to sharpen their focus and give attention to ways of better working together for the benefit of their constituent communities.

Collaboration is not an end in itself. It must firstly identify the key strategic social issues to address and, secondly, deliver clear and measurable outcomes for individuals and communities. This will create benefits for the people, agencies, and organisations involved.

Intersect Waikato is the vehicle that key agencies charged with social development in the Waikato region have adopted to achieve meaningful, outcomes-orientated collaboration for the benefit of the community.”⁵

⁵ Intersect Waikato, Terms of Reference 2013



55. Intersect is established to “provide a Waikato based forum through which the Chief Executives and Regional Managers of public sector organisations can meet to:

- (1) Develop inter-agency relationships at a senior level.
- (2) Identify and agree the strategic initiatives for the implementation of social development projects which require a collaborative response.
- (3) Communicate with and engage the Waikato public sector in aligning and co-ordinating their response to the strategic initiatives.
- (4) Monitor and evaluate achievements towards outcomes.”⁶

56. The 2013 Terms of Reference provide for the Executive to comprise the Chief Executives/Regional Managers of:

- Ministry of Business, Innovation and Employment
- Housing New Zealand Corporation
- Accident Compensation Corporation
- Ministry of Education
- New Zealand Police
- Te Puni Kōkiri
- Waikato District Health Board
- Ministry of Health
- Ministry of Social Development – Work and Income New Zealand, Child Youth & Family, Ministry of Youth Development, Family & Community Services
- Department of Corrections
- Local Government
- Waikato Regional Council
- Careers Services New Zealand
- Ministry of Justice
- Department of Internal Affairs
- Inland Revenue
- Office of Ethnic Affairs
- Ministry of Pacific Island Affairs

57. In practise, few of the public sector organisations that are members of Intersect Waikato have any senior regional staff with a mandate or authority to contribute to regional policy development. By and large the regional public servants have direct implementation and service delivery roles. It appears that most local authority chief executives have delegated this responsibility to others in their organisations. Intersect Waikato may provide a forum for aligning activity between some agencies, but it is not an effective forum for developing or pursuing distinct Waikato region approach to Waikato region issues.

⁶ Intersect Waikato, Terms of Reference 2013



Others

58. Across the Waikato region there are a large number of significant regional bodies with specific roles. These include:
- Sport Waikato and other regional administrative bodies for specific sporting codes
 - Creative Waikato and a range of creative and arts and cultural bodies
 - Momentum and a range of other significant philanthropic organisations
 - educational and research institutions, and the University of Waikato and Wintec in particular.
59. All of these other regional bodies make a significant contribution to the vibrancy of the people and communities of the region and to their well-being. These organisations are important partners. Some are very reliant on public funding. Others, like Momentum, have the potential to bring considerable philanthropic funds to bear to address regional issues. There is considerable scope for deeper engagement with the philanthropic institutions within the region.

Government Priorities and Engagement

60. The government has a number of priorities that will, or could, have a marked impact on the Waikato. However, few of these are specifically focused on regions, let alone targeting the Waikato itself. Across many of the government priorities it is too early to know or anticipate the nature of the potential impact on the Waikato. Many of the priority areas are currently the subject of wide-ranging reviews which will be completed either later in 2018 or early in 2019. The following paragraphs set out the core priorities that have currently emerged.
61. The government has clear priorities around the comprehensive review of taxation, employment law reform, pay fairness and equity, raising the minimum wage, and welfare reform. These are fundamental and important and they could have a significant impact on the Waikato and its people but will not be regionally driven policy choices. Unless there are Waikato-specific impacts from proposed policy changes, it will be difficult for the Waikato to drive changes in a national policy approach to these areas.
62. The Provincial Growth Fund is the most obvious and visible commitment by the government to regional development and the future of provincial New Zealand. At first blush, Waikato is not a priority, but the government has now accepted that the Waikato does not need to be one region and initiatives from parts of the region are valid and will be considered. In order to secure Provincial Growth Fund money, the region will need specific proposals and identified priorities. This means that, to a degree, it is a bit of a race, where some regions are better positioned than others with fundable projects scoped and ready to go. Some of the media coverage and apparent Ministerial frustration suggests that MBIE may still be applying some previous government thinking about economic development. As the way in which the fund works and is allocated changes to better align with the current government's priorities, there will be opportunities for the Waikato, especially for those parts of the region that have demonstrated high levels of deprivation.
63. Housing is a major focus for the government. The Minister is driven to address the shortage of housing, housing affordability, homelessness, and the quality of homes (especially rental properties). The rapid roll out of the Kiwibuild programme, and improvements to state housing are critical to the government. This goes hand in hand with institutional reform to better integrate land use and transport planning, and the creation of both the new Ministry of



Housing and Urban Development and one (or more) Urban Development Authority. The key point of intersection between these issues and the Waikato is in the Auckland – Hamilton growth corridor.

64. In the transport portfolio, this government has brought a substantial shift in emphasis. It will pay more attention to road safety, there will be less investment in State Highway construction, greater focus on Auckland and public transport, attention to the Auckland – Hamilton growth corridor, better integration of land use and transport planning, and progress on funding (fuel tax and regional fuel tax). The shift in emphasis means that the next stages of the development of the Waikato state highway network will be a far lower priority than would have been the case with the previous government. However, train services from Hamilton to Auckland are now a real possibility.
65. The need to address growth, housing and transport issues means that there is a real focus on the Auckland – Hamilton Growth Corridor. This is a tightly focused interest where the Minister is looking to make significant progress very quickly. There will be little appetite for complex and time consuming processes that involve parties that are not directly relevant to making immediate progress.
66. Health and education are also a significant government priority. This government is seeking to bring a real people focus to policy development, but faces major legacy underfunding issues. New investment is likely to be squeezed out by the need to deal with that legacy. Comprehensive reviews of most of the education and health systems are underway. Reforms will have an impact on the Waikato, but the timing and nature of those impacts are unknown. Health and education policy will be driven by national considerations. Education reviews may impact significantly on non-university tertiary education.
67. With respect to the environment portfolio, the government has priorities for addressing freshwater management and climate change. The establishment of a Climate Change Commission and a major emerging focus on adaptation to climate change will be marked differences from previous governments. Freshwater management and land use is a key priority. Biosecurity and biodiversity will also be key themes and reflect the influence of the Greens. This is an area of policy that is very complex and where the particular water management frameworks that have been created through Treaty settlements mean that the Waikato will need to be vigilant and make a significant contribution to policy development.
68. The focus on immigration policy is likely to reduce the number of migrants. This will change labour force dynamics and the nature of skill shortages. It will also change wage cost pressure and training needs. Reducing international migration may stimulate some internal movement, including the potential for movement back to Auckland.
69. The Government has started to engage seriously with questions about prisons, the prison population, rehabilitation, and reform of the approach to incarceration. This has already changed the likely investment in one major Waikato prison. It is likely to have further impacts on the need for and location of both prison and rehabilitation services.
70. Of considerably less national impact, but potentially important for parts of the Waikato, the Minister for Racing, Winston Peters, has both an abiding love of horse racing and big aspirations for the racing industry.
71. Overall it seems that the Waikato is not yet a real focus of the government. The Waikato is not the prime target for its provincial agenda. The government's view of the Waikato is perhaps more coloured by the Auckland growth agenda than its provincial growth agenda.



