Wai Hononga Water Services Limited

BOARD PACK

for

Wai Hononga | Public Inc Board Mtg | 14 Sept 2026 | In Person

Monday, 14 September 2026

10:00 am (NZST)

Held at:

NPDC

84 Liardet Street, New Plymouth Central, New Plymouth, New Zealand

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AGENDA

WAI HONONGA | PUBLIC INC BOARD MTG | 14 SEPT 2026 | IN PERSON

Name:	Wai Hononga Water Services Limited
Date:	Monday, 14 September 2026
Time:	10:00 am to 10:40 am (NZST)
Location:	NPDC, 84 Liardet Street, New Plymouth Central, New Plymouth, New Zealand https://teams.microsoft.com/meet/43873079435990?p=Nla1iPgjOccJuUmK1t
Board Members:	Joshua Hitchcock, Anthony Wilson (Chair), Kim Skelton, Onno Mulder, Sara Brownlie
Attendees:	Carol Malpas, Courtney Crowther, Mark Hall, Neil Holdom, Pete George, Shannon Bishop, Yin-Shan Welton, Brent Manning , Davina Woods , Dom Mitchell , Joy Buckingham

1. Public Session - Lead by Chair

1.1 Welcome and Apologies — 10:00 am (3 min)

Anthony Wilson

For Noting

1.2 Opening Karakia — 10:03 am (3 min)

Opening Karakia:

Kia uru uru mai a hau-ora
A hau-kaha, a hau-maia,
Ki runga, ki raro, ki roto, ki waho,
Rire rire hau Paimārire!

To join this way the vitality of wellness, of strength, of courage
Bind it spiritual above, physical below,
Spiritual inside and physical outside
By our breath of Goodness and Peace

1.3 Interests Register — 10:06 am (2 min)

For Noting

Supporting Documents:

1.4 Confirm Agenda — 10:08 am (2 min)

Anthony Wilson

For Noting

Supporting Documents:

1.4.a	Board Agenda - Public Included - 14 September 2026 (1).docx	8

1.5 Minutes of the public section of the board meeting of 21 August 2026

10:10 am (5 min)

Anthony Wilson

For Decision

Supporting Documents:

1.5.a	Draft Minutes 21 August 2026 Board meeting Public Included .docx	10

2. Items for Information, Discussion and Approval - Lead by Chair

2.1 Establishment Programme Board Report

10:15 am (15 min)

Neil Holdom

For Discussion

Supporting Documents:

2.1.a	Establishment Programme Board Report - August 2026.docx	13

2.2 Policies for Approval

10:30 am (10 min)

Mark Hall, Neil Holdom

For Decision

Policies endorsed for Board approval at People, Safety & Culture Committee meeting 8 September 2026.

Supporting Documents:

2.2.a	Report - Policies 14 September 2026 .docx	23
2.2.b	Policy draft Conflict of Interest Policy Updated clean V0.3 2026_08_27.docx	24
2.2.c	Policy draft Manag of Info about Emp Updated Clean V0.3 2026_08_26.docx	33

3. Close of Public Session - Lead by Chair

3.1 Close of meeting

Next meeting: Wai Hononga | Public Exc. Board Mtg | 14 Sept 2026 | In Person - 14 Sept 2026, 10:40 am

Interests Register

Wai Hononga Water Services Limited

As of: 14 Sept 2026

Person	Organisation	Active Interests	Notice Date
Anthony Wilson	Beca	Anthony's Daughter works for Beca (Wellington) in the Three Waters Division	2 Sept 2026
	Engineering New Zealand	Distinguished Fellow and Past President	14 Jul 2026
	Infrastructure and Water Consultancy Services Limited	Director and Shareholder	14 Jul 2026
	Water New Zealand	Honorary Life Member	14 Jul 2026
	Water New Zealand	Previous National President	21 Jul 2026
	Willerby Trust	Settler of Family Trust	14 Jul 2026
Brent Manning	5WWCT Regimental Association	Current Chair, an incorporated society with charitable status, for past military members and veterans.	3 Sept 2026
	Bespoke Planning Solutions Ltd	2. My wife (Jacqui Manning) is a director which operates within NZ and includes NPDC amongst its council clients. I have no pecuniary interest in her company.	3 Sept 2026
	Cairocat Enterprises Ltd (Trading As B-Spoke Engineering Solutions)	Director: Company is registered as a Supplier for NPDC and has traded 2024-2026 with NPDC (in my Civil Defence & Emergency Management contracted capacity, now ended)	3 Sept 2026
	City Care Ltd (NP and Stratford) May-September 2024	Previously contracted, as temporary contracts or operations manager. I have had no further direct involvement since.	3 Sept 2026
	Downer NZ Ltd (NP depot) April-August 2022	Previously contracted, as temporary contracts or operations manager. I have had no further direct involvement since.	3 Sept 2026

	Water New Zealand	Past President (2014-16), Life Member	3 Sept 2026
Joshua Hitchcock	Ka Uruora Aotearoa Trustee Limited	Director	29 Jan 2026
	Ka Uruora Trustee Limited	Director	29 Jan 2026
	Ngāmotu District Growth Advisory Panel	Member	29 Jan 2026
	Te Kotahitanga o Te Atiawa - Pou Iho Tū	General Manager - Economic Development & Operations	29 Jan 2026
	Venture Taranaki Trust	Deputy Chair	29 Jan 2026
Kim Skelton	Solas Consulting Ltd	Director and shareholder	30 Jan 2026
	Taranaki Regional Housing Fund GP Ltd	Director	28 Aug 2026
	Te Atiawa (Taranaki) Holdings Limited	Director	30 Jan 2026
	Te Atiawa Iwi Corporate Trustee Ltd	Director	30 Jan 2026
	Te Atiawa Iwi Holdings Management Limited	Director	30 Jan 2026
	Te Kotahitanga o Te Atiawa Trust	Trustee	30 Jan 2026
	Te Rau o Rongo Charitable Trust	Chair	30 Jan 2026
Neil Holdom	TX1 Insight	Principal - Management Consultancy. No conflicts.	18 Mar 2026
Onno Mulder	Citycare Limited	Ex CEO - Resigned Nov 2020	2 Feb 2026
	Coast Waters Limited	Director	29 Jun 2026
	EA Networks	CEO	29 Jan 2026
	Mulder Consultants	Director and shareholder	29 Jan 2026
	VFM Family Trust	Family Trust	2 Feb 2026
Sara Brownlie	Catalyst Cloud Ltd	Sister company to Catalyst.net Ltd so related interests	2 Feb 2026

	Catalyst.net Ltd	Director	2 Feb 2026
	Department of Internal Affairs	Ex contractor implementing finance and payroll systems	2 Feb 2026
	Education NZ	Director of Crown Entity	18 Feb 2026
	Enable NZ	Director of Crown Subsidiary to Health NZ providing disability equipment and services	2 Feb 2026
	Fargher Woods Ltd	Director and Shareholder	2 Feb 2026
	Fargher Woods Trust 1 & 2	Settlor - no conflict	2 Feb 2026
	Human Rights Commission	Part-time contract CFO	2 Feb 2026
	Porirua City Council	Contract financial training to Councillors concluded 31 March 2026	2 Feb 2026
	Tiaki Wai	Contract financial advisor to Wellington region water services entity concluded 30 June 2026	2 Feb 2026
	Treasury, Public Service Commission and DPMC	Ex employee as CFO for central agencies	2 Feb 2026
	Upper Hutt City Council	Previous Independent Member for the Risk and Assurance Committee 2020-2025	2 Feb 2026

Wai Hononga Water Services Limited | Board Meeting | 14 September 2026

Venue	**Online – Plymouth Room NPDC Civic Centre, 84 Liardet Street and Teams**
Time	**10am to 11am**

Public Session

Item Number	Meeting Administration	Lead	Action Sought	Format	Timing
1	Welcome and apologies	Anthony Wilson (Chair)	For noting	Verbal	10:00
2	Opening Karakia	At the invitation of the Chair	None	Attached	10:03
3	Interests register and conflicts of interest	Chair	For noting and updating	Attached	10:08
4	Minutes of the public section of the previous board meeting of 21 August 2026	Chair	For approval	Attached	10:10

Item Number	Items for Information, Discussion and Approval	Lead	Action Sought	Format	Timing
5	Establishment Programme Board Report	Neil Holdom, Pete George and Mark Hall	For discussion and noting	Attached	10:15
6	Policies for approval: 6.1 Conflict of Interest 6.3 Management of Information about Employees	Nicolette West, Carol Malpas	For discussion and decision	Attached	10:30

Close of Public Session

Local Government Official Information and Meetings Act 1987 Section 7(2)
Subject to sections 6, 8, and 17, this section applies if, and only if, the withholding of the information is necessary to—

(a) protect the privacy of natural persons, including that of deceased natural persons; or

(b) protect information where the making available of the information—

(i) would disclose a trade secret; or

(ii) would be likely unreasonably to prejudice the commercial position of the person who supplied or who is the subject of the information; or

(ba) in the case only of an application for a resource consent, or water conservation order, or a requirement for a designation or heritage order, under the Resource Management Act 1991, to avoid serious offence to tikanga Maori, or to avoid the disclosure of the location of waahi tapu; or

(c) protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information—

(i) would be likely to prejudice the supply of similar information, or information from the same source, and it is in the public interest that such information should continue to be supplied; or

(ii) would be likely otherwise to damage the public interest; or

(d) avoid prejudice to measures protecting the health or safety of members of the public; or

(e) avoid prejudice to measures that prevent or mitigate material loss to members of the public; or

(f) maintain the effective conduct of public affairs through—

(i) the free and frank expression of opinions by or between or to members or officers or employees of any local authority in the course of their duty; or

(ii) the protection of such members, officers, employees, and persons from improper pressure or harassment; or

(g) maintain legal professional privilege; or

(h) enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities; or

(i) enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations); or

(j) prevent the disclosure or use of official information for improper gain or improper advantage.

