



Significance and Engagement Policy

Ngā Ture
Whaihua
Whaipaparangi



Significance and Engagement Policy

Ngā Ture whaihua Whaipaparanga

The main purposes of Significance and Engagement are;

To identify Council's approach to determining the significance of proposals and decisions in relation to issues, assets, activities or other matters.

To let the community know when and how they can expect to be engaged in Council's decision-making processes.

To act as a guide to Council and Council staff as to what extent, form and type of engagement is required from the beginning of a decision-making process.



Engagement with Māori

Te Tuhorotanga ki te Hunga Māori

The role of Māori, and Ngāi Tahu Kāi Tahu, as Takata Whenua, as represented by Waihōpai Rūnaka and Te Rūnanga o Awarua, as a partner of Council is recognised.

The LGA recognises and respects the Crown's obligations under the Treaty of Waitangi by placing some specific obligations on councils. These obligations are intended to facilitate participation by Māori in local authorities' decision-making processes (sections 4, 81 and 82(2), LGA). The Act includes requirements for councils to:

- ensure they provide opportunities for Māori to contribute to decision-making processes;
- establish and maintain processes for Māori to contribute to decision-making;
- consider ways in which they can foster the development of Māori capacity to contribute to decision-making processes;
- provide relevant information to Māori;
- take into account the relationship of Māori and their culture and traditions with their ancestral land, water, sites, wāhi tapu, valued flora and fauna, and other taoka.



Council will establish and maintain engagement processes that identify and provide opportunities for Māori to contribute to decision-making. In addition to the engagement principles and practices set out in this policy, Council will:

- Strengthen and improve ongoing relationships and partnerships with Iwi in the Waihōpai takiwā, including, but not limited to, engagement with Waihōpai Rūnaka and Te Rūnanga o Awarua
- Strengthen and improve ongoing relationships with Mataa Waka
- Ongoing support for Te Ao Marama Inc
- Consider the impact on Māori of specific decisions, proposals or matters, in particular recognising the special connection of Takata Whenua and their culture and traditions with their ancestral land, water, sites, wāhi tapu, valued flora and fauna, and other taoka
- Recognise legal obligations for engagement with Māori under various legislation including, but not limited to, the Local Government Act 2002 and Resource Management Act 1991
- Recognise agreements such as the Charter of Understanding and other agreements (Mana Whakahono ā Rohe or Joint Management Agreements) developed with Māori as they relate to decision-making processes
- Support appropriate use of tikaka (cultural protocols) and te reo Māori (Māori language) in our daily business and engagement tools and practices
- Provide for Mana Whenua positions on Council's standing committees and hearings panels as appropriate to ensure direct Māori involvement in decision-making
- Support the implementation, use and understanding of Te Tangi a Tauira – The Cry of the People Ngāi Tahu ki Murihiku Resource and Environmental Management Plan 2008 or any subsequent Iwi Management Plans
- Support the use and understanding of Te Mana o te Wai, recognising the primary responsibility of Environment Southland in this area



Development of Māori capacity to contribute to the decision-making processes of the local authority.

Council is committed to development of Māori Capacity to contribute to the decision making process of the local authority. These opportunities include:

- Provision of information to Māori to underpin processes that assist effective contribution to the decision-making processes of Council
- Building capacity to enable contribution of Māori to the decision-making processes of Council. Related to this process is the need for Council to gain a clear understanding of expectations through hui and ongoing relationships with Māori to agree and commit to practicable steps to building capacity
- Supporting projects initiated by Māori that involve direct management of the district's natural resources
- Ongoing consideration on a case by case basis for the provision of support to assist Māori with resourcing, opportunities for training, engagement and promotion of matters that are of mutual benefit
- Effective and efficient consultation to improve existing relationships, processes and protocols related to local government and resource management issues

Approach to Determining Significance

The decision on a matter's significance rests with Council.