There are opportunities, but to realise them the Waikato will need to attract the government's attention. The government is in a hurry with a substantial agenda. To attract attention, the Waikato will need proposals (solutions), not problems.

72. Lastly, it is important to note that the government has no bureaucratic infrastructure with which to drive engagement with the Waikato. The Government Auckland Policy Office is the only regionally based policy capability outside of Wellington. It has taken more than a decade to get to where it is at and there are currently no plans to duplicate or extend it. Beyond this, there is a small capacity in the Department of Internal Affairs, the National Infrastructure Unit, and the MBIE staff devoted to regional economic development and the Provincial Growth Fund. Pathways to gain the attention of officials are not obvious or easy.

The Waikato Plan

73. The introduction to the Plan states that:

*"The Waikato Plan will provide the vehicle for creating traction and help us to leverage resourcing to ensure our region and our people prosper. Together we can harness the resources and opportunities of the Waikato as a collective, as together we can go further and achieve more. This first Waikato Plan document is what we have agreed to date, but it is just the beginning – it is the foundation stone and its contents will evolve over time as a living document."*⁷

"The Plan is based on two principles:

- Together we are stronger. Collaboration builds strength and understanding, fills gaps and cuts duplication.*
- To succeed as a region, all parts of the Waikato must be as successful as they can be.*

The Plan is more than a document; it is a reflection of close working relationships between leading organisations in the Waikato. This united approach will help co-ordinate a guide decision-making on complex regional-scale issues like population change, transport, water, economic development and the environment.

The Plan will help guide investment in our region from both the public and private sectors. It will help ensure appropriate funding goes to agreed priority areas, in a timely way. It clearly identifies how much money we need and where funding might come from and details how priorities will be addressed.

*The Plan does not duplicate regional or local initiatives already planned or underway, but supports a number of those initiatives. Importantly, the Plan provides our region with a strong, united and collective voice to Central Government and others on key issues."*⁸

*"The Plan does not over-ride statutory documents or the functions of statutory bodies/committees. It is a multi-agency agreement that provides strategic guidance and advocacy and has been prepared within the framework provided by the Local Government Act 2002."*⁹

⁷ The Waikato Plan, August 2017, p5

⁸ The Waikato Plan, August 2017, p6

⁹ The Waikato Plan, August 2017, p7



74. The breadth of the Waikato Plan and the way in which it is intended to connect to Waikato Means Business is set out in Figure 1.

Figure 1: The Waikato Plan Relationships and Priorities



75. The Plan is structured around five regional priorities. For each priority, the Plan identifies key actions to address them. Implementation actions span a significant range, and include: collaborating on a regional development strategy, conducting a housing needs assessment, support for a Waikato Medical School, the establishment of a freight and logistics action group, developing partnerships with Iwi, developing the Waikato as a Waters Centre of Excellence, growing visitor numbers, and implementing the Waikato Plan Aligned Planning project.
76. The Waikato Plan is a sizeable undertaking. Developing the Plan to the point of adoption cost the region \$1.345m. Table 1 sets out the budget that was then proposed to support the implementation of the Plan. The implementation budget anticipated ongoing expenditure in the order of \$0.5m per annum but expected that external (government) contributions would be able to be secured so that the total contribution from local authorities would decline over future years. In practice, government co-funding has not been able to be secured. Indeed, it seems unlikely that the government will want to contribute to the administration and support of the Waikato Plan. It may however be encouraged to contribute to implementation projects that align with its interests and priorities.



Table 1: Current Waikato Plan Implementation Support Budget

WAIKATO PLAN

Implementation Support Budget 2017/18 - 2019/20

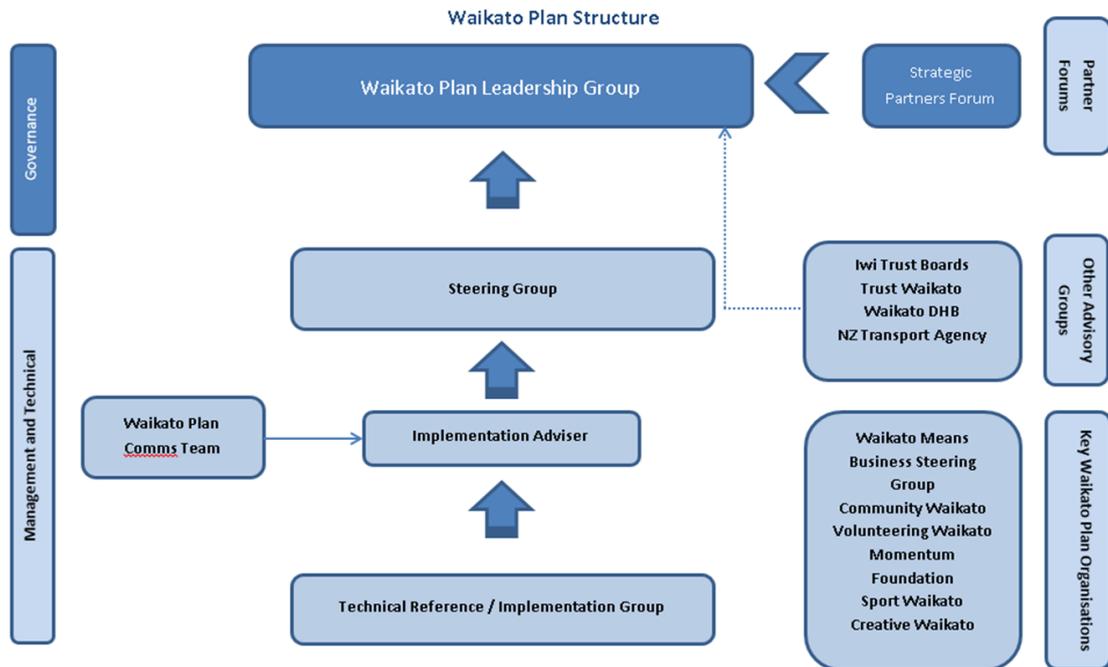
Budget	Proposed Budget	Proposed Budget	Proposed Budget
	2017/18 ¹	2018/19	2019/20
Joint Committee Remuneration (incl Independent Chair)	66,667	80,000	80,000
Support for Iwi engagement - including setting up an Iwi/Maori Forum	33,334	40,000	40,000
Implementation Advice	125,000	150,000	150,000
Senior Technical Support	58,334	70,000	70,000
Development of an Implementation Plan	12,500	10,000	
Implementation of the 10 Priority Actions	62,500	50,000	50,000
Aligned Planning Priority - continued implementation of this project	8,334	5,000	
Other implementation actions	29,167	30,000	25,000
Submissions / input into national approaches or documents	12,500	15,000	15,000
Alignment with Waikato Means Business	4,167	5,000	
Monitoring and reporting (annual report on progress)	8,334	10,000	10,000
Branding/Website maintenance	16,667	20,000	20,000
Project comms and engagement	8,334	10,000	10,000
Contingency	20,834	25,000	25,000
Total Project Expenditure	466,672	520,000	495,000
Revenue Contributions	²	³	⁴
Hamilton City Council ⁵	99,124	81,900	51,975
Hauraki District	16,810	15,600	9,900
Matamata-Piako District	35,873	31,200	19,800
Otorohanga	11,213	7,800	4,950
South Waikato District	17,445	15,600	9,900
Taupo District	0	0	0
Waikato District	66,100	54,600	34,650
Waikato Regional Council	168,190	140,400	89,100
Waipa District	44,017	35,100	22,275
Waitemo District	7,901	7,800	4,950
Total Funding Contributions	466,672	390,000	247,500
External funding contribution (minimum required for administration costs)		130,000 25%	247,500 50%