DRAFT – PUBLIC

Wai Hononga Water Services Limited
Minutes

Board meeting	Public session
Date	21 August 2026
Venue	Plymouth Room, NPDC Civic Centre, 84 Liardet Street and Teams
Time	10.00am

Attendance		
Board of Directors	**Management**	**Guests**
Anthony Wilson – Chair Joshua Hitchcock Kim Skelton Onno Mulder Sara Brownlie	Neil Holdom (Establishment Chief Executive) Mark Hall (Establishment Team Strategic and Te Tiriti Partnership Director) Pete George (Establishment Team – Establishment Director) Joy Buckingham (Establishment Team – Finance) Dominica Mitchell (Establishment Team – Legal) Davina Woods (Establishment Team – Legal) Shannon Bishop (Secretariat)	John Scott (Council Observer on behalf of Sarah Downs) Councillor Christine Fabish Members of the Public

Item	Opening of Meeting
1	• The Chair welcomed Councillor Christine Fabish and John Scott, with the meeting opening with Karakia lead by Joshua Hitchcock. • The Chair noted that this meeting is open to the public, as required under the Local Government Official Information and Meetings Act 1987 (LGOIMA) which applies to water organisations such as the Company, which have been established pursuant to the Local Government (Water Services) Act 2025. However, there are some agenda items which are required to be discussed in confidence by the board, in order to protect, for instance, the privacy of individual staff members or commercially sensitive information. The agenda for this meeting is therefore in two parts – the first part deals with items that can be discussed in public and the second deals with items which need to be discussed with the public. **Interests Register and Agenda**

	• The Board reviewed the Interests Register and it was taken as read with no changes. No conflicts of interest were declared in relation to matters on the agenda. **Minutes of the Public Section of the Board Meetings on 27 July 2026** • The Board considered the draft minutes of the public session held on 27 July 2026. The Board requested an amendment to clarify that management had been asked to work with Council to amend the DIA quarterly monitoring report for Board feedback before submission. Subject to those amendments, the minutes were confirmed as a true and correct record.
	Public Agenda
2 **3**	**Establishment Workstream Report** The report was taken as read. Management reported material progress across the six workstreams, Day 1 planning and the development of the integrated programme plan. Management further confirmed: • The first draft of the Transfer Agreement has been provided to NPDC for negotiation. The Board discussed how directors could provide detailed feedback and agreed that a future workshop could be used to work through feedback collectively. • The Board discussed stormwater decision timing and the need for sufficient transition time if Wai Hononga is to deliver stormwater services for NPDC. • Directors discussed the preferred level of programme reporting detail and supported the use of clear programme overviews, risk visibility and dependency reporting. • The Board requested clearer visibility of critical dependencies, showing the Wai Hononga Lead and the party responsible for driving each dependency. • The Board requested that lessons from other water service entity establishments be brought to a future workshop or committee session. • The Board noted that Day 1 arrangements may evolve over the first one to three years and that further detailed planning will inform the transition pathway. **Policies for Approval** The Board noted that the five policies had been endorsed by the People, Safety and Culture Committee on 10 August 2026 and that requested changes had been incorporated. The Board approved the Drug and Alcohol Policy, Code of Conduct Policy, Motor Vehicle Usage Policy, Health, Safety and Wellbeing Policy and Asset Management Policy. Approval was subject to a minor grammatical correction in clause 5.8.1 of the Asset Management Policy, changing “based in” to “based on”.

DRAFT – PUBLIC

4	**Significance and Engagement Policy** The Board considered the updated policy and noted minor changes relating to the scale of contracts and other drafting matters. • Management confirmed the policy is intended to be consulted on alongside Council's public consultation process. • The Board discussed the definitions of "community" and "stakeholder" and requested that John Scott circulate the relevant NPDC definitions. • Director participation in consultation activities was welcomed but was not a requirement. • The Board approved the release of the draft Significance and Engagement Policy for community consultation.
	Meeting Close The public session was closed at 10:30am.

Wai Hononga Water Services Limited

Establishment Programme Board Report

Reporting period:	**31 August 2026**
Board Meeting Date	**14.09.2026**

Prepared for Wai Hononga Board – Governance use only

Purpose

The purpose of this report is to:

1. Provide the Board with an updated overview of progress during August, key priorities, upcoming milestones and delivery confidence across the Wai Hononga Establishment Programme.
2. Highlight key matters requiring Board awareness, discussion, direction or decision.
3. Provide an update on programme delivery, key dependencies and progress towards organisational readiness for Day 1.

Background / Context

This report provides an update on progress across the Wai Hononga Establishment Programme and its six workstreams, including key achievements, upcoming priorities and matters requiring Board awareness or attention.

The programme is being managed through an integrated programme plan, supported by rolling eight-week planning cycles. This provides visibility of workstream activities, key milestones, dependencies, sequencing and delivery confidence, while allowing priorities and future activities to be refined as the programme progresses toward Day 1.

This report should be read alongside the Wai Hononga Establishment Programme Risk Report and Establishment Programme Resource Report, which together provide a broader view of programme delivery, risk, capability and resourcing requirements.

Supporting information:

- Attachment 1 - Critical Activity Roadmap
- Attachment 2 - Critical Activity Decision Table
- Attachment 3 - Programme Workstream Status Report

Executive Summary

The Establishment Programme continues to pick up momentum and overall work delivery is well on track, with all workstreams actively advancing priority Day 1 outcomes. During the period, significant progress was made across strategy, governance, commercial, organisational and customer-facing initiatives, supported by the ongoing maturation of programme management, reporting and governance arrangements.

Key achievements included advancement of the Water Services Strategy, progression of Transfer Agreement and Service Agreement activities, development of the Capital Expenditure Prioritisation Framework, commencement of Technology, Data and Reporting requirements gathering, progress on organisational design, workforce planning, recruitment, and completion of the external communications strategy and the first iteration of the Wai Hononga website.

While delivery remains broadly on track, several critical initiatives continue to remain dependent on information, decisions and resources from NPDC. In particular, the Transfer Agreement timelines are very tight, and NPDC review may take longer than expected creating delays and impacting on downstream activities. Organisational design, recruitment and service agreement development also remain areas requiring continued focus to maintain programme momentum.

Over the coming period, priority attention will be directed towards progressing the Transfer Agreement negotiations, advancing organisational design and recruitment activities, further developing technology and reporting requirements, and strengthening planning and delivery visibility across the programme as preparations for Day 1 continue.

Key progress during the reporting period:

- On 1 September 2026, Wai Hononga welcomed Brent Manning as its new Chief Executive with a mihi whakatau at the New Plymouth Water Treatment Plant on Junction Road.
- The first iteration of the Wai Hononga website went live during the period, establishing the company's first public-facing digital presence. The website was developed collaboratively by the Wai Hononga and NPDC teams and is now supporting the Significance and Engagement Policy consultation. It also provides the community with access to information about Wai Hononga, the origins of the company name, its governance, leadership and establishment.
- The external Communications Strategy was finalised, and work is now underway on detailed communications planning and timelines.
- Completed the first drafts of the Transfer Agreement and Master Services Agreement, together with the supporting Settlement Methodology. The Board approved the negotiation framework and both agreements have been provided to NPDC to commence negotiations.
- The Capital Expenditure Prioritisation Framework was developed to support the Water Services Strategy. Work with NPDC on the Development Contributions Policy progressed, with the delivery timeline confirmed.
- The LGFA accession requirements and next steps establishing the treasury support were confirmed.
- Progressed organisational design and recruitment, including the commencement of the General Counsel, continued recruitment of the Chief Financial Officer and Manager People, Capability, Safety & Wellbeing, and progression of the remaining Tier 2 Position Descriptions.
- The proposed treatment approaches in the Transfer Agreement for land, including consideration of reserve access requirements, pump stations, redundant assets and an overall framework approach have been socialised with NPDC for feedback. The team progressed the proposed treatment of transferring contracts, including development of options for separation of the Citycare contract and future arrangements.
- Progressed development of the Water Services Strategy, including strategic inputs, continued facilitation of the cross-organisational working group and preparation for upcoming Board and Council decisions.
- Commenced Technology, Data and Reporting requirements gathering to establish the requirements needed to inform future technology, data, reporting and service arrangements.
- Commenced planning for the development of the priority Service Agreements with NPDC based on the agreed split of responsibilities, including planning the joint work required to establish the service arrangements for Day 1.
- Provided a suite of recommendations to NPDC related to the provision of water use statements to customers and Board support for the investment in information systems and personnel required to implement volumetric billing by 1 July 2027.