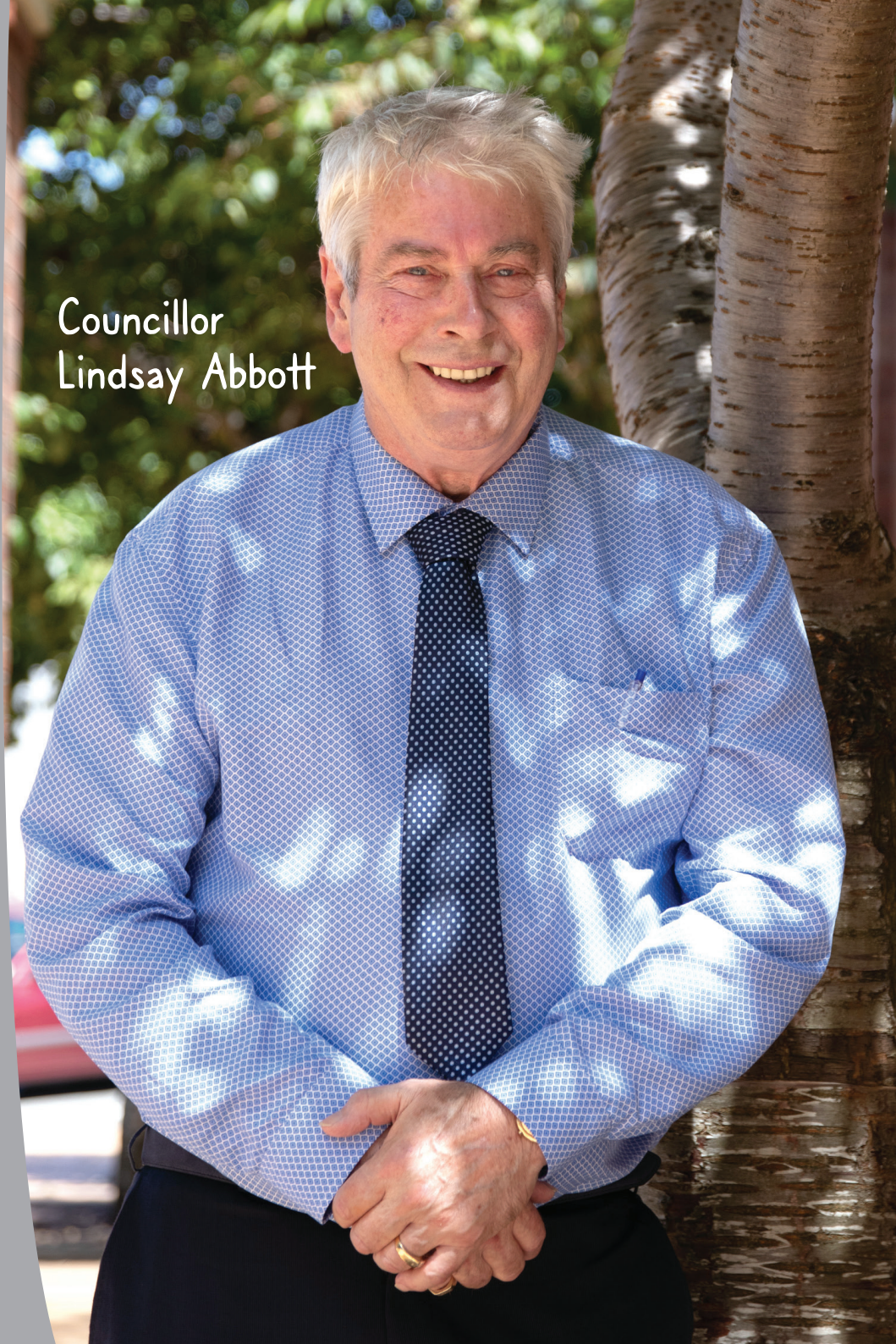
When undertaking a process to determine the extent to which issues, proposals, decisions or other matters are significant, staff will prepare a report against the thresholds and criteria listed below for consideration by and presentation to Council.

Council will evaluate the significance of each proposal or decision it makes on a case-by-case basis. Decisions of low significance, including some decisions made under delegated authority, may not explicitly state the degree of significance.

Significance and engagement will be considered in the early stages of a proposal before decision making occurs and, if necessary, reconsidered as the proposal develops. Differing levels of engagement may be required during the varying phases of decision-making on an issue, and for different stakeholders.