- Notes**
- 2017/18 budget is for a period of 10 months as implementation will begin once the Waikato Plan is adopted.
 - 2017/18 calculation based on current funding formulas. These will need to be revisited.
 - 2018/19 funding will be 75% Local Government contribution, 25% external
 - 2019/20 funding will be 50% Local Government contribution, 50% external
 - The funding contribution of Hamilton City Council includes \$58,000 (Yr 1, 70k pa Yr2 onwards) of senior technical support as included in budget above. As a result HCC cash contribution will be the full contribution shown less the cost of the senior technical support HCC will pay directly themselves. The budget and funding contributions do not anticipate any internal resources or 'in kind' contributions from any of the other Waikato Plan partners.
 - Any external funding received will be used in the first instance to reduce the WRC contribution reflecting that WRC is currently funding some of the implementation actions in the Waikato Plan eg. WMB, Waters Centre of Excellence.
 - Taupo District Council wishes to abstain from contributing to the implementation phase. The Chief Executive's forum on 24 March 2017 have agreed to meet Taupo's allocation on a pro-rata basis through a reallocation of contributions between the remaining Councils in proportion to their original percentage allocation.

- The implementation of the Waikato Plan is overseen by the Waikato Plan Leadership Group. The Leadership Group is established as a joint committee under the Local Government Act. The Leadership Group currently comprises 15 members and a further three observers. There has been ongoing debate and concern over the size of the committee and the nature of representation and involvement. The Terms of Reference for the leadership Group are set out in Attachment 1.
- The Waikato Plan Leadership Group is supported by a deceptively simple structure. The support structure set out in Figure 2 looks simple. However, the complexity comes from the number of partners involved in each level of the support structure. The Waikato Plan is seeking to bring together a large number of public, private and Iwi entities and interests. At each level, these differing interests present challenges in terms of the allocation, husbanding and management of resources and the need to reconcile potentially differing priorities, world views and mandates.
- In addition to the groups shown in Figure 2, the implementation of the Plan will require new groups to be established. It is likely that each major action could have a slightly different set of key partners. Each action will need to be resourced, managed, and the programme of actions will need to be integrated effectively.



Figure 2: Waikato Plan Implementation Structure



Feedback

80. The feedback from those that were interviewed was mixed but had some clear themes. There are some quite different, even incompatible views around the Waikato Plan and its future. The following statements reflect the feedback that was received through the review. It is not considered helpful to attribute the feedback, and the following statements are paraphrases rather than verbatim statements. The feedback included:

- a view that the development of the Waikato Plan and the development of the evidence base in particular has had some positive outcomes and challenged conventional thinking about the nature of the issues and opportunities the region faces
- recognition that the process of developing the Waikato Plan has led to the pursuit of a number of initiatives along the way, including: rationalisation of policies, plans and by-laws; the development of regional infrastructure standards; and aligned planning processes for resource consents
- a recognition that the development of the Waikato Plan reinforced the thinking and commitment to the development of a regional economic development agency and has provided impetus to work to streamline consenting processes and that these were worthwhile
- a concern that the Waikato has invested substantial resources in the Waikato Plan, that investment has got the region to the start line, but efforts to develop a real implementation programme have gone nowhere so far



- a concern that the Waikato Plan Leadership Group was too large and unwieldy to exercise effective governance and oversight of a programme of work
- a view that the Waikato Plan Leadership Group now has the breadth of representation necessary to make progress
- an expectation that through the Waikato Plan and the Waikato Plan Leadership Group the region would have one voice and be able to engage with government to reallocate resources
- concern over the what 'one voice for the Waikato' actually means and the mandate, authority and ability of the Waikato Plan Leadership Group to speak on behalf of each organisation within the region – and in particular to make decisions or engage with government in ways that had the potential to cut across the interests and responsibilities of partner agencies
- concern over how one voice for the Waikato can work in relation to the leadership role of elected representatives (especially Mayors)
- frustration at the amount of effort that is required to make progress with so many partners and how long it is taking to frame up implementation actions
- concern over a perceived lack of business case discipline and rigour around the identified actions in the Waikato Plan and the merits of some actions (several people noted concerns in relation to the focus on autonomous vehicles)
- a view that real value comes from the conversation and engagement between the parties and that the Waikato Plan Leadership Group provides a unique opportunity for that
- recognition that the development of the Waikato Plan has built up social capital through the development of cross-agency relationships
- a view that the region needs to focus on action rather than talking and the Waikato Plan Leadership Group is something of a talk-fest that will not deliver credible actions
- a view that the Waikato Plan is a plan (written document), that planning is now finished, and it is time to implement that plan
- a view that the Waikato Plan is a process, that the process will be ongoing, and the written document has little significance
- some rather unflattering comparisons between the considerable progress that had been made through Waikato Means Business and the perceived lesser progress made in regard to the Waikato Plan
- concerns over the real commitment of the organisations to implementation and whether the Waikato Plan process can move beyond motherhood and apple pie type statements
- significant hope that the Waikato Plan process can realise significant opportunities for the Waikato
- observations that the Waikato Plan was developed primarily by the Mayoral Forum and that it had now been passed to a rather different group to implement, questioning the level of both understanding and ownership of the Plan by the newly populated Waikato Plan Leadership Group
- concerns (in particular from some of the newer members of the Leadership Group) over some of the specific actions and whether they were wise, appropriate, or necessary given other initiatives that they were aware of but the authors of the Plan perhaps did not know about