Key Items for Board awareness or attention

The following matters require ongoing Board visibility and management attention:

- The timeframe for completing the Transfer Agreement remains tight. The draft agreement is currently with NPDC for review and there is a risk that this may take longer than planned, impacting the proposed adoption timeframe and downstream establishment activities.
- Wai Hononga requires improved visibility of delivery status for critical NPDC projects on which Day 1 readiness depends, including Universal Water Metering and the Technology One upgrade. Regular and visible reporting will help Wai Hononga build confidence in project delivery.

- The Master Services Agreement, Service Agreements and Water Services Strategy remain critical programme activities driving organisational, financial and operational planning for Day 1. The agreed split of responsibilities between Wai Hononga and NPDC now provides the basis for progressing the Service Agreements, organisational design and workforce planning. Focus is shifting to development of the priority Service Agreements and a joint implementation plan with NPDC. This will require sustained engagement and capacity from both organisations to have the required arrangements in place for Day 1. Delivery remains dependent on coordinated NPDC input and timely Board and Council decisions.
- As highlighted in the Programme Risk Report, the overall programme risk profile remains high, with three programme risks currently assessed as Very High: NPDC Dependency and Delivery Coordination; Transfer Agreement and Related Establishment Agreements; and Reputation and Stakeholder Confidence. Programme Resourcing has reduced from High to Medium following approval and extension of key resources and continued progress with recruitment and organisational design. Delivery Timeline and Capital Investment Planning and Delivery Readiness remain High and require continued management attention.
- As programme activity increases, effective working relationships between Wai Hononga and NPDC will become increasingly important. Timely decisions, clear escalation and constructive working relationships across both organisations will be critical to maintaining momentum.
- Organisational design is progressing toward Board workshop and alignment, alongside recruitment of priority roles and development of the workforce roadmap. Timely alignment on the future structure and sequencing of recruitment will be important to allow sufficient time to establish the capability required for Day 1.

Forward look, dependencies and delivery confidence

Over the next month, the programme will focus on progressing:

- Transfer Agreement negotiations with NPDC, including the scheduled elected member workshop, ahead of planned adoption at the October Council meeting, and progressing the Master Services Agreement through negotiation.
- Development of the priority Service Agreements with NPDC based on the agreed split of responsibilities and establishing a joint implementation plan for the services and arrangements required for Day 1.
- Significance and Engagement Policy consultation will commence supported by Wai Hononga-branded online engagement and submission tools. Community engagement activities are also planned, with a fuller update on consultation progress and feedback to be provided at the October Board meeting.
- Planning the contract transition, including completion of contract due diligence, confirmation of novation and assignment requirements, supplier engagement, and development of the implementation plan to support an efficient transition and Day 1 service continuity.
- Recruitment of key roles for example the Chief Financial Officer and Manager People, Capability, Safety & Wellbeing, and progressing the remaining Tier 2 Position Descriptions through review and approval to enable the next stage of recruitment.
- Progressing organisational design through Board workshop, input and alignment, and developing the organisational design and workforce roadmap through to Day 1.
- Progressing the development of the Water Services Strategy, including strategic inputs, continued facilitation of the cross-organisation working group and preparation for the next Board and Council decisions.
- Develop capital and operating expenditure assumptions for the Water Services Strategy including programme deliverability and work collaboratively with NPDC on the proposed Development

Contributions Policy. Also, prepare AGM information, continue working on LGFA accession and with NPDC on verifying the Water and Wastewater assets and liabilities noted in their 2025/26 Annual Report.

- Embedding ways of working with the NPDC Transition Manager, including coordination of NPDC activities, dependencies, priorities and escalation required to support Day 1 delivery.
- Reviewing lessons from other water services organisations and comparable establishment programmes against the Wai Hononga approach and identifying any gaps, risks or opportunities for improvement.
- Progressing the development of Wai Hononga customer readiness approach, informed by insights from NPDC customer, communications and UWM billing project, including development of the future customer journey, External Communications Plan and roadmap, and Day 1 customer experience requirements.
- Completing planning for the next eight-week delivery cycle, including confirmation of near-term priorities, dependencies, sequencing and delivery expectations across the six workstreams.

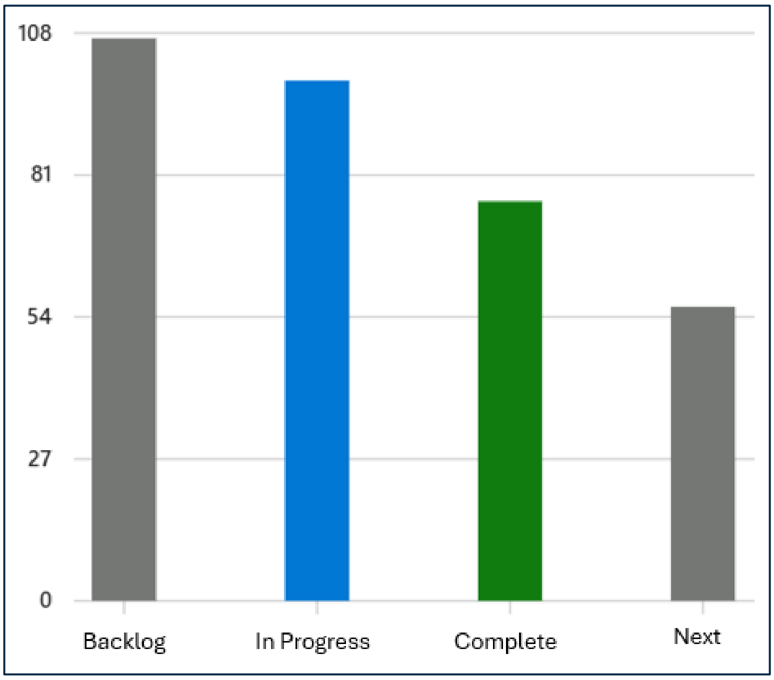
Programme Planning and Delivery

Over the reporting period programme planning focused on:

- Further developing the integrated programme plan, improving the completeness and quality of programme information, refining key milestones and dependencies, and strengthening progress tracking and reporting across the six workstreams.
- Reviewing progress and lessons from the first eight-week planning cycle and preparing for the next cycle commencing 1 October, including confirming priorities, dependencies, sequencing and delivery expectations for the next period.
- Completing a review of the 21 August Board reporting cycle to identify practical improvements to the preparation, coordination and quality of future Board reporting.
- Further developing the programme risk management approach, including clearer escalation criteria to identify when risks require management intervention, executive action or Board oversight, supporting more consistent reporting and earlier visibility of emerging programme risks