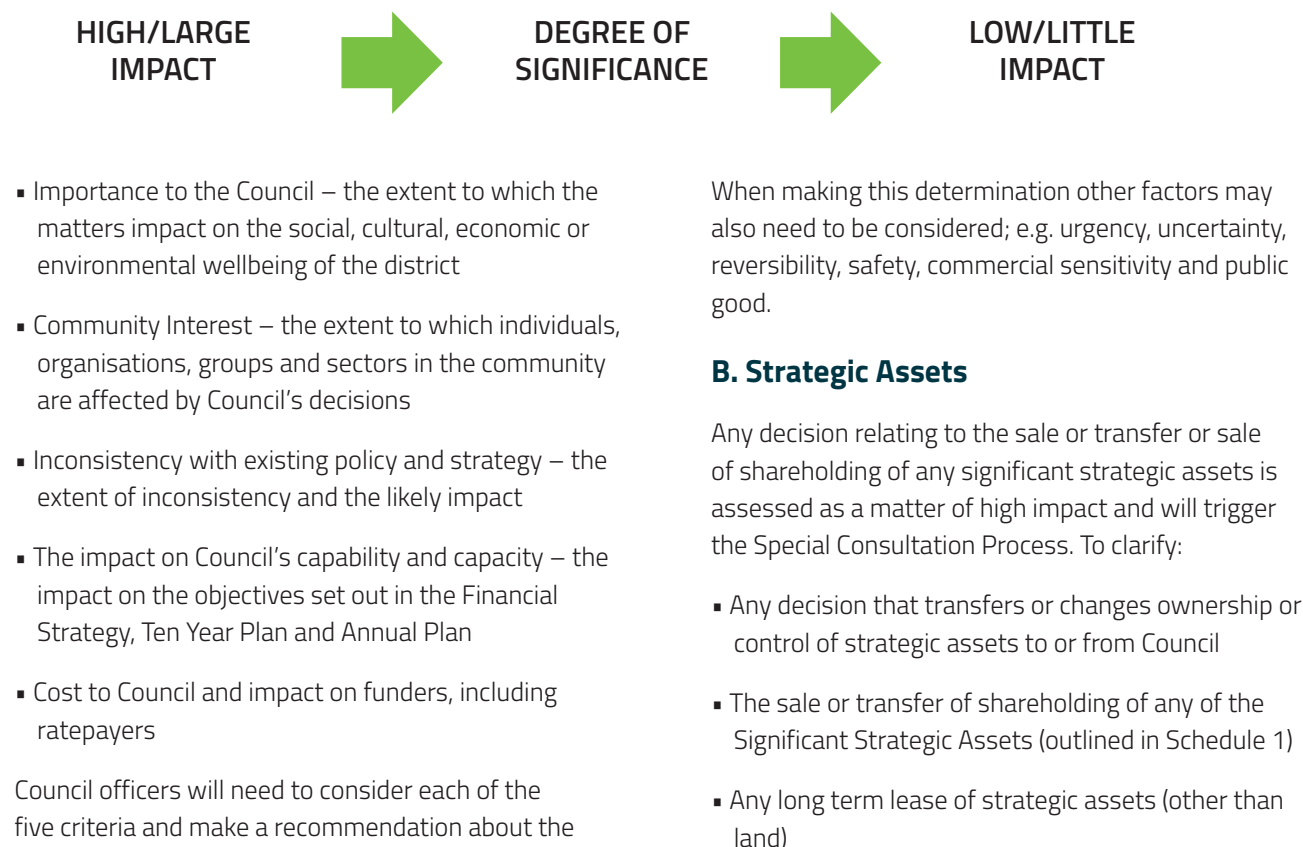
Councillor
Lindsay Abbott



Council will determine significance in two ways outlined in A and B:

A. Assessment

Thresholds and criteria for determining Significance:



Council officers will need to consider each of the five criteria and make a recommendation about the decision’s significance to the elected members

The final decision about the significance of any matter rests with elected members

Approach to Engagement

This section lays out Council's approach to engagement. It includes the following areas:

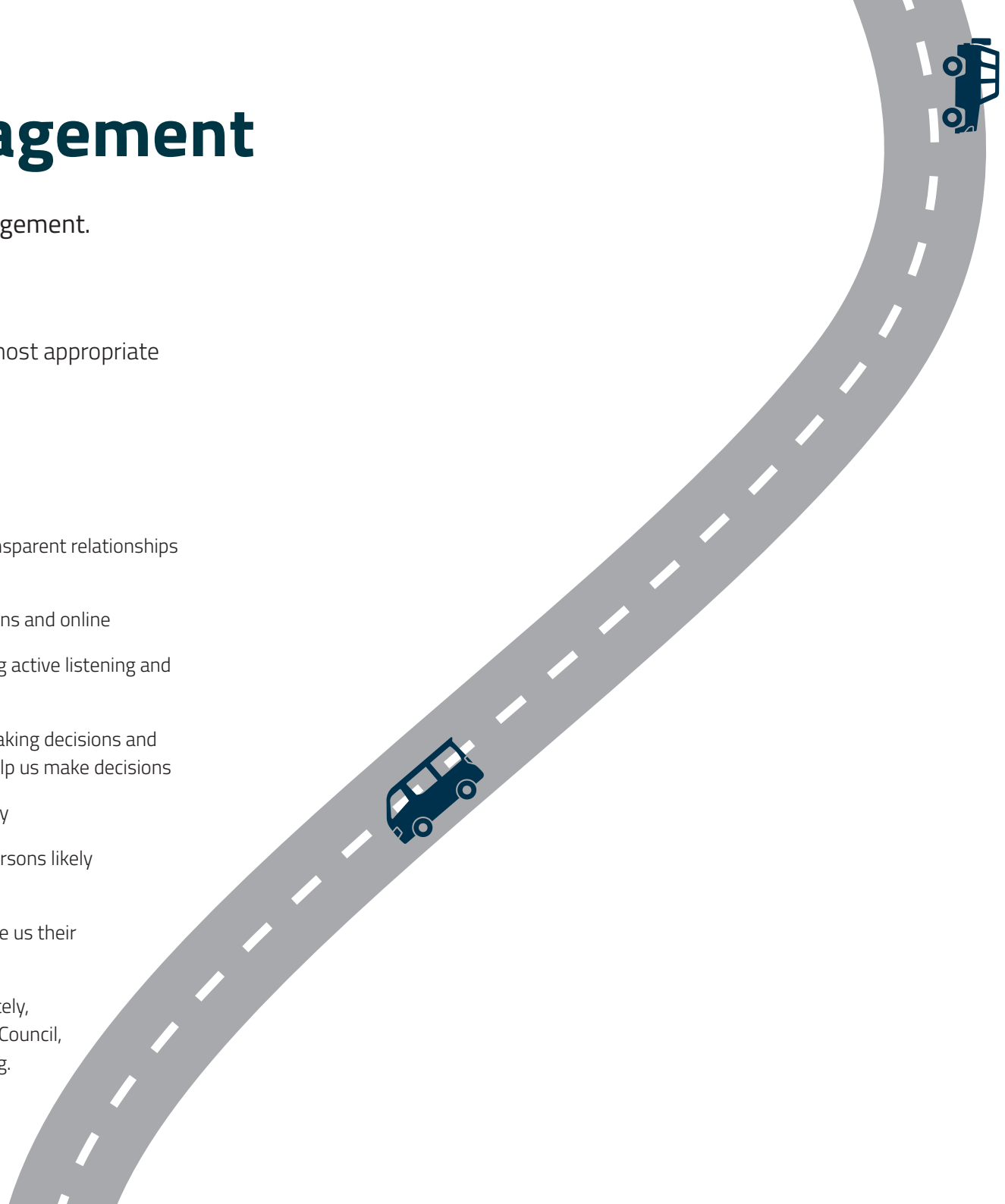
- Council's principles of engagement
- Process to determine the type of engagement most appropriate
- Guidance for undertaking engagement

Principles of Engagement

This is what you can expect from us:

- We will take a partnership approach to develop open and transparent relationships with Mana Whenua
- We will go where the people are, at events in different locations and online
- We will be genuine in our consultation and engagement, using active listening and different approaches to engagement
- We will have an open mind to community feedback before making decisions and will explain clearly how we will use the feedback we get to help us make decisions
- We will give our community a timely opportunity to have a say
- We will give consideration to the views and preferences of persons likely to be affected by, or to have an interest in the matter
- We will provide feedback to those who made the effort to give us their opinions and we will explain our decisions

We want to engage and consult with the community appropriately, which includes doing what we can to make it easy to approach Council, as well as avoiding consultation fatigue through over-consulting.