- a view that the new Leadership Group would take some time to gel and that this was a normal storming and norming process
- concerns over the level of input (control) over the process that local authorities had and a desire to see other voices playing a bigger role
- concerns over the mandate of 'other voices' and what weight should be given to them in comparison with those with an electoral mandate
- a recognition that trying to drive collaboration across the whole region and across such a broad range of stakeholders was challenging (some said impossible)
- recognition that the Waikato region was not a cohesive community of interest and that there were sub-regions with more obvious shared interests and issues
- recognition that the government's key priorities with respect to the Waikato were not region-wide
- a sense that it will be very difficult to attribute benefit and value to the partners but that does not mean that there will be no benefits
- a sense that the Plan and the Leadership Group tended to be dominated by local authority views and whilst they were valid, they tended to revert to the physical planning of infrastructure and land use control, rather than on the broader drivers of well-being, including the drivers of the economy and the drivers of poor health outcomes
- a desire to use the Plan processes to make a concerted effort to improve health outcomes by focusing on the broad determinants of health and well-being
- thoughts on how to improve programme delivery structures and the adoption of project management, monitoring and reporting disciplines
- thoughts around the composition of the Leadership Group, including both greater and fewer members, and giving participants voting rights
- views that there is significant potential for the Waikato Plan to be successful, but that people and organisations do not have the time or resources to be active partners unless there is a clear commitment from others and the processes for implementation are clear and achievable
- a sense that in order to continue to invest (both money and time) there needed to be greater confidence that sensible and beneficial actions would follow, and if that could not be achieved then it was time to rule a line under the initiative and move on.

81. In some ways the diversity of feedback is completely normal and expected. The Waikato Plan Leadership Group reflects very different people and with differing drivers, mandates, responsibilities and objectives. The Leadership Group includes some that have a long history of involvement in developing the Plan and others that are completely new to the Plan and the Plan processes. Differences of this nature have existed since the Waikato Plan was initially conceived. It is considerably easier to paper over or ignore differences when focused on high level statements of principle that may be considered by those who do not share the view to be 'mostly harmless'. It is considerably more difficult to ignore differences once the focus is on the implementation of specific initiatives that require considerable effort and investment, where one or more parties see no benefit, or worse, consider that the initiative undermines them. Implementing the Waikato Plan requires the shift from high level principle to actual action. Differences between the parties will surface and will have to be addressed.



Observations and Conclusions

At the Cross-Roads

82. The prime conclusion that the reviewer has reached is that the Waikato Plan initiative is at a major cross-roads. Either it needs to be re-shaped and re-energised or it should be wound up in its current form and the partners encouraged to pursue the implementation actions directly.
83. The Waikato Plan has provided a valuable evidence base, set a vision for the development of the region and identified a range of actions that, if implemented, could help to achieve the vision for the Waikato.
84. However, since the adoption of the Waikato Plan, the region has so far been unable to translate the Waikato Plan priorities into implementable projects with the resources necessary to be successful. There are sound and understandable reasons for not yet being able to deliver implementable projects. It has taken time to establish implementation structures and secure effective tangata whenua input. Securing scarce public sector resources can be time-consuming and difficult – particularly where there are many partners.
85. The lack of progress on implementation and uncertainty and lack of shared vision regarding the role and purpose of the Leadership Group mean that the whole initiative is now at risk of failing to make the transition between plan making and plan implementation. Making that transition will not be easy or straight-forward. Having a large number of partners brings with it a higher risk of failure. There is a risk that further expenditure trying to frame up and progress implementation actions could be wasted.
86. On the other hand, the objectives of the Waikato Plan will only be achieved by many players. The objectives are beyond the ability of any one player to achieve by themselves. Therefore, winding up the Waikato Plan in its current form and encouraging the partners to pick up the implementation actions without a broader and ongoing framework carries the risk that a substantial part of the investment that has been made to date will be wasted.

Other Observations and Conclusions

87. Having considered the feedback from interviews, the desktop research and the range of factors required in the terms of reference, the reviewer makes the following observations and conclusions.

The Waikato region is not a cohesive or coherent region of interest and is not the best scale to address all issues.

88. The Waikato region is not necessarily a coherent community of interest. The 'region' is united because of water and the need to effectively manage water across the catchments of the Waikato, Waipa and Paiko-Waitoa-Waihou systems. But underneath that there are distinct sub-regional communities of interest, including the west coast of the region and the Coromandel peninsular.
89. Whilst the Future Proof sub-region is united by the need to manage urban growth and provide substantial urban infrastructure, outside of that area most of the districts have different drivers. These include: the transformation of rural production systems and what that means



for demand for labour, aging populations and the future of small rural towns, the delivery of services to rural towns, and how to drive economic growth in the face of significant forces driving the decline of rural towns.

90. The distinct sub-regional communities of interest and the different issues and challenges that unite them means that not all issues are most sensibly dealt at a regional level. Sub-regional collaboration may be a far more sensible way to obtain the benefits of scale that come from pooling resources whilst being able to focus on the specific issues and solutions that communities have in common.
91. This approach has been explicitly recognised in the establishment of the regional economic development agency. It will be just as relevant in other initiatives.

There is considerable value in the underlying evidence base.

92. In producing the Waikato Plan, considerable effort was devoted to understanding some of the underlying demographic and social issues across the region. Most recently, the report on deprivation has highlighted real deprivation, previously hidden by district and region wide averages.
93. There is considerable value in the underlying evidence base and the research that was conducted to bring it together. However, the value of that work will diminish over time as it becomes dated and things change. It will be necessary for this sort of work to be repeated from time to time to ensure that decision-makers understand the issues and can make informed and evidence-based decisions.

Significant leadership discontinuities have impacted on momentum and direction.

94. The development of the Waikato Plan has been overseen by a joint committee that until the adoption of the plan was largely comprised of Mayors of the region and the Chair of the regional council. There have been significant discontinuities in leadership, most importantly following the 2016 local government election and then subsequently when the membership of the committee was changed to introduce Iwi and a broader range of business and community representatives.
95. These discontinuities in leadership are important. On each occasion, fresh perspectives and different expectations were introduced to the group. This has been both helpful and difficult. The fresh perspectives have added the potential for engagement with partners that were not previously engaged. They have also meant that a lot of prior thinking has been challenged, requiring re-work and what some members would consider 'wheel-spinning' while that takes place.
96. The most recent discontinuity in the membership of the leadership group has been a significant factor contributing to the lack of progress with implementation.

Underlying and unresolved differences in vision for the plan between the partners.

97. It was evident from the meeting of the leadership group attended by the reviewer, and from the interview feedback, that amongst the partners there are different visions and expectations as to what the Waikato Plan is and what it could achieve. Some of these go right back to the beginning of the Waikato Plan because some partners still really want the



Waikato Plan to be a spatial plan and provide the basis for shifting capital around the region. Others see the Plan as more of a process of engagement and conversation, others see it as a way of developing the agenda of shared action across the region. These differences in vision create ongoing debate and/or the temptation to relitigate issues and go right back to the beginning.