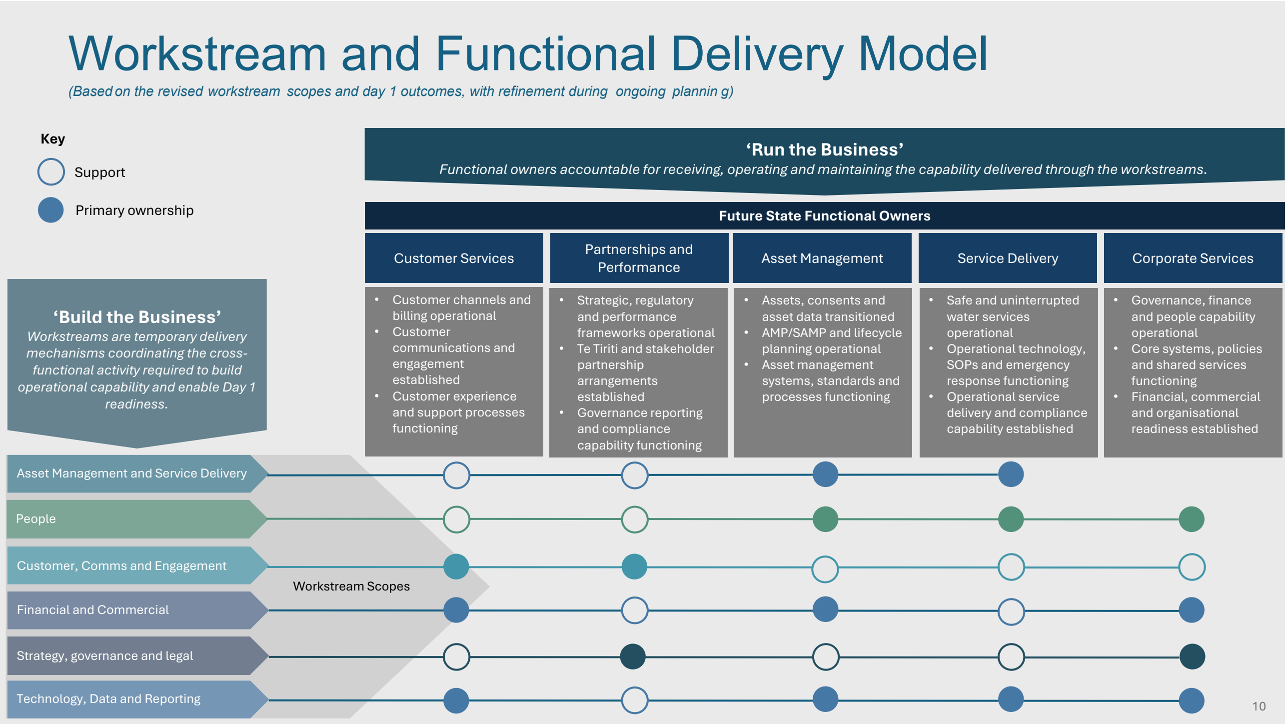
Graph 1 provides a snapshot of programme activity recorded in the integrated programme management tool, showing work completed, currently in progress and identified for future delivery. Approximately 70 activities have been completed, with ~100 in progress and ~60 currently planned for future delivery.

The programme has identified approximately 800 activities overall. The number of activities captured and planned is expected to increase as detailed planning progresses into customer delivery and go-live readiness. This reinforces the need for ongoing prioritisation to maintain focus on the activities critical to Day 1 and manage programme capacity.



Workstream and Functional Delivery Model

The following model shows how the six establishment workstreams relate to future functional ownership within Wai Hononga. The workstreams provide the temporary delivery structure for establishing the capability required for Day 1, with responsibility progressively transitioning to the future functional areas as the organisation is established.

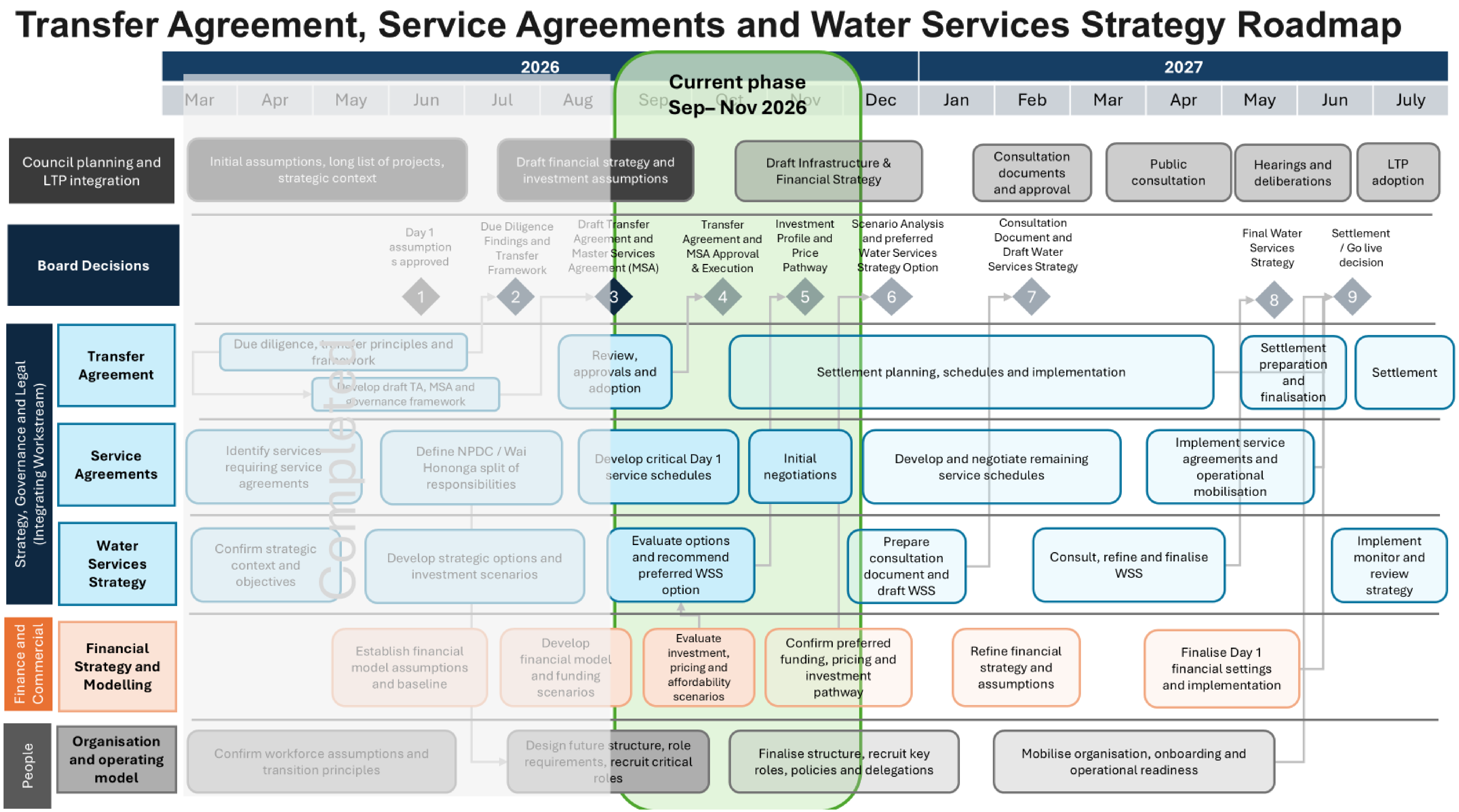


Attachment 1 – Critical Activity Roadmap: Transfer Agreement, Service Agreements and Water Services Strategy Roadmap

The Critical Activity Roadmap provides the Board with a high-level view of progress and the pathway for the critical activities required to deliver the Water Services Strategy, Transfer Agreement and Service Agreements. It shows key milestones, dependencies, sequencing and Board and Council decision points through to Day 1.

The roadmap is intended to provide an indicative view of the critical pathway rather than the detailed programme plan. Detailed activities, dependencies and timings are managed through the integrated programme plan, while the key decisions and forecast timing are set out in Attachment 2 – Critical Activity Decision Table.

Detailed workstream progress and upcoming priorities are provided in Attachment 3 – Programme Workstream Status Report.



Attachment 2 – Critical Activity Decision Table

The Critical Activity Decision Table provides a high-level overview of the key Board and Council decisions required to progress the critical programme activities and when these decisions are currently forecast to occur. It should be read alongside the Critical Activity Roadmap and will be updated as timings and decision requirements are refined.

Current stage Next decision

	2 (Completed)	3	4	5	6	7	8	9	10
Gate	Due Diligence Findings and Transfer Framework	Draft Transfer Agreement and MSA	Transfer Agreement and MSA Approval & Execution	Preferred Investment Profile and Price Pathway	Preferred Water Services Strategy Option	Consultation Document and Draft WSS	Final Water Services Strategy	Settlement / Go-Live Decision	Completion
Description	Board receive due diligence findings and endorses recommendations and transfer framework	Board approves draft Transfer Agreement and MSA and approach to execution	Board approval, authorises execution and recommends adoption by Council.	Board approves investment profile and revenue / price pathway	Board approves preferred WSS option	Board approves consultation document and draft WSS for consultation	Board approves final Water Services Strategy following consultation	Board recommends settlement and go-live	Washup process and agreement, NPDC audited annual report
Target Date	Jul 2026	Aug 2026	Sept / Oct 2026	Nov 2026	Dec 2026	Feb 2027	May 2027	Jul 2027	Dec 2027
Board input / decision	Endorse	Approve	Resolve	Approve	Approve	Approve	Review	Recommend	Approve
NPDC input / decision	Validate findings	Review and provide SME input	Review and recommend	Financial and operational input	Technical and operational input	Review final draft	Confirm operational readiness	Confirm readiness	Provide wash-up / audit inputs
Council input / decision	Inform	Inform	Adopt / approve	Provide strategic feedback	Provide strategic feedback	Inform an align with LTP decisions	Inform	Stakeholder oversight	Approve

This pathway highlights the key governance decisions. Detailed programme scheduling and dependencies are managed through the integrated programme roadmap. Gate 1 has been excluded as completed

Attachment 3 – Programme Workstream Status Report

This dashboard provides an indicative view of progress across the Establishment Programme, including key deliverables, milestones and sequencing by workstream. Together with the Critical Activity Roadmap, it provides the Board with a high-level pathway to Day 1. Detailed activities, dependencies and timings are managed through the integrated programme plan.