Engagement Assessment Criteria

Community engagement occurs across a spectrum at differing levels, Council has adapted the IAP2 Spectrum of Engagement for our use. Council will determine what level of engagement is appropriate for each decision or matter on a case by case basis using the approach to engagement above.

The five levels Council will consider are:

LEVEL	GOAL	COUNCIL'S PROMISE
Inform	To provide the public with balanced and objective information to assist them in understanding the problems, alternatives, opportunities or solutions	At this level, Council's promise is that we will keep the community informed
Consult	To obtain public feedback on analysis, alternatives or decisions	At this level, Council's promise is that we will keep the community informed, listen to and acknowledge concerns and provide feedback on how public input influenced the decision
Involve	To work directly with the public throughout the process to ensure the public concerns and aspirations are consistently understood and considered	At this level, Council's promise is that we will work with the community to ensure that their concerns and aspirations are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision
Collaborate	To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution	At this level, Council's promise is that we will look to the community for direct advice and innovation in formulating solutions and incorporate the community's advice and recommendation in to the decisions to the maximum extent possible
Empower	To place final decision-making in the hands of the public	At this level, Council's promise is that we will implement what the community decides

Process for determining the appropriate engagement approach

The Strategy and Policy team will support managers to determine an appropriate level of engagement and implement the engagement process.

To ensure that our approach to engagement is targeted at the right level Council will consider:

- the nature and significance of the decision or matter, including its likely impact from the perspective of the persons who will or may be affected by, or have an interest in, the decision or matter;
- that Māori are a partner in any engagement and we will work with Iwi to determine the level of engagement required on each issue or matter determined to be significant;
- the extent to which the current views and preferences of persons who will or may be affected by, or have an interest in, the decision or matter are known to the local authority;

- if any circumstances exist in which there is good reason for withholding local authority information (in accordance with the Local Government Official Information and Meetings Act 1987); and
- the costs and benefits of any consultation process or procedure.

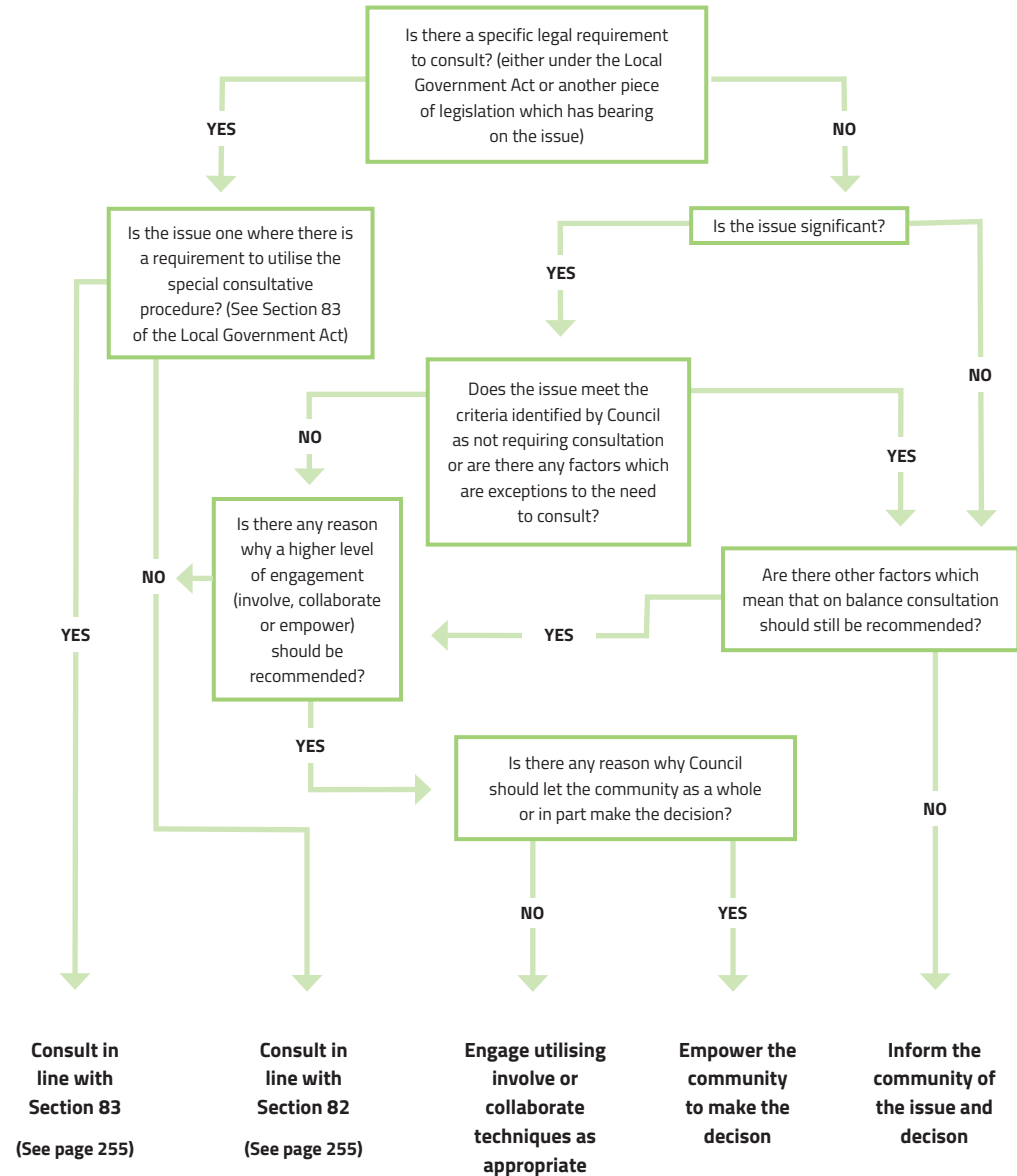
It will not always be appropriate or practicable to conduct processes at the participatory / empower end of the consultation continuum. Many minor issues will not warrant a participatory approach and constraints of time and money will also limit what is possible on some occasions.