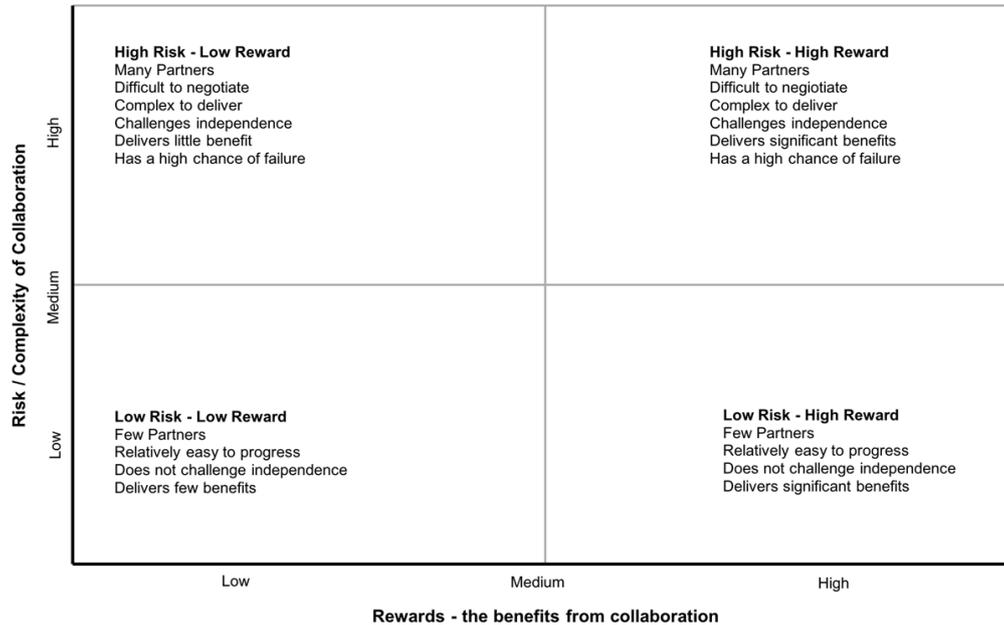
98. For the Waikato Plan to realise its potential and justify the significant investment to date, the partners need to find a way to stop relitigating issues and build on what has been done, rather than keep going back to the beginning. Unless this can be done, the Plan will achieve little. For the government to be attracted to engage as a partner to implement actions arising from the Plan, it will need to be convinced that the Plan partners are serious, committed to action, and that the initiatives are sound, robust, and enjoy support from across the region.
99. If these differences in aspiration cannot be honestly dealt with and resolved, it would be better to stop and rule a line under what has been done than to continue with little chance of making more substantive progress.

What is being attempted is hard and it will not get easier.

100. Where collaboration is possible and would provide benefits, the general rule is that the greater the scale of the collaborative effort, the greater the potential benefits. However, the greater the number of partners, the more complex and difficult it is to collaborate, and the lower the chance of success. This presents a real conundrum. Successfully tackling large, common challenges offers the greatest potential benefit from collaboration, but is difficult, particularly where it challenges the independence of each partner.
101. Another aspect of the collaboration conundrum is that partners generally will not commit until they see that there are real benefits for them and their communities. However, significant joint expenditure can be required to develop joint policy positions or joint business cases before the nature and extent of benefits are clear. There is potential for partners with weak incentives and no real likelihood of agreeing to, or funding, joint action to sit at the table, influence the design of the solution and then opt out when a real commitment is required. This 'going along for the ride' behaviour is made easy by funding frameworks that make it possible for some partners to sit at the table with no real skin in the game.
102. This conundrum can be expressed as a simple risk/complexity and reward framework. Placing risk and complexity on one axis of a graph and the size of potential benefits (reward) on the other provides a graphical representation of the relative merits and challenges of collaborative efforts. This is shown in Figure 3.
103. Generally, the complexity and risk of a joint initiative increases rapidly as the number of partners increases. It also increases rapidly if, in order to secure the potential benefits, the partners would need to give up some of their independence and either share, or delegate decision-making responsibilities.
104. All of the initiatives that have been identified through the Waikato Plan sit in the two upper quadrants of Figure 3. To be worthwhile, implementable actions should sit in the upper right quadrant. They are by definition hard, and require the involvement of multiple partners. They are designed to address issues that are beyond the remit, resources and capacity of organisations acting alone, and there is a real risk of failure.



Figure 3: Risk / Complexity and Reward Framework



Hard to see the value and even more difficult to attribute the benefits of work to date.

- 105. As well as being difficult to do with a high risk of failure, the worthwhile joint initiatives arising from the Waikato Plan are likely to be long-term and will not necessarily provide a direct benefit to those that resource them. Indeed, it will be hard to attribute the benefits.
- 106. This is doubly so for the work that has been done to date because it really sets the framework for thinking about the region and scoping and prioritising joint initiatives that will help to achieve the outcomes sought by the Plan. Actual implementable actions are the intended next step. It is entirely understandable that those who have a strong action orientation are frustrated by the slow progress to action and see limited direct benefits from what has been done so far.

There is potential for strong alignment with government objectives, but this will need some work and some re-framing of the Waikato Plan actions.

- 107. There are major areas of the Waikato Plan that are strongly aligned with the current government's priorities. Others can be made to better align by reframing them in the language of this government rather than the language of the previous one.
- 108. Whilst much of the discussion over recent months seems to have been focused on economic development, housing, the reorientation of government's transport objectives and managing growth, the area where there is perhaps the most obvious alignment and the most fundamental long-term need for collective action is in relation to the intersection between:



- environmental objectives relating to both water quality and the availability of water
- economic objectives, the reliance on primary production, and the need to fundamentally change land use practices in order to achieve environmental outcomes
- the high cost of upgrading and replacing infrastructure to meet rising standards and the ability of communities to pay for it
- the impacts on climate change on flooding, land use and the viability of both some settlements and some land use practices
- the cost of adaptation and what that means for people and communities
- the deep commitments that have been made through Treaty settlements and other agreements to clean up and restore rivers.

109. The government has clearly signalled its intention to focus on meaningful responses to climate change as well as effective water management and improving water quality. Water is the one thing that unites the Waikato Region. Changing the way in which water and land is managed is the most profound multi-agency, multi-partner, business and community issue facing the region. It is an issue that is of fundamental importance to iwi, where the Regional Council has direct and far reaching responsibilities. It is also an issue that directly affects every local authority because they are very significant users of water (for municipal supply) and, through both wastewater and stormwater systems, significant sources of discharges to both land and water. It is an issue that directly impacts on many aspects of government, and where some potential responses have the potential to impact significantly on small rural communities – either positively or negatively.

110. For the Waikato to achieve economic prosperity while at the same time restoring rivers, making major changes to land use practices and adapting to the impact of climate change, it will need a broad range of both regulatory and non-regulatory actions and substantial collaboration between many partners over the long term.

On-going need to drive regional economic development strategy

111. To date Waikato Means Business has driven both economic development strategy and the implementation of the strategy. The regional economic development agency will be focused on implementation. This means that there will be an on-going need to drive the strategic thinking about economic development from outside the new agency and ensure that it has a strategy to implement.