The integrated programme plan currently includes more than 800 activities, with detailed activities, dependencies, milestones and progress managed through Microsoft Plan 3. The programme is managed through rolling eight-week planning cycles, providing greater accuracy and visibility of near-term delivery while allowing future activities, dependencies and sequencing to be progressively refined as detailed planning progresses.

This report should be read alongside the Wai Hononga Risk Report and Establishment Programme Resource Report. The dashboard focuses on workstream progress, key dependencies and delivery confidence. Detailed programme and workstream risks are reported through the Risk Report, while programme capability, recruitment and future resource requirements are reported through the Resource Report.

Wai Hononga Establishment Programme - Workstream Key Work Activity

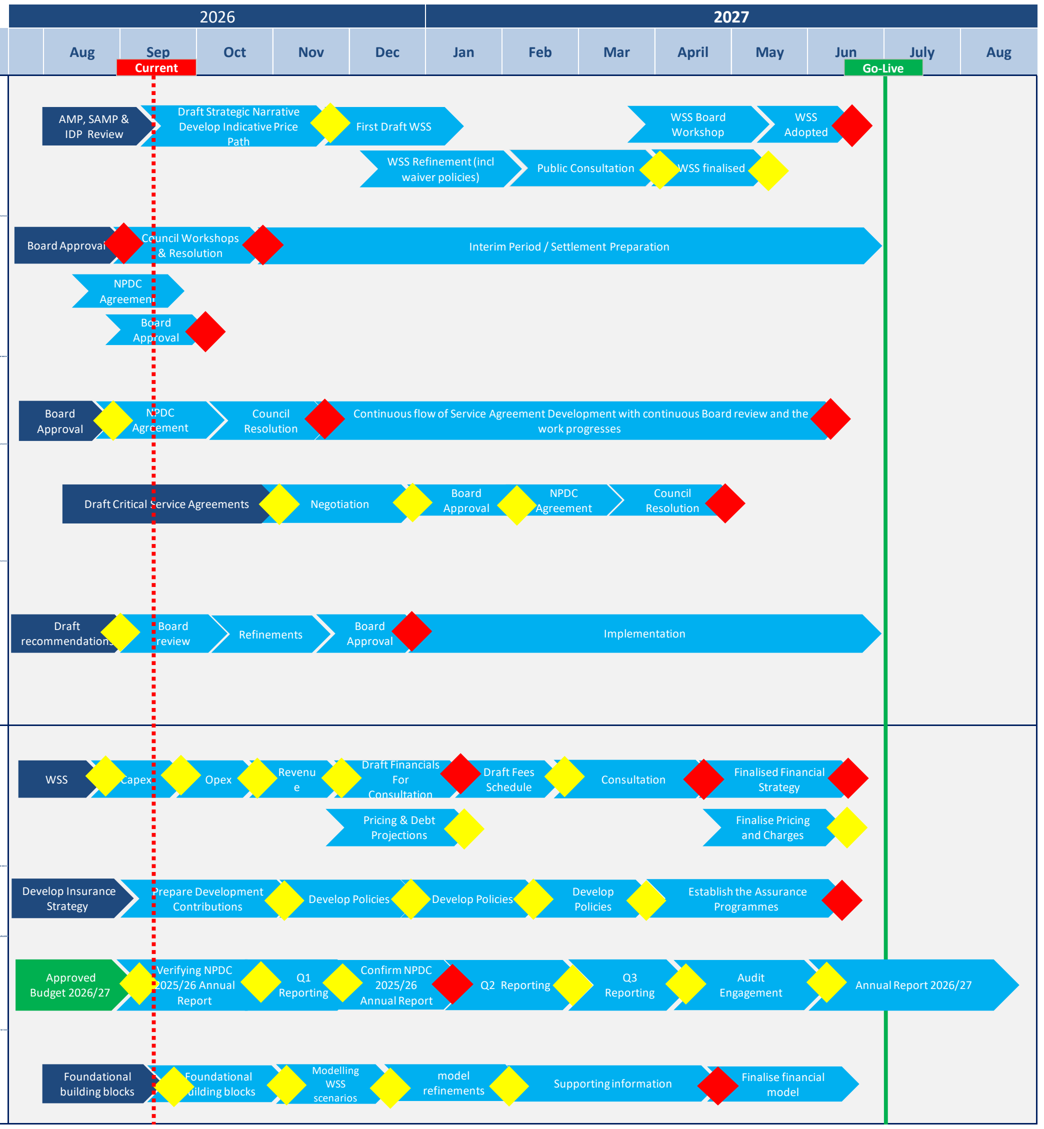
Updated Monday, 7 September 2026

Purpose: This workplan provides a high-level view of the key in-progress deliverables, milestones and information on dependencies required to deliver the Wai Hononga establishment. A detailed programme plan underpins this report

Key:

- Work in Progress
- Planned
- Completed
- Major milestone
- Board decision
- Off Track
- At Risk
- On Track

Workstream	Key In-Progress Deliverables	Indicative % complete	RAG Status	Progress Made This Period	Next Period Focus	Governance Attention	Key Dependencies
STRATEGY, GOVERNANCE & LEGAL Remains Amber due to tight timeframes and dependencies	Water Services Strategy is developed, agreed and implemented		Green - On Track	Convened the Water Services Strategy (WSS) NPDC/Wai Hononga Working Group and continued gathering inputs with useful discussions around LTP integration with AMP and SAMP. Drafting of the Water Services Strategy document has started.	Continue convening the Working Group. Continue progressing the drafting of the Water Services Strategy document.	Board endorsement and Council engagement	Public Consultation and Council engagement
	Transfer Agreement is developed, agreed and implemented		Amber due to complex negotiations within tight timeframes	Board approval was received on 21 August and NPDC have received copies of agreements. A briefing to NPDC executive on the Transfer Agreements, Master Service Agreement, negotiation principles and areas of opportunity.	A workshop has been booked with elected members. Continue to support the Chair with negotiations. Continue working on the approach to the Property Schedule.	Board review and approval	Alignment between Wai Hononga, NPDC Executive, the Board and Council.
	Master Services Agreement is developed, agreed and implemented		Amber due to negotiation and approval dependencies	Started the negotiation stage with NPDC.	Continuing to support the Chair with NPDC negotiations.	Board review and approval	Alignment between Wai Hononga, NPDC Executive, the Board and Council.
	Critical Service Agreements are developed, agreed and implemented		Amber due to negotiation and affordability dependencies	Started developing priority Service Agreements outlines, working to establish a joint implementation approach with NPDC integrating with the NPDC Transition Mgmt function	Select two priority Service Agreements and start the development process.	Board review and approval	Understanding Wai Hononga service requirements and affordability / price modelling
	Contract Review & Transition is completed and implemented		Amber	A information paper on contractual issues requiring further review has been provided in this Board meeting. Contract types have been categorised and identified, the next steps around each of the contract types in terms of further review to be undertaken and timeframes	Progressing development of context papers for the Board and drafting proforma contract template	Board review and approval	NPDC subject matter expertise and NPDC resources to support contract reviews, transition planning activities for example termination of NPDC contracts.
FINANCE & COMMERCIAL Overall, the Financial & Commercial work activity is on track	Financial Strategy		Green - On Track	The team have been focused on developing foundational stones for the Water Services Strategy. Gather financial data to inform the supporting financial strategy with the focus this month on Capital Expenditure projects and the prioritisation process	Define operating expenditure assumptions by end of September 2026, including the consequential operating costs, depreciation and interest from planned capital expenditure	Board feedback on financial assumptions and prioritisation process	The Financial Strategy is a key enabler for other Programme Workstreams.
	Financial Policies		Green - On Track	Progressing the Development Contributions Policy in collaboration with the NPDC working group.	Reduced focus are as the team focused on foundational stones for the Water Services Strategy.	Board approval	NPDC Councillor workshops, and their DC working group
	Financial Budgeting and Reporting		Green - On Track	Gathering indicative draft numbers of NPDC's Water and Wastewater Activities contained in their draft un audited 2025/26 Annual Report.	Verifying draft numbers of NPDC's Water and Wastewater Activities contained in their draft un audited 2025/26 Annual Report	Board noting	NPDC Finance Team capacity and their work with Audit NZ.
	Financial Model and Analysis		Green - On Track	Updated 10-year WSDP financial model showing the Annual Plan for 2025/26 and 2026/27, the 2026/27 Annual Plan aligned capital programme for the LGFA	Update the WSS Financial Model to reflect capex assumptions to understand key drivers and programme of work	Board approval	NPDC capacity to provide timely information on their expected 1 July 2027 Net debt to operating Revenue for the LGFA