What form of engagement should be undertaken?

Council will assess each situation and determine the appropriate engagement tools. The range of tools that Council will consider using at each level of the spectrum is included in Schedule 2 on page 253.

The diagram to the right shows the decision-making process which will be followed to determine the appropriate level of engagement.



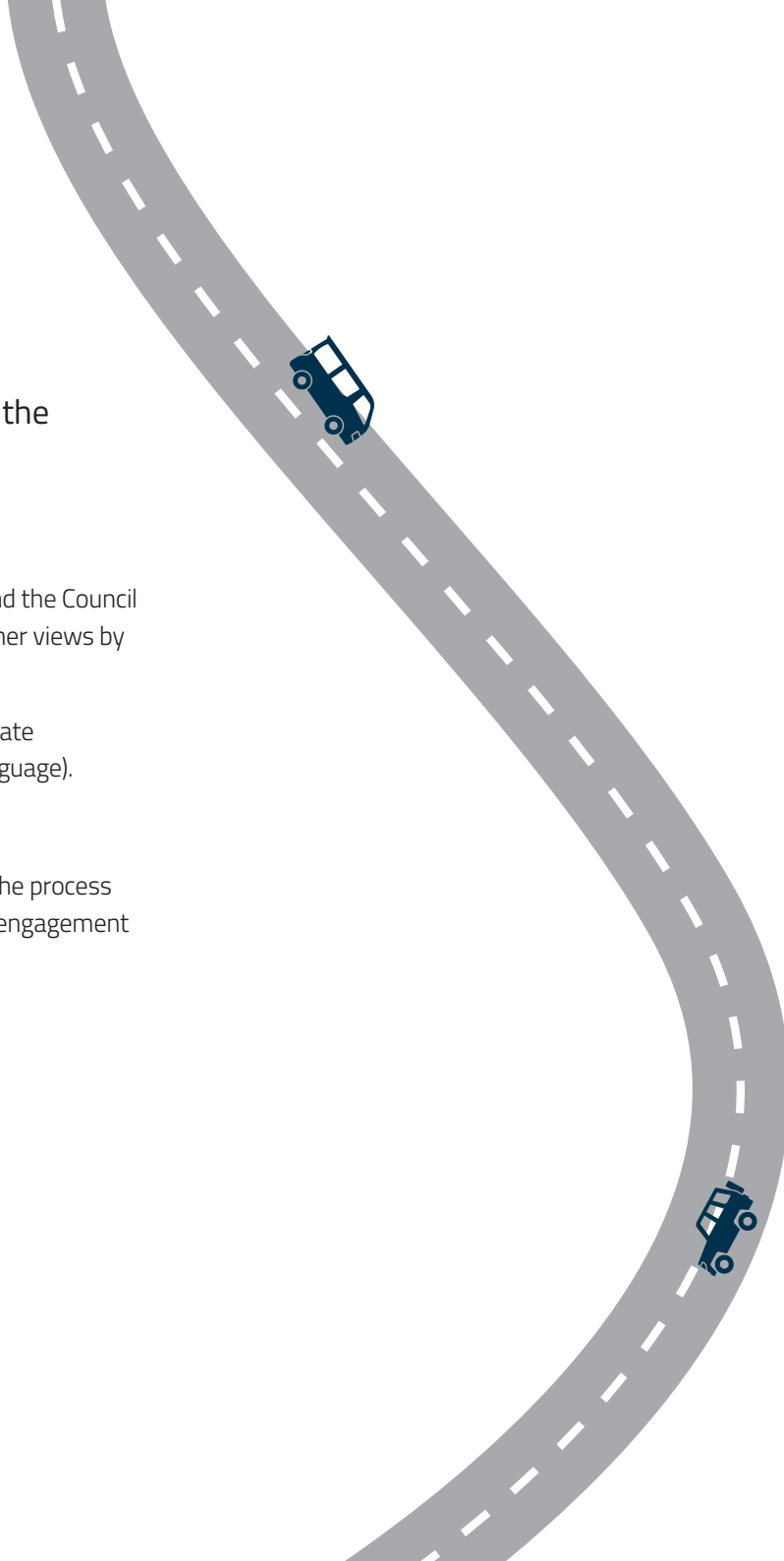
What you can expect from engagement

Each engagement will be planned at the level most appropriate. Schedule 2 outlines the different types of engagement which Council may use in different circumstances.