The framework of technical and executive support is complex and probably ineffective and decision making and resource allocation is difficult.

112. The framework of technical and executive support for the Waikato Plan is set out in Figure 2. It is complex, has multiple layers, and decision making at each layer is complicated, because at most levels there is no way of committing an organisation to a particular course of action. This means that making progress is dependent upon the independent consultants (who themselves can't command the allocation of resources) and the Chief Executives' Forum. Importantly, the Waikato Plan Leadership Group itself has no real scope to allocate resources other than the limited amount that has been contributed to the plan development and initial implementation process.

113. The Waikato Plan and its processes are only one of the region-wide collaborative efforts that compete for attention from decision-makers. Chief Executives in particular have little time to



do any heavy lifting or analysis, or to provide technical direction to the Waikato Plan work. This makes progress difficult, and means that there is a real risk that organisations sit at the table but do not really 'own' the decisions.

Decision making and analytical frameworks are not as robust as will be required.

114. The evidence base that underpins the Waikato Plan is sound. However, in developing the action, it seems that the sort of business case discipline that the government would expect has not been rigorously applied. Clearly the next phase of the implementation programme is intended to develop business plans for the priority actions. In order to secure funding, these business cases will need to be robust and the initiatives considered would need to be sound and implementable.

115. At the last workshop, the reviewer observed a very free-wheeling discussion on priorities. The discussion appeared uninformed by the potential cost or impact of initiatives, and indeed by what some partners are already doing. To make credible progress, the Leadership Group will need to be supported by further sound technical work to deliver credible business cases. It will also need to ensure that the insights and understanding that the new committee members have of what is actually going on across the Waikato is shared.

There is considerable optimism from some partners – the opportunities are real.

116. Some of the Waikato Plan partners have considerable optimism over the potential of the initiative to provide something of a 'game-changer' within the region. There is genuine excitement from some over the potential to do things differently and to untap the potential of non-government organisations within the region.

There are mixed levels of commitment and institutional support.

117. There is some strong support for the Waikato Plan, but overall support is mixed and there is a degree of scepticism from many partners, and some that really question the value of continuing. If the Waikato Plan is to achieve its potential and the vision that some partners hold, the Leadership Group will need to secure higher and more uniform levels of support from partners.

There is a need to recognise the difference between directing the use of other people's resources and guiding and encouraging their decisions.

118. One of the tensions within the Leadership Group and between the partners is a degree of nervousness over the potential for the Leadership Group to attempt to direct their decision-making and their resources. For some local authority partners this is a concern over their statutory obligations to their community, their statutory decision-making requirements, and the recognition that elected representatives have stood for office to secure a mandate to make those decisions. Where the Waikato Plan seeks to direct others rather than encourage them to reach the same conclusion, it will fail. The Waikato Plan relies on the power of persuasion and convincing argument, not on coercive powers. It relies on goodwill and voluntarism not on regulation or instruction.

The role as clearinghouse and facilitator is more important than the role as a decision-maker.

119. If the Waikato Plan is to achieve its potential, the Leadership Group will need to understand the difference between acting like a board of directors ('directing' the use and allocation of



resources), and acting as a broker and facilitator that encourages the reallocation and sharing of resources to secure better outcomes. It is the latter of those two roles that the Waikato Plan Leadership Group can fulfil. If the group is seen as trying to direct the use of other people's resources, it will fail. Acting as a broker, facilitator and encourager with multiple partners is far more difficult than a more directive style. It will require finesse and artful management.

120. If the role of clearinghouse and facilitator is accepted, then having many partners at the table in the Leadership Group is a good thing. It will ensure that relevant perspectives can be heard. It will ensure that opportunities to align efforts can be understood, and it allows those at the table to bring back to their organisations the issues and priorities for the region.
121. If the Leadership Group was seeking to act as a decision-maker and direct the resources of others, then the very large number of members would make decision making cumbersome, difficult and time consuming, but ultimately fruitless, because it simply cannot direct the resources of the partners.

Some implementation actions are now dated, not practical, implementable, or will not be cost-effective.

122. With the change in government, some actions (like the new medical school) have been ruled out quite quickly. Others that were not considered a priority (housing) may now have a better chance of securing government attention. Other actions, like the emerging focus on autonomous vehicles, may simply not be practical or implementable within the Waikato context.
123. In moving to implement the Waikato Plan, discipline will be needed to work through the proposed actions to determine whether or not they should progress any further. A staged business approach would be the most cost-effective way of filtering possible implementation actions and progressing those that warrant further effort.

Implementation actions need to be projectized and resourced if they are to progress.

124. The current Implementation Programme sets out a number of priority actions over the period 2017/18 to 2026/27. For the first tranche of actions it sets out some tasks and KPIs relating to progress. The Implementation Programme indicates actions for Tranche 1 with costs estimated to be in the range of \$500,000 to \$600,000. The Programme anticipates government contributions to the actions.
125. The actions in the Implementation Programme are too high level and not yet sufficiently defined to secure either serious partner funding or a government contribution. Some of the Connection actions have been achieved in part (Iwi are now represented on the Leadership Group) but most of the initial Connection actions will be very difficult to achieve in the abstract. Models for engaging with government are more likely to evolve in the context of real projects than from an in principle engagement about working together. The current government is in too much of a hurry to drive significant reform for it to spend time in complex conversations that are not leading anywhere.
126. Few of the actions have an identified implementation pathway and many have multiple participants, but as yet no identified lead and no identified project or delivery structure. Generally, business cases for implementation actions have not been developed and, as a consequence, resources have not been allocated. In large part, this simply reflects where



the Leadership Group is at in the process of implementing the plan. However, this also reflects more underlying issues with the way in which the Waikato Plan is supported and resourced. To make progress, the technical and executive support for the Plan and Plan Actions will need to be refocused, resourced and energised to produce a series of business cases that the Leadership Group can then use as the basis of its work with potential partners to secure funding and resource commitments. Actions will need to be projectized. Project teams will need to be established. Without this sort of activity, no progress will be made.

Resourcing is difficult and the budget is for unspecific actions.

127. At the moment, resourcing is limited and difficult. The contributions from the local authorities are limited and at this stage other partners are contributing nothing more than the time and energy of their representative on the Leadership Group. The key to changing this is the point of defined implementation projects with robust business cases that demonstrate the value of the initiative and provide the way to secure resources.
128. The current budget for the Waikato Plan includes some funding for implementation, but the implementation actions are still unclear and need to be projectized and resourced. Allocating budget for unspecified activity is very difficult for all of the Waikato Plan partners. It is likely that partners will be more inclined to contribute to implementation projects that they see real value in than to the generic support for the Waikato Plan. Recognising this, it would be sensible to strip out of the current budget funding for implementation and only fund the resource required to support the Leadership Group, undertake monitoring and reporting, develop implementation business cases, and support the establishment of projects.
129. Adopting this approach would mean that implementation initiatives would stand or fall on the strength of their business case and the willingness of partners to specifically fund them. This approach means that partners can focus their efforts and resources on the things that mean the most to their constituents.