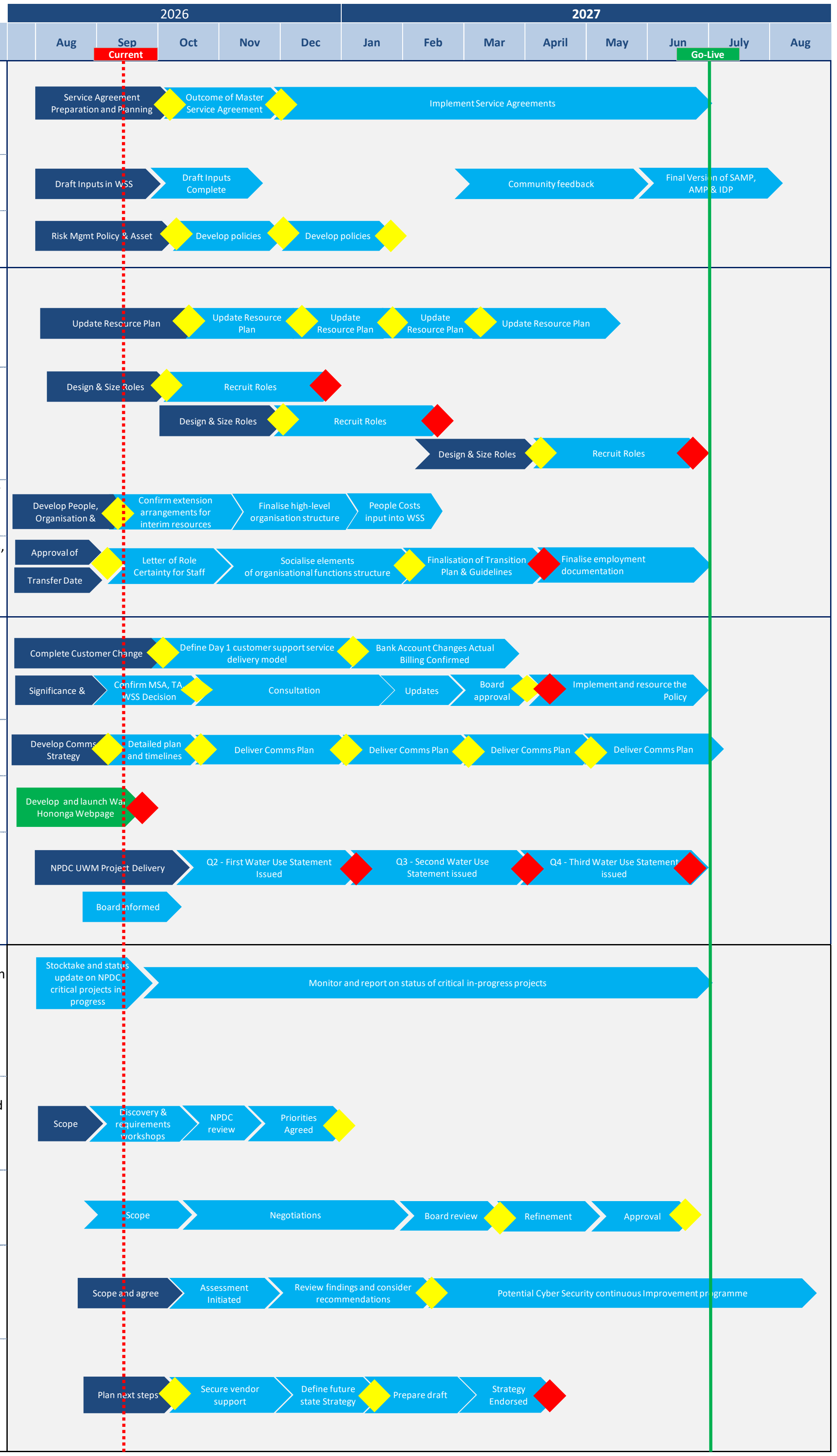


Wai Honongo Establishment Programme - Workstream Key Work Activity

Updated Friday, 4 September 2026
Purpose: This workplan provides a high-level view of the key in-progress deliverables, milestones and information on dependencies required to deliver the Wai Hononga establishment. A detailed programme plan underpins this report

Key:
Work in Progress
Planned
Completed
Major milestone
Board decision
Off Track
At Risk
On Track

Workstream	Key In-Progress Deliverables	Indicative % complete	RAG Status	Progress Made This Period	Next Period Focus	Governance Attention	Key Dependencies
ASSET MANAGEMENT & SERVICE DELIVERY Overall, the Asset Management & Service Delivery workstream is on track with core activity	Support the development and implementation of Service Agreements		Amber due to Complex negotiations within tight timeframe	Supporting the Strategy, Governance and Legal workstream with Service Agreement development planning. Established a Stormwater planning workgroup to support Stormwater matters.	Start the development of priority Service Agreements.	Board approval	Transfer Agreement & Master Services Agreement
	Coordinate Three Waters inputs for the Water Services Strategy		Green - On Track	Supported the Three Waters team as requested on the development of the AMP and SAMP.	Continue to support and coordinate with the Three Waters Team as required.	N/A	N/A
	Develop key guidance policies to inform AMP and SAMP		Green - On Track	Key staff have been on leave and work activity has reduced over the past month.	Plan the next tranche of policies and procedures to be developed.	Board approval	N/A
PEOPLE The People Workstream remains Amber reflecting the volume of organisational design, recruitment and workforce activity required over the coming period, together with dependencies across the wider establishment programme	Establishment Capability		Amber due to resourcing constraints	Continued to monitor programme capacity and capability requirements. Updated the forward resource outlook to identify known and emerging establishment resource decisions.	Progress the Programme Coordinator and Commercial Transition Advisor roles	Resource decisions will continue to be required throughout the delivery period	Organisational Design, approval of roles and recruitment
	Permanent recruitment of Wai Hononga organisation		Amber due to volume of design and recruitment activity required	Progressed recruitment of the CFO and progressed the Manager People, Capability & Wellbeing Position Description. Continued development of the remaining Tier 2 Position Descriptions.	Progress Manager People, Capability & Wellbeing through approval and recruitment. Complete development, review and job sizing of the next tranche of Tier 2 PDs	Continuous Board review and approvals	Organisational design, workforce requirements, Service Agreements and confirmation of functional responsibilities.
	Organisational Design & Workforce Planning		Amber due to organisational design dependencies	Continued with organisational design work activity and endorsed split of responsibilities	Continue with organisational design work activity and workforce planning.	Continuous Board review and approvals	Service Agreements and Transfer Agreement decisions.
	Employee transition to Wai Hononga		Green - On Track	Finalised transition arrangements and supporting documentation.	Confirm positions and employees within scope for transfer and progress employee communications and transition documentation.	Confirmation of transferring positions and progression of transition communications.	Transfer Agreement negotiations, service delivery arrangements, and ongoing coordination with NPDC.
CUSTOMER, COMMS & ENGAGEMENT Remains Amber due to evolving customer and engagement requirements	Customer Experience		Amber due to limited NPDC design capacity	Started defining customer support workflows and initiate discovery Customer Change Impact Analysis and supporting plan.	Continue the development of customer support workflows.	Board informed	Alignment with NPDC customer experience management processes. The Water Use Statement must align with Wai Hononga customer messaging.
	External Communications Strategy		Green - On Track	Finalised the external Communications Strategy.	Develop the detailed communications planning and timelines.	Board approval	N/A
	Website		Green - On Track	The website was completed, is now live and supporting the Significance & Engagement Policy Public Consultation process.	Further content will be Continually added as it is made available.	Board informed	NPDC capacity to make changes as needed.
	Water Use Statements		Amber due to project complexity, uncertainty and dependency on NPDC	Progress Wai Hononga preferences regarding customer pricing impacts and the Water Use Statement.	Confirm Wai Hononga preferences have been implemented. Confirm the NPDC Communications plan for the Water Use Statements aligns with Wai Hononga customer messaging.	Board approval	NPDC Finance Team are leading and will determine pricing basis for the Water Use Statement. Water Use Statement must align with NPDC system readiness.
TECHNOLOGY, DATA AND REPORTING Remains Amber due to several foundational activities requiring completion and monitoring complexities on critical dependent NPDC projects	Technology, Data and Reporting assessment of NPDC projects currently in progress e.g. UWM and ERP		Amber due limited access to up-to-date information	Escalation to Management and NPDC DE Management regarding the lack of visible project delivery status reporting suitable for stakeholders on critical dependent projects. Further discussions are underway with NPDC on Water Use Statement design and related billing complexities.	Update assessment, agree recommendations and next steps to build greater visibility of critical project delivery status.	Greater visibility of project status required from NPDC.	Dependent on NPDC sharing information with Wai Hononga on choices and status of critical dependent projects.
	Develop Wai Hononga technology, data and reporting requirements		Amber due to tight timelines and key input for informing the Service Agreement	Commenced requirements gathering. Completed initial desktop assessment. Planning requirements workshops with subject matter experts to validate, refine and identify gaps.	Conduct SME workshops. Consolidate and prioritise requirements. Develop a baseline requirements register.	N/A	Availability and timely participation of Wai Hononga and NPDC subject matter experts. Access to existing documentation.
	Develop the Technology, Data and Reporting Service Agreement		Amber pending assignment of NPDC service owners	Initial discussions have commenced with NPDC and ownership of service areas is being assigned to support agreement development and negotiation.	Confirm service owners.	Approval of Service Agreement	NPDC service owner availability. Wai Hononga requirements.
	Advance the Cyber Security assessment opportunity		Amber due to reliance on capacity to prioritise assessment	NPDC's Enablement Team is developing a Cyber Security Assessment proposal for Wai Hononga. In parallel, the Three Waters team has commenced its own assessment of potential software vendors.	Review and agree the proposed scope, approach and delivery model for the Cyber Security Assessment.	Confirmation of assessment approach, timing and ownership	NPDC to finalise and provide the Cyber Security Assessment proposal and confirm delivery arrangements.
	Develop the Wai Hononga Technology Strategy		Amber pending agreement on the scope and approach	A workshop was held to discuss the future Technology Strategy approach. Initial agreement was reached to progress development of the strategy, resourcing and scoping with recognition that external consultancy support may be required.	Confirm scope, governance, funding approach and delivery model for development of the Technology Strategy.	Endorsement of the proposed approach and funding for strategy development.	Funding availability, strategic direction from leadership, future operating model decisions, and access to specialist consultancy support.