Below are some general principles which the Council will follow.

You can expect that if we ask your views, we will always let you know:

- What is proposed?
- Why?
- Where relevant, what options we have?
- Our preferred option and why?
- Costs and rating impact if any.
- What are the impacts (if any)?
- How the community can have a say?
- The timeframe and process.
- How we will communicate the outcome.
- Council will provide information in a range of formats and provide a range of options for sharing your views
- Hearings will be held in Council Chambers and the Council can also allow any person to present his or her views by way of audio link or audio-visual link.
- If we're asked to do so, the Council will facilitate interpretation (including Te Reo and sign language).
- We will make available decisions online.
- For those who wish to receive feedback on the process there is the option to sign up to the Council engagement e-newsletter.



What is the Special Consultative Procedure Requirement?

This is a formal consultation process that is triggered when a decision is deemed significant (as described above). Under the SCP, we must:

- Develop a Statement of Proposal and Summary, and make it widely available.
- Allow a minimum feedback period of one month.
- Ensure people are given the opportunity to present their views to elected members at a hearing.

The law requires us to adopt the Special Consultative Procedure for:

- Making, amending or revoking a bylaw
- Transferring Council's ownership of a significant strategic asset (see the list above and also Schedule 1).
- Adopting the Treasury Management Policy
- Other acts if expressly required by laws
- Adopting and amending our Long-term Plan

In certain circumstances, Council is legislatively required to consult using the Special Consultative Procedure prescribed in Section 83 of the Local Government Act. One example of circumstances where the Special Consultative Procedure must be used is when making decisions on transferring the ownership or control of strategic assets, as listed in Schedule 1.

When using the Special Consultative Procedure, Council prepares a proposal and advertises it for public submission. Submissions on the proposal can be received from anybody and the time period for receiving submissions is at least a month. People who have submitted can also request to speak to Council regarding their submission and this is done through a Hearing Process. After considering all submissions Council then makes a decision to adopt, amend or reject the proposal.



When Council May Not Seek Additional Information On Community Views

There are times when it is not necessary, appropriate or possible to seek additional information on community views. If this is the case, Council will make this determination in accordance with the criteria below.

The Council will not identify community views when:

- The matter is not of a nature or significance that requires consultation (LGA 2002, s82(4)(c))
- The Council already has a sound understanding of the views and preferences of the persons likely to be affected by or interested in the matter (s82(4)(b) LGA 2002);
- There is a need for confidentiality or commercial sensitivity (s82(4)(d) LGA 2002);
- The costs of consultation outweigh the benefits of it (s82(4)(e) LGA 2002);
- Entry or exit from a development agreement (private contract) as per section 207A Local Government Act 2002.
- Emergency management activities during a state of emergency – Civil Defence Emergency Management Act 2002.
- Decisions to act where it is necessary to
 - comply with the law
 - save or protect life, health or amenity
 - prevent serious damage to property
 - avoid, remedy or mitigate an adverse effect on the environment
 - Protect the integrity of existing and future infrastructure and amenity.
- Decisions in relation to regulatory and enforcement activities.
- Engagement will not be beneficial as it will not influence the decision (for example if there is only one or very limited viable options available, there may be no benefit in engaging with the community);
- An immediate or quick response or decision is needed or it is not reasonably practicable to engage;
- Works are required unexpectedly or following further investigations on projects, already approved by Council;
- Business as usual - the works required are related to the operation and maintenance of a Council asset and responsible management requires the works to take place;
- When Council has consulted on the unchanged issue in the last three years.
- Where we are not required to consult by law, we can consider making a decision without consultation on a case-by-case basis.



Exception to Procedure for Determining Significance and Undertaking Engagement

The Local Government Act provides for Council to consider the practicality of undertaking extensive consultation, considering the range of options, and obtaining the views and preferences of other people. In some circumstances, failure to make an urgent decision would result in an inability to achieve the intended outcomes and a loss of opportunity.

Where an urgent decision must be made, Council will tailor its decision-making process to include as much consultation and evaluation as is practicable within the specified timeframe. If, due to time limitations, a potentially significant decision is made without extensive consultation, Council will communicate the details of the decision to the public at a level appropriate to the nature of the matter.

Where a decision is made or is to be made that is significantly inconsistent with this policy, Council when making the decision will identify the inconsistency and the reason for the inconsistency.

Schedule 1

Strategic Assets

- Electricity Invercargill Limited
- Invercargill Airport Limited (97.2% Council ownership)
- Invercargill City Holdings Limited
- Invercargill Public Library and Archive – Buildings and Collections
- Invercargill Waste Transfer Station
- Roading Network and Connected Infrastructure
- Sewerage Networks and Treatment Plants
- Stormwater Networks in Invercargill and Bluff
- Stormwater system in Otatara
- Water Treatment, Storage and Supply Network

Under Section 97 of the Local Government Act, any decision to transfer the ownership or control of a strategic asset to or from Council can only be made if the decision has been explicitly provided for by a statement of proposal in Council's Long Term Plan. The strategic assets defined above are the asset in total and not any individual element of the asset. Section 97 will only apply to any decision being made on the strategic asset as a whole or a major sub part of the asset. The strategic asset is the asset that is listed as a strategic asset in the above list. For example, Council's strategic asset for Electricity Invercargill Limited (EIL) is the shareholding in the parent company (EIL) and not its shareholdings in its associates or joint ventures (for example PowerNet, Otago Power Services Limited).