There is a reliance on contracted expertise, lack of 'ownership' and institutional responsibility.

130. Progress with the Waikato Plan is, at the moment, largely dependent on the capacity and efforts of two external contractors. These two have made a profound contribution to the development of the Plan. Without their efforts, the Plan initiative would previously have floundered and come to nothing. However, the reliance on these two contractors tends to obscure the lack of integrated institutional support for the Plan's actions and the support of the Leadership Group. One of the consequences of this is that none of the partner agencies (and the local authorities in particular) feel ownership for the process, or responsibility if things don't get done, or are not effective.
131. To progress from plan making to plan implementation, considerable work needs to be done to develop business cases and establish and resource projects with defined leaders and clear objectives and outcomes. This activity and reporting on progress will be the core ongoing work to support the operation of the Leadership Group. In many respects, this is similar to the role that Harvey Brooks played with respect to Waikato Means Business as it worked through the phase from conception to the development and adoption of the business case for establishing the regional economic development agency. It would make sense for this resource to be embedded in one of the partner agencies. The reviewer considers that the Waikato Regional Council would be the logical home for this resource.



There is potential for others to fund activities.

132. There is significant potential to unlock funding from a range of organisations that are not currently part of the Leadership Group. There is significant scope within the philanthropic sector to contribute to initiatives that are aligned to their mandate. Momentum has signalled a real interest in working with the Waikato Plan partners to progress a range of issues that are important to them.
133. Equally, there is significant scope to secure government funding for some actions. The Provincial Growth Fund offers considerable scope, but to access it, the region will need to have specific projects that have a convincing business case that fits within the Fund's criteria and objectives. There is significant potential to align Waikato projects with the government's emerging climate change and water programmes. Again, to secure this funding, the region will need to have a sound proposition.

Likely implementation projects will involve some of the Waikato Plan partners and not others. Some will have sub-regional focus.

134. The current Implementation Programme includes a number of initiatives (like the rail connection from Hamilton to Auckland) that are inherently sub-regional. It is important that in developing, framing and pursuing implementation projects, the partners recognise the need for those directly involved to lead, drive and make decisions. Whilst the Leadership Group needs to understand broadly what is going on, it cannot be driving the decisions on every initiative.

Some implementation projects relate to the statutory functions of some partners.

135. A significant number of the actions identified under the Environment priority are the core statutory function of the regional council, or joint agencies and relationships established with Iwi through Treaty Settlements. Some implementation actions within the Connections priority are the direct responsibility of the local authorities, NZTA and the Regional Transport Committee.
136. The Waikato Plan Leadership Group cannot do the job of these organisations for them. It can provide leadership in terms of priorities. It can help to identify interconnections and help to line up joint action. It can act as a facilitator. It cannot act as a decision-maker. It cannot seek to do the job of responsible agencies for them.

One voice for the Waikato is unrealistic – many voices saying the same thing is more achievable and would be more powerful.

137. One of the strong themes that emerged from the interviews with Waikato Plan partners was the goal of being able to speak with one voice for the Waikato. Quite what that meant in practice differed amongst those that were interviewed. Some felt that the Waikato Plan Leadership Group should be the spokesperson for the region. Some felt that it was important that the Leadership Group was the vehicle for engagement with government. Others struggled with the mandate and ability of the Leadership Group to speak for the region. Some had a great deal of difficulty with the notion that the Leadership Group would become the point of engagement between the region and government – particularly given the electoral mandate and responsibilities of local authority politicians.



138. Each of the partners that are involved in the Leadership Group have their own voice, their own mandate and their own legitimacy. Each has their own ability to engage with government and with other partners. Each has their own credibility and role. There will be issues where the partners will not be in agreement. There will be issues where, because of statutory responsibilities or tikanga, one or more of the partners cannot agree to another group speaking on their behalf. It is unrealistic to strive for the Leadership Group being the one voice for the Waikato region. Indeed, this could be a weak proposition, because in order to reach agreement between all of the partners, the message is likely to become a mild, lowest common denominator, do least harm version of what might be said.
139. The reviewer is strongly of the view that many legitimate voices saying the same thing would be a far more powerful proposition for the Waikato than one joint committee seeking to speak on behalf of many. Adopting the many voices saying the same thing approach means that the Leadership Group becomes the facilitator of the message and the point at which the parties are encouraged to say the same thing. Authority and influence will then stem from the power of being united in common cause, rather than by ceding authority to speak for you to someone else.
140. As with the role of clearinghouse and facilitator, not board of directors, once you accept that many voices saying the same thing is a stronger proposition than one entity seeking to be the one voice of the Waikato, then having a large number of parties on the Leadership Group is a good thing. The greater the number of partners that say the same thing, the stronger the message will be.

The Cross-Roads

141. As noted above, the prime conclusion that the reviewer has reached is that the Waikato Plan initiative is at a major cross-roads. Either it needs to be re-shaped and re-energised, or it should be wound up in its current form and the partners encouraged to pursue the implementation actions directly. As discussed above, there are issues and risks associated with either course of action. The key issue to consider at this cross-roads is the balance between the potential to realise benefits and the risk that substantial effort and scarce resources are devoted in initiatives that do not, or worse, cannot succeed.
142. There is considerable opportunity for the Waikato Plan and the core collaboration between the partners to make a significant contribution to the development of the Waikato. The issues, opportunities and challenges facing the region are such that partners acting by themselves are unlikely to achieve the best outcomes. A number of challenges (like adaptation to climate change and dealing with water quality and river health) are so profound that multi-year, multi-party responses that address some of the fundamentals of the Waikato community and economy will be necessary. The Waikato Plan currently provides the best opportunity to bring together that sort of response from within the region.
143. Despite the opportunity, the reviewer considers that, for the Waikato Plan process to continue, partners need to have greater confidence that:
- a) The Plan can be translated into discrete and implementable projects based on sound business cases and clear objectives and deliverables. If the partners are not confident that they can make this transition from plan making to plan implementation then they should choose to stop now rather than waste effort and scarce resources.



- b) The Leadership Group can function as a clearinghouse, facilitator and influencer, encouraging the allocation of resources rather than as the place that directs other people's resources. If the partners are not confident that the Leadership Group can operate in this way then they should choose to stop now rather than waste effort and scarce resources.
 - c) The Leadership Group can function as the facilitator of the message and the point at which the parties are encouraged to say the same thing rather than as the 'one voice' for the Waikato region. Authority and influence will then stem from the power of being united in common cause with many legitimate voices saying the same thing, rather than by ceding authority to speak for you to someone else. If the partners are not confident that the Leadership Group can operate in this way then they should choose to stop now rather than waste effort and scarce resources.
 - d) The Chief Executives Steering group can provide the meaningful support that is required for the Leadership Group to be effective, including support to respond to changing circumstances and emerging opportunities.
144. There are a number of straight forward things that the partners can do in order to gain the confidence that they may need to proceed.