Memo

Policy Workstream

To	Wai Hononga Board
From	Nicolette West
Approved	Mark Hall
Date	10 September 2026

Purpose

The purpose of this memorandum is to seek Board for approval to adopt the following:

- Conflict of Interest Policy
- Management of Information about Employees Policy

Background

1. The policies listed below were circulated to Board members on 12 August for review and feedback by 26 August:
   - Conflict of Interest Policy
   - Management of Information about Employees Policy
   - Leave Policy
   - Smokefree Environment Policy
   - Remuneration of Employees Policy

Governance Considerations

2. These policies have been updated in consultation with Human Resources and Health and Safety subject matter experts to reflect the feedback received. Tracked changes and comments were retained in the policies to support Committee review and provide clarity on the proposed amendments. The Polices were endorsed for Board Approval on 8 September 2026 at the People, Safety and Culture Committee meeting.
3. The Remuneration of Employees Policy, Leave Policy and Smokefree Environment Policy have not been included for endorsement at this time. It is proposed that these policies be considered further following a workshop to define Wai Hononga's values and principles.

Recommendation

4. Item	Action:	Board Approval
1	**Adoption** of the Conflict of Interest Policy.	Yes / No
2	**Adoption** of the Management of Information about Employees Policy.	Yes / No

Wai Hononga Water Services Limited

Draft Conflict of Interest Policy

Location of Controlled Copies:	Electronic version is the only Controlled copy (ECM)
Approved By:	
Current version revision date:	V0.3
Review frequency:	Triennially
Next review	

Table of Contents

1. Purpose

1.1. The purpose of this document is to:

- define "conflict of interest";
- raise employee awareness of the potential for conflicts of interest;
- help employees decided whether they have any conflicts of interest;
- give examples of situations where conflicts of interest arise;
- set out the procedures for reporting conflicts of interest when they arise; and
- give options for managing conflicts of interest.

2. Scope

2.1. This policy applies to all employees and those involved in governance.

3. Principles

3.1. Wai Hononga Water Services Limited (Wai Hononga) acknowledges that the professional and personal interests of employees mean that conflicts of interest sometimes cannot be avoided and can arise without anyone being at fault. With openness, conflicts need not cause problems and can be managed so that the best interests of Wai Hononga and its customers are served.

4. Key Definitions

Conflict of Interest	Where an employee's official duties or responsibilities to Wai Hononga could be affected or compromised or perceived to be, by some other interest or duty that the employee may have. The other interest or duty might be: • The employee's own financial or business affairs. • The employee's secondary employment or voluntary activities. • A relationship (family or otherwise) or another role the employee has. • An opinion or view held by the employee. • Benefit from Wai Hononga knowledge. Refer Appendix 1: Deciding if a Conflict of Interest Exists.
Actual Conflict of Interest	A conflict of interest that involves a direct conflict between an employee's current duties and responsibilities and existing private interests.
Potential Conflict of Interest	A conflict of interest where an employee has private interests that could conflict with Wai Hononga duties in the future.

Perceived Conflict of Interest	Where it is likely to be perceived by others within Wai Hononga, or by external parties, that an employee's private interests could improperly influence the performance of their duties or that an employee may receive personal benefit associated with private interests, whether or not this is the case.

4.1. Additional definitions are included in Appendix 2.

5. Policy Requirements

5.1. Disclosing a conflict of interest

5.1.1. All employees are expected to disclose all actual, potential or perceived conflicts of interest they have. If you are unsure whether there is a conflict, you should discuss the matter with your Manager or Senior Leadership Team (SLT) member.

5.1.2. The General Counsel is responsible for maintaining written information on conflicts of interest and providing advice on how to register a conflict of interest.

5.2. Managing a Conflict of interest

5.2.1. All conflicts will be assessed for risk to Wai Hononga and appropriate controls put in place, based on the severity of the assessed risk. Identified conflicts and controls will be assessed and recommended by the General Council. If the conflict is deemed to be particularly sensitive or not accepted by the person, a written assessment will be undertaken. The written assessment will be presented to the Chief Executive (CE) or for governance, to the Board Chair (or to Chair of Audit, Finance and Risk Committee (AFRC) for matters related to the Board Chair).

5.2.2. The written assessment will consider the following:

- The type or size of the employee's interest.
- The nature or significance of the decision or activity being carried out by Wai Hononga.
- The extent to which the interests of the employee could specifically affect, or be affected by, a decision or activity of Wai Hononga, or be perceived to do so.
- The nature or extent of the employee's current or intended involvement in a Wai Hononga decision or activity.

5.2.3. The key objective of this policy is to preserve the reputation of Wai Hononga and its employees.

5.2.4. Taking into account the advice of the General Counsel, the SLT (or for governance the Board Chair/Chair of AFRC) will decide whether any changes to the employee's role or any other controls are required to manage the conflict. They will then report this decision to the employee and their Manager in conjunction with Human Resources. The employee's Manager will be responsible for ensuring systems are put in place to ensure agreed controls are implemented and monitored.

5.2.5. The types of changes or other controls that may be appropriate in some circumstances could involve:

- Seeking consent of all other parties for the involvement of the employee.
- Imposing additional oversight or review over the employee.
- Withdrawing the employee from discussion or decision-making on a particular issue.
- Excluding the employee from a committee or working group dealing with the issue.
- Withholding certain confidential information or placing restrictions on access to information.
- Transferring the employee (temporarily or permanently) to another position or project.
- Relinquishing the private interest.
- Resignation or dismissal from one or other position or entity.

5.2.6. In all cases, where the SLT or a Board member are involved in conflicts of interest, a "one up" approval process will be applied. This will mean the Chair if the CE or Board member is involved (with the Chair of AFRC advised) and the Chair of AFRC where the Board Chair is involved. The Chair of AFRC will assess if the shareholder needs to be advised of any conflicts of interest.

5.3. **Prohibited Activities**

5.3.1. Employees may not be involved in:

- The decision to appoint an employee with whom the employee has a personal connection (family or close acquaintance).
- The decision to conduct business with a person or organisation with whom the employee has a personal connection (family or close acquaintance).
- Influencing or participating in a decision to award grants or contracts where the employee has a personal connection.
- Investigating a complaint where the employee has a personal connection with either the complainant or the person or entity complained about.

5.4. **Limited Activities**

5.4.1. Activities which employees must have the approval of the Chief Executive (CE) to be involved in:

- Owning shares in or working for organisations that have dealings with Wai Hononga.
- Benefiting from Wai Hononga knowledge.