Schedule 2

Types of Engagement

Please note: This is not a definitive list. Techniques not listed here may be used in addition to those listed below:

Inform

- Social media (Facebook and Instagram) posts/stories
- Paid ads via social media
- Newspapers / public notice / noticeboard
- Websites / internet
- Radio
- Flyers / posters / invitations/ brochures
- Public information sessions
- Press statements
- Displays / installations
- Community Road Shows
- Coffee & chat / Q & A sessions
- Information sent with Rates Notices
- Email

Consult / Involve

- Written and oral submissions
- Surveys
- Social media/ online discussion tools
- Referenda
- Formal public meetings
- Focus groups / working panels / local action groups / task groups
- Multi Stakeholder Processes such as:
 - Open house events
 - Meetings with existing groups
- Citizens Juries / Panels / Charette (Group of 12-25 people representative of a community, brought together for three to five days to consider an issue)
- Advisory groups

Collaborate

- Partnerships for major project delivery
- Membership on governing boards
- Co-creation/design of projects
- Working groups

At present the Council does not utilise techniques in the empower space, although this may change in the future. Techniques listed as appropriate in one level may be used in any of the other levels where this will best achieve the purpose of the engagement.



Schedule 3

International Association of Public Participation (IAP2)

The International Association of Public Participation (IAP2) is an association that works with different groups whom undertake public consultation and engagement. They are involved in the public participation process by supporting clients, colleagues and citizen's decision-making process.

The Invercargill City Council has determined to base its engagement on the core values established by IAP2 as outlined below:

- Public participation is based on the belief that those who are affected by a decision have a right to be involved in the decision-making process.
- Public participation includes the promise that the public's contribution will influence the decision.
- Public participation promotes sustainable decisions by recognising and communicating the needs and interests of all participants, including decision makers.
- Public participation seeks out and facilitates the involvement of those potentially affected by or interested in a decision.

- Public participation seeks input from participants in designing how they participate.
- Public participation provides participants with the information they need to participate in a meaningful way.
- Public participation communicates to participants how their input affected the decision.

Council has adapted the IAP2 Spectrum of Engagement for its use (included in the main Policy). IAP2's Public Participation Spectrum is designed to assist with the selection of the level of participation that defines the public's role in any community engagement process. The spectrum shows that differing levels of participation are legitimate depending on the goals, time frames, resource and levels of concern in the decision to be made.

You can find out more about IAP2 by visiting their website - www.iap2.org. PNDIX 1



Schedule 4

Local Government Act 2002

Relevant sections from the Local Government Act 2002 which relate to this policy being:

- **76AA Significance and Engagement Policy**
- **81 Contributions to decision-making processes by Māori**
- **82 Principles of Consultation**
- **83 Special Consultative Procedure**
- **86 Use of special consultative procedure in relation to making, amending, or revoking bylaws**
- **156 Consultation requirements when making, amending, or revoking bylaws made under this Act**

76AA Significance and engagement policy

- (1) Every local authority must adopt a policy setting out—
 - (a) that local authority's general approach to determining the significance of proposals and decisions in relation to issues, assets, and other matters; and
 - (b) any criteria or procedures that are to be used by the local authority in assessing the extent to which issues, proposals, assets, decisions, or activities are significant or may have significant consequences; and
 - (c) how the local authority will respond to community

preferences about engagement on decisions relating to specific issues, assets, or other matters, including the form of consultation that may be desirable; and

- (d) how the local authority will engage with communities on other matters.
- (2) The purpose of the policy is—
 - (a) to enable the local authority and its communities to identify the degree of significance attached to particular issues, proposals, assets, decisions, and activities; and
 - (b) to provide clarity about how and when communities can expect to be engaged in decisions about different issues, assets, or other matters; and
 - (c) to inform the local authority from the beginning of a decision-making process about—
 - (i) the extent of any public engagement that is expected before a particular decision is made; and
 - (ii) the form or type of engagement required.
- (3) The policy adopted under subsection (1) must list the assets considered by the local authority to be strategic assets.
- (4) A policy adopted under subsection (1) may be amended from time to time.
- (5) When adopting or amending a policy under this section, the local authority must consult in accordance with section 82 unless it considers on reasonable grounds that it has sufficient information about community interests and preferences to enable the purpose of the policy to be achieved.

- (6) To avoid doubt, section 80 applies when a local authority deviates from this policy.

81 Contributions to decision-making processes by Māori

- (1) A local authority must—
 - (a) establish and maintain processes to provide opportunities for Māori to contribute to the decision-making processes of the local authority; and
 - (b) consider ways in which it may foster the development of Māori capacity to contribute to the decision-making processes of the local authority; and
 - (c) provide relevant information to Māori for the purposes of paragraphs (a) and (b).
- (2) A local authority, in exercising its responsibility to make judgments about the manner in which subsection (1) is to be complied with, must have regard to—
 - (a) the role of the local authority, as set out in section 11; and
 - (b) such other matters as the local authority considers on reasonable grounds to be relevant to those judgments.

