
Risk and Assurance Committee

OPEN MINUTES UNCONFIRMED

Minutes of a meeting of Risk and Assurance Committee held in the Council Chambers, 126-148 Oxford St, Levin on Wednesday 7 June 2023 at 3.30pm.

PRESENT

Chairperson
Councillors

Cr Sam Jennings
Cr Alan Young
Cr Clint Grimstone
Mayor Bernie Wanden
Cr Piri-Hira Tukapua
Mrs Jenny Livschitz
Mrs Sarah Everton

Independent Member
Independent Member

Reporting Officer

Jacinta Straker
Daniel Haigh
Brent Harvey
David McCorkindale
Blair Spencer
Ashley Huria

Group Manager - Organisation Performance
Group Manager - Community Infrastructure
Group Manager - Community Experience and Services
Group Manager – Community Vision and Delivery
Group Manager – Housing & Business Development
Business Performance Manager
Democracy Support Officer
Risk Manager
Health & Safety Lead
Financial Controller
Director of Audit NZ

Meeting Secretary

Jody Lygo
Rob Benefield
Tanya Glavas
Pei Shan Gan
Clint Ramoo

The meeting opened with a Karakia.

1 Apologies

Apology

Resolution number **RAACC/2023/15**

MOVED by Cr Jennings, seconded Cr Young:

That the apologies from Councillor Procter and Councillor Olsen be accepted.

CARRIED

2 Public Participation

There was no public participation.

3 Late Items

There were no late items.

4 Declaration of Interest

There were no declarations of interest.

5 Confirmation of Minutes

Resolution Number **RAACC/2023/16**

MOVED by Cr Jennings, seconded Mayor Wanden:

That the minutes of the meeting of the Risk and Assurance Committee held on Wednesday, 1 March 2023, be confirmed as a true and correct record.

That the minutes of the meeting of the In Committee Meeting of Risk and Assurance Committee held on Wednesday, 1 March 2023, be confirmed as a true and correct record.

That the minutes of the meeting of the Extraordinary Meeting of Risk and Assurance Committee held on Wednesday, 26 April 2023, be confirmed as a true and correct record.

CARRIED

6 Reports for Noting

6.1 Audit Management Letter, Engagement letter and Audit plan for 2022/23 Annual Report

This report is to present to the Risk and Assurance Committee the Audit management letter for the 2021/22 year and the engagement letter and audit plan for the 2022/23 Annual Report.

Resolution Number RAACC/2023/17

MOVED by Cr Jennings, seconded Cr Tukapua:

That Report 23/369 Audit Management Letter, Engagement letter and Audit plan for 2022/23 Annual Report be received.

That this matter or decision be recognised as not significant in terms of s76 of the Local Government Act 2002.

CARRIED

Mr Clint Ramoo, Director - Audit NZ and Council's Financial Controller joined the table to speak to this report.

Mr Ramoo provided background information, speaking to the challenges faced as well as the requirements going forward.

The Chair noted that alongside the Chief Executive and Group Manager – Organisation Performance the committee will be kept informed of progress toward meeting the audit requirements.

Council expressed to Audit NZ that the current indicated fees were unsustainable and unaffordable, and that work was required to complete a fair value assessment of cost and treatment.

6.2 Treasury Report for the March 2023 quarter

To present to the Risk and Assurance Committee the Bancorp Treasury Reporting Dashboard for the March 2023 quarter.

Resolution Number RAACC/2023/18

MOVED by Cr Jennings, seconded Cr Young:

That Report 23/333 Treasury Report for the March 2023 quarter be received.

That this matter or decision be recognised as not significant in terms of s76 of the Local Government Act 2002.

CARRIED

The Financial Controller spoke to this report noting a purposeful policy breach occurred to allow officers to access more advantageous interest rates in April.

6.3 Risk and Assurance Committee Resolutions and Actions Monitoring Report

The purpose of this report is to report to the Risk and Assurance Committee on previous resolutions.

The Financial Controller introduced this report, providing a summary to members.

Resolution Number RAACC/2023/19

MOVED by Cr Jennings, seconded Cr Grimstone:

That Report 23/362 Risk and Assurance Committee Resolutions and Actions Monitoring Report be received.

That this matter or decision be recognised as not significant in terms of s76 of the Local Government Act 2002.

CARRIED

It was noted that moving forward if an action listed in the Actions Monitoring Report is purposefully delayed that, the context would be written into the relevant comment section of the monitoring report.