A Way Forward

145. It is recommended that if the partners choose to proceed with implementing the Waikato Plan, they take the following actions to re-shape and re-energise the programme and the way that it works:
- a) Make changes to the Terms of Reference for the Waikato Plan Leadership Group to reflect the refined role and function of the Group as a clearinghouse, facilitator and influencer, encouraging the allocation of resources rather than as the place that directs other people's resources.
 - b) Make changes to the Terms of Reference for the Waikato Plan Leadership Group to reflect the refined role as the facilitator of the message and the point at which the parties are encouraged to say the same thing rather than as the 'one voice' for the Waikato region.
 - c) Strip implementation funding out of the Waikato Plan budget and secure implementation funding on a project-by-project basis based on the merits of the business case and the willingness of the partners to fund the activity.
 - d) Allocate specific resources through the regional council to undertake the critical project manager, programme development, programme coordination, and business case work that is required to make the transition from the plan making phase to the plan implementation phase.
 - e) Establish a core Waikato Plan project team at the regional council and manage an appropriate transition from the existing contracted project support resources to the new team.



- f) Establish project-specific governance, reporting and funding arrangements for each implementation activity that reflect the nature of the activity and the partners. All implementation activity should be reported to the Leadership Group so that it can undertake its core facilitation clearinghouse roles.

146. The core Waikato Plan project team is likely to involve around two FTEs, but that may include some part-time roles. The team would need to be supported by the host council and be able to call on the senior managers and the chief executive in order to resolve issues and address problems as they may arise. Core skills and experience would need to include:

- project management, monitoring and reporting
- broad policy and implementation experience
- a deep commitment to and affinity with the Waikato region and its people
- an understanding of Māori values and tikanga and an ability to work effectively with iwi
- ability to work collegially with many parties
- ability to build credibility with leaders, technical experts, business and community leaders
- effective facilitation and negotiation skills
- breadth of experience across agencies and across initiatives designed to address more than one of the four well-beings
- business case development
- ability to operate in and support a complex political environment
- experience in advocacy and communications.

147. The funding framework will need to be changed in order to make the recommended transition. It is also important that the current contractual obligations are respected, and that the sufficient resourcing is available. This means that it would be wise to carry forward any under expenditure from the current year and use contributions for 2018/19 provided in Council Long-Term Plans to support the Waikato Plan and the transition process.



Attachment 1: Waikato Plan Leadership Group Terms of Reference

Waikato Plan Leadership Group Terms of Reference

The Waikato Plan Leadership Group has been established to implement the Waikato Plan in accordance with the functions as set out in the Terms of Reference below. The Waikato Plan Leadership Group is to be comprised of local government (elected members), tāngata whenua representatives, independent non local government members (representing business and the community) and non-voting members (government agencies).

Terms of Reference for the Waikato Plan Leadership Group (Joint Committee)

Waikato Plan Leadership Group (Joint Committee)

Purpose: Pursuant to Clauses 30 and 30A, Schedule 7 of the Local Government Act 2002, to establish a joint Committee of partner Councils of the Waikato Region and tāngata whenua with additional representation from business and the wider community as well as government and regional agencies to implement the Waikato Plan. This joint committee is known as the ‘Waikato Plan Leadership Group’.

Objectives: The Leadership Group has been established to govern, lead and resource the implementation of the Waikato Plan and any reviews or updates to the Plan. The aim of the Waikato Plan is for the region to speak with ‘one voice’ on agreed top priorities, so that our messages are consistent and collectively shared.

The Waikato Plan’s aim for the region is “to build champion communities together”.

Membership: The membership shall be comprised as follows:

- Independent Chairperson (non-elected member) – voting
- Local Government – five elected member representatives - voting
- Tāngata whenua – up to six representatives – voting
- Business / Community – up to four representatives - voting
- Government / Regional Agencies – up to four representatives – non-voting, with the NZTA and Waikato District Health Board having one representative each¹

Delegations: The Leadership Group is delegated the following functions in support of its overall purpose:

Implementation and Monitoring

- Provide regional leadership on the strategic direction and top priorities identified in the Waikato Plan.
- Oversee the implementation of the Waikato Plan, in particular the

¹ Refer to the Waikato Plan Leadership Group Agreement for specific details of the membership



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- actions, and any changes to the Plan.
 - Recommend to Council partners any finalised plan changes or amendments for adoption.
 - Take responsibility for progressing those actions specifically allocated to the “Waikato Plan Leadership Group” in the Plan.
 - Champion integration through partner strategies, programmes, plans and policy instruments (including National Policy Statements, the Regional Policy Statement, Regional and District Plans, Long Term Plans (LTPs), Annual Plans, transport plans and triennial agreements) and through partnerships with other sectors such as health, education and business.
 - Establish protocols to ensure that strategy implementation, where necessary, is consistent, collaborative and/or coordinated to achieve optimal outcomes.
 - Monitor and report progress against Waikato Plan actions and Key Performance Indicators.
 - Ensure organisation systems and resources are in place to support plan implementation and any subsequent changes to it.
 - Overview the management of identified risks.
 - Formulate and adopt a funding plan to achieve support from non-local government agencies.

Advocacy, Engagement and Consultation

- Undertake advocacy in respect of plan implementation and facilitating engagement with relevant agencies and sectors.
- Engage with Central Government and other regions on matters relevant to the Waikato Plan.
- Make and approve submissions to local authorities, central government and other agencies on Waikato Plan related matters as required.
- Formulate, manage and have oversight of the running of any special consultative procedure or any other consultation, including those associated with any changes or amendments to the plan. This may involve adopting any draft plans or strategies for public consultation.
- Undertake early engagement with plan partners, the Waikato Mayoral Forum and other entities in respect of undertaking any changes or amendments to the adopted plan.
- Provide and maintain partner relationships and provide for the resolution of any conflict.
- Establish, maintain and engage with any Waikato Plan Partner Forums.

Leadership Group Operations

- Oversee the ongoing selection and appointment of representatives to the Waikato Plan Leadership Group.
 - Select and appoint an Independent Chairperson and a Deputy Chairperson.
 - Implement any Memorandum of Understanding agreed between the partners.
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- Approve and implement the Agreement as adopted by the Leadership Group.

Meeting frequency: Bi-monthly or as necessary and determined by the Independent Chairperson.

Resolution to Exclude the Public

Section 48, Local Government Official Information and Meetings Act 1987

The following motion is submitted for consideration:

That the public be excluded from the following parts of the proceedings of this meeting, namely consideration of the public excluded agenda.

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

General subject of each matter to be considered	Reasons for passing this resolution in relation to each matter	Ground(s) under section 48(1) for the passing of this resolution
C2. Potential legal matters relating to the draft Development Contributions Policy) Good reason to withhold information exists under Section 7 Local Government Official Information and Meetings Act 1987	Section 48(1)(a)

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

Item C2.	to maintain legal professional privilege	Section 7 (2) (g)
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