82 Principles of consultation

- (1) Consultation that a local authority undertakes in relation to any decision or other matter must be undertaken, subject to subsections (3) to (5), in accordance with the following principles:



- (a) that persons who will or may be affected by, or have an interest in, the decision or matter should be provided by the local authority with reasonable access to relevant information in a manner and format that is appropriate to the preferences and needs of those persons:
- (b) that persons who will or may be affected by, or have an interest in, the decision or matter should be encouraged by the local authority to present their views to the local authority:
- (c) that persons who are invited or encouraged to present their views to the local authority should be given clear information by the local authority concerning the purpose of the consultation and the scope of the decisions to be taken following the consideration of views presented:
- (d) that persons who wish to have their views on the decision or matter considered by the local authority should be provided by the local authority with a reasonable opportunity to present those views to the local authority in a manner and format that is appropriate to the preferences and needs of those persons:
- (e) that the views presented to the local authority should be received by the local authority with an open mind and should be given by the local authority, in making a decision, due consideration:
- (f) that persons who present views to the local authority should have access to a clear record or description of relevant decisions made by the local authority and explanatory material relating to the decisions, which may include, for example, reports relating to the matter that were considered before the decisions were made.

- (2) A local authority must ensure that it has in place processes for consulting with Māori in accordance with subsection (1).
- (3) The principles set out in subsection (1) are, subject to subsections (4) and (5), to be observed by a local authority in such manner as the local authority considers, in its discretion, to be appropriate in any particular instance.
- (4) A local authority must, in exercising its discretion under subsection (3), have regard to—
 - (a) The requirements of section 78; and
 - (b) the extent to which the current views and preferences of persons who will or may be affected by, or have an interest in, the decision or matter are known to the local authority; and
 - (c) the nature and significance of the decision or matter, including its likely impact from the perspective of the persons who will or may be affected by, or have an interest in, the decision or matter; and
 - (d) the provisions of Part 1 of the Local Government Official Information and Meetings Act 1987 (which Part, among other things, sets out the circumstances in which there is good reason for withholding local authority information); and
 - (e) the costs and benefits of any consultation process or procedure.
- (5) Where a local authority is authorised or required by this Act or any other enactment to undertake consultation in relation to any decision or matter and the procedure in respect of that consultation is prescribed by this Act or any other enactment, such of the provisions of the principles set out in subsection (1)

as are inconsistent with specific requirements of the procedure so prescribed are not to be observed by the local authority in respect of that consultation.

83 Special consultative procedure

- (1) Where this Act or any other enactment requires a local authority to use or adopt the special consultative procedure, that local authority must—
 - (a) prepare and adopt—
 - (i) a statement of proposal; and
 - (ii) if the local authority considers on reasonable grounds that it is necessary to enable public understanding of the proposal, a summary of the information contained in the statement of proposal (which summary must comply with section 83AA); and
 - (b) ensure that the following is publicly available:
 - (i) the statement of proposal; and
 - (ii) a description of how the local authority will provide persons interested in the proposal with an opportunity to present their views to the local authority in accordance with section 82(1)(d); and
 - (iii) a statement of the period within which views on the proposal may be provided to the local authority (the period being not less than 1 month from the date the statement is issued); and
 - (c) make the summary of the information contained in the statement of proposal prepared in accordance with paragraph (a)(ii) (or the statement of proposal, if a summary is not prepared) as widely available as is reasonably practicable as a basis for consultation; and

- (d) provide an opportunity for persons to present their views to the local authority in a manner that enables spoken (or New Zealand sign language) interaction between the person and the local authority, or any representatives to whom an appropriate delegation has been made in accordance with Schedule 7; and
- (e) ensure that any person who wishes to present his or her views to the local authority or its representatives as described in paragraph (d)—
 - (i) is given a reasonable opportunity to do so; and
 - (ii) is informed about how and when he or she may take up that opportunity.
- (2) For the purpose of, but without limiting, subsection (1)(d), a local authority may allow any person to present his or her views to the local authority by way of audio link or audiovisual link.
- (3) This section does not prevent a local authority from requesting or considering, before making a decision, comment or advice from an officer of the local authority or any other person in respect of the proposal or any views on the proposal, or both.

86 Use of special consultative procedure in relation to making, amending, or revoking bylaws

- (1) This section applies if, in accordance with section 156(1)(a), the special consultative procedure is required to be used in relation to the making, amending, or revoking of a bylaw.

- (2) The statement of proposal referred to in section 83(1)(a) must include,—
 - (a) as the case may be,—
 - (i) a draft of the bylaw as proposed to be made or amended; or
 - (ii) a statement that the bylaw is to be revoked; and
 - (b) the reasons for the proposal; and
 - (c) a report on any relevant determinations by the local authority under section 155.

156 Consultation requirements when making, amending, or revoking bylaws made under this Act

- (1) When making a bylaw under this Act or amending or revoking a bylaw made under this Act, a local authority must—
 - (a) use the special consultative procedure (as modified by section 86) if—
 - (i) the bylaw concerns a matter identified in the local authority's policy under section 76AA as being of significant interest to the public; or
 - (ii) the local authority considers that there is, or is likely to be, a significant impact on the public due to the proposed bylaw or changes to, or revocation of, the bylaw; and
 - (b) in any case in which paragraph (a) does not apply, consult in a manner that gives effect to the requirements of section 82.

- (2) Despite subsection (1), a local authority may, by resolution publicly notified,—
 - (a) make minor changes to, or correct errors in, a bylaw, but only if the changes or corrections do not affect—
 - (i) an existing right, interest, title, immunity, or duty of any person to whom the bylaw applies; or
 - (ii) an existing status or capacity of any person to whom the bylaw applies;
 - (b) convert an imperial weight or measure specified in a bylaw into its metric equivalent or near metric equivalent.