5.4.2. Employees must also advise the Chief Executive (CE) if they intend to make a public submission to Council in a private capacity.

6. Roles and responsibilities

6.1. Employees

- Expected to disclose all actual, potential or perceived conflicts of interest they have.
- Expected to comply with any changes or other treatments required to manage the conflict.

6.2. Managers

- Must make their Functional Manager or Chief Executive aware of any actual or perceived conflicts of interest that employees disclose to them.
- Must apply, review and report on any controls imposed to manage conflicts of interest.
- Must ensure that known conflicts of interest are considered in the undertaking of any new work and raised to the appropriate Functional Manager if warranted.

6.3. Chief Executive and Functional Managers

- Must risk-assess disclosed conflicts of interest and determine appropriate changes or treatments.
- Must share appropriate records/documentation with the General Counsel.
- Report to the Board any conflicts that concern the SLT or Chief Executive.

7. Approval and Review

7.1. This policy will be reviewed every three years, or earlier if required due to legislative or operational changes.

8. Appendix 1: Deciding if a conflict of interest exists

8.1. The following questions relate to some of the situations where conflicts of interest exist or may be perceived to exist.

8.2. Answering “yes” to any of the following questions should be an indication for an employee to disclose their interest to their Manager.

- Would a fair and reasonable person perceive that I was influenced by personal interest in performing my role?
- Do I, a relative, friend or associate stand to gain financially or in any other way from the decision or action on this matter?
- Am I able to influence decision making about a matter related to my potential personal financial interest?
- Have I received a benefit for hospitality from someone who stands to gain from the decisions/actions?
- Am I a member or an organisation or club or do I have ties or affiliations with organisations, clubs or individuals, who stand to gain financially from the decision or actions?
- Could there be benefits for me in the future that could cast doubt on my objectivity?
- Might I be perceived as favouring a particular person or company because of a personal friendship or long standing association?
- Am I in a position to influence the development of a particular strategy or policy that will guide future decisions from which I may benefit personally?

8.3. Answering “no” to any of the following questions should be an indication for an employee to disclose their person interest:

- If I participate in an assessment or decision-making on a particular matter, am I happy for my colleagues and the public to be aware of any personal interest, association or connection that I have?
- When I am making a presentation or recommendation to the Wai Hononga Board are they aware of my interests (including private commitments) which might be perceived as influencing the advice I am giving?

9. Appendix 2: Additional definitions

Chief Executive	Tier 1 manager
Functional Manager	Tier 2 manager – reports directly to the Chief Executive
Manager	Tier 3 manager – reports directly to the Functional Manager
Team Leader	Team Leader any level
Senior Leadership Team	Chief Executive and Functional Managers
Human Resources	The organisational function responsible for the management of employment-related matters, including the recruitment, development, wellbeing, performance, and retention of employees, and ensuring compliance with applicable employment and workplace legislation. This function may be delivered by Wai Hononga employees or by New Plymouth District Council under an agreement for service.

Wai Hononga Water Services Limited

Draft Management of Information about Employees Policy

Location of Controlled Copies:	Electronic version is the only Controlled copy (ECM)
Approved By:	Wai Hononga Water Services Limited Board
Current version revision date:	V0.3
Review frequency:	Triennially
Next Review	

Wai Hononga
Water Services Ltd.

Table of Contents

1. Purpose

1.1. The purpose of this policy is to set out the process for ensuring that employee information held by Wai Hononga Water Services Limited's (Wai Hononga) is stored securely and in accordance with relevant legislation.

2. Scope

2.1. This policy applies to all Wai Hononga employees.

3. Principles

3.1. Wai Hononga is required to collect and retain employee information to meet organisational need and ensure compliance with relevant legislation, including the Privacy Act, Human Rights Act, Employment Relations Act, Health and Safety at Work Act.

4. Policy Requirements

4.1. There will be two confidential files:

4.1.1. **Personal employment information** – held by the Human Resources Team.

4.1.1.1. Payroll and human resource information maintained digitally involving but not limited to recruitment, performance, remuneration, employment relations, learning and development information.

4.1.2. **Personal health and safety information –** held by the Occupational Health Nurse.

4.1.2.1. This contains, but is not limited to, medical certificates, accident/injury, forms, medical screening results and doctors' reports.

5. Roles and responsibilities

5.1. **Team Leader responsibilities**

5.1.1. It is the Team Leader's responsibility to ensure relevant information related to an employee's employment e.g. pre-employment, copies of training certificates, incident / injury management, updated job descriptions, and medical certificates are forwarded to the Human Resources Team to be filed on an employee's personal or health and safety file. Recruitment information e.g. interview notes are to be loaded into the electronic People Management System.

5.2. **Employee Responsibilities**

5.2.1. To forward to Human Resources Team and/or upload in electronic People Management System relevant employment information e.g. signed offer of employment, KiwiSaver forms, IRD330 form, copy of driver's licence, current immigration and visa documentation for their file. To record in the People Management System leave requests, training and time sheeting where required.

5.2.2. To provide medical information such as medical certificates and non work related accident information to your Team Leader or the Occupational Health Nurse.

5.3. **Human Resources Team Responsibilities**

5.3.1. To set up the electronic personal file and ensure relevant employment information is filed.

5.3.2. To comply with the Information and Records Management Policy of Wai Hononga and other legislative requirements as noted above as part of managing information about employees. This will include archiving or destroying personal and health and safety files, job files and other employee information in accordance with the Wai Hononga Retention and Disposal Schedule.

5.4. **Occupational Health Nurse Responsibilities**

5.4.1. To set up the health and safety file and ensure relevant information is filed.

5.5. **Information Management Team Responsibilities**

5.5.1. To ensure appropriate storage, and retention and disposal criteria are applied.

5.5.2. To manage personnel files and related information for as long as that information is to be retained according to accepted practice under applicable legislation.

5.5.3. To advise Human Resources of personnel files exceeding their retention period, notifying of the intention to destroy said personal information, and seeking approval to implement destruction.

5.5.4. To document and dispose of personnel files according to the applied retention and disposal schedule and best practice record keeping standards.

5.6. **Access to Personal Information**

5.6.1. Wai Hononga employees can request information on their files with 24 hours' notice. An electronic copy will be made available as appropriate.

5.6.2. If the employee believes any information being held is incorrect, the employee concerned is entitled to request correction. Where such correction is not made, the employee is entitled to have a statement of the correction sought, attached to the information on the relevant file.

5.6.3. A duly authorised employee representative with permission of the employee may also review employee's information. Identification of the individual employee or authorisation of their representative will be required.

5.6.4. Information on the employee's personnel file can be reviewed by their Team Leader or by Team Leaders more senior to them in the reporting relationship. Team Leaders cannot access health and medical information – they can only receive the outcomes of any assessment unless specifically given permission by the employee to access health and medical details.

6. Related Documents

- Contract and Commercial Law (Electronic Transactions) Regulations 2017
- Employment Relations Act 2000
- Health and Safety at Work Act 2015
- Human Rights Act 2020
- List of Protected Records for Local Authorities, Archives New Zealand
- Privacy Act 2020
- Public Records Act 2005

7. Approval and Review

7.1. This policy will be reviewed every three years, or earlier if required due to legislative or operational changes.

8. Appendix 1: Definitions

Chief Executive	Tier 1 manager
Functional Manager	Tier 2 manager – reports directly to the Chief Executive
Manager	Tier 3 manager – reports directly to the Functional Manager
Team Leader	Team Leader any level
Senior Leadership Team	Chief Executive and Functional Managers
Occupational Health Nurse	A registered nurse with expertise in occupational health who provides advice, assessment, monitoring and support in relation to

	work-related health risks, health monitoring, injury management and worker wellbeing. This function may be provided by a Wai Hononga employee or by an external provider engaged by Wai Hononga.
Human Resources	The organisational function responsible for the management of employment-related matters, including the recruitment, development, wellbeing, performance, and retention of employees, and ensuring compliance with applicable employment and workplace legislation. This function may be delivered by Wai Hononga employees or by New Plymouth District Council under an agreement for service.
Information Management	The organisational function responsible for providing information management services and advice, and for ensuring information is managed throughout its lifecycle in a manner that supports operational needs, accountability, compliance, security, and good recordkeeping practices This function may be delivered by Wai Hononga employees or by New Plymouth District Council under an agreement for service.
People Management System	Means the electronic system used to manage employee information, including recruitment, onboarding, leave, timesheets, training, payroll and other employment related records. This function may be delivered by Wai Hononga employees or by New Plymouth District Council under an agreement for service.
Retention and Disposal Schedule	Means the approved schedule that sets out how long records must be kept and when they may be archived, transferred or destroyed in accordance with legal and organisational requirements.