Resolution Number RAACC/2023/20

MOVED by Cr Jennings, seconded Mrs Everton:

That the Risk & Assurance Committee notes the Risk & Assurance Committee resolution and actions monitoring report.

CARRIED

6.4 Health, Safety and Wellbeing Quarterly Report - June

To provide the Committee with health, safety and wellbeing information and insight from 1 February to 30 April 2023 and to update the Committee on key health and safety critical risks and initiatives.

Resolution Number RAACC/2023/21

MOVED by Cr Jennings, seconded Cr Grimstone:

That Report 23/360 Health, Safety and Wellbeing Quarterly Report - June be received.

That this matter or decision be recognised as not significant in terms of s76 of the Local Government Act 2002.

CARRIED

Councillor Young exited the meeting at 04:51 pm.

Councillor Young returned to the meeting at 04:57 pm.

Council's Health & Safety Lead joined the table with the Business Performance Manager to introduce this report and provide a summary of the dashboard.

Discussion was held surrounding workplace audits and the SiteWise accreditation of contractors that Council engages with.

The table spoke in detail about threatening behaviour and the impacts on staff, Council and the Community including the rights to trespass and guidelines around managing threatening and abusive phone calls.

6.5 Insurance Renewal Strategy Update

To provide an update on the 2023 -24 Insurance Renewal Workstream; this is established to maximize the accuracy and effectiveness of Horowhenua District Councils Insurance Renewal submission.

Resolution Number RAACC/2023/22

MOVED by Cr Jennings, seconded Mayor Wanden:

That Report 23/344 Insurance Renewal Strategy Update be received.

That this matter or decision be recognised as not significant in terms of s76 of the Local Government Act 2002.

CARRIED

The Risk Manager joined the table with the Business Performance Manager to introduce this report. Officers provided some background information and discussed the operational approach to managing insurance renewals.

Resolution Number RAACC/2023/23

MOVED by Cr Jennings, seconded Mrs Livschitz:

That the Risk and Assurance Committee endorse the proposed planned approach for the Insurance Renewal.

CARRIED

6.6 Risk Management Status Quarterly Report - June 2023

The purpose of this paper is to report to the Risk and Assurance Committee the risk landscape, risk management work in progress and to ignite discussion with the committee about risk.

Councillor Tukapua exited the meeting at 05:52 pm.

Councillor Tukapua returned to the meeting at 05:53 pm.

Resolution Number RAACC/2023/24

MOVED by Cr Jennings, seconded Mayor Wanden:

That Report 23/350 Risk Management Status Quarterly Report - June 2023 be received.

That this matter or decision be recognised as not significant in terms of s76 of the Local Government Act 2002.

CARRIED

Officers spoke to this report, providing a summary on the last three months and discussing the top ten priorities.

Resolution Number RAACC/2023/25

MOVED by Cr Jennings, seconded Cr Young:

That the Risk and Assurance Committee endorse the Draft Risk Management Framework.

CARRIED

Resolution Number RAACC/2023/26

MOVED by Cr Jennings, seconded Mrs Everton:

That the Risk and Assurance Committee endorse the Draft Risk Strategy and Workplan.

CARRIED

6.7 Internal Audit Work Programme

This report provides the Risk and Assurance Committee with a suggested approach to the internal audit work programme.

Resolution Number RAACC/2023/27

MOVED by Cr Jennings, seconded Cr Tukapua:

That Report 23/339 Internal Audit Work Programme be received.

That this matter or decision be recognised as not significant in terms of s76 of the Local Government Act 2002.

CARRIED

The Business Performance Manager spoke to the purpose of the report, asking for endorsement to fix known areas of improvement, noting these are Fringe Benefit Tax, Business Continuity Programme, Cyber Security and Financial Policies

Resolution Number RAACC/2023/28

MOVED by Cr Jennings, seconded Mayor Wanden:

That Risk and Assurance Committee endorse utilising the \$51,000 budgeted for internal audit to assist with fixing known areas for improvements such as Fringe Benefit Tax, Business Continuity Programme, Cyber Security and Financial Policies during the 2023/24 financial year.

CARRIED

6.8 Conflict of Interest Report

To update the committee on the Council's planned approach to recording and managing conflicts of interest for Horowhenua District Council employees, this report does not relate to Elected Members conflict of interest.

Resolution Number RAACC/2023/29

MOVED by Cr Jennings, seconded Cr Young:

That Report 23/332 Conflict of Interest Report be received.

That this matter or decision be recognised as not significant in terms of s76 of the Local Government Act 2002.

CARRIED

Resolution Number RAACC/2023/30

MOVED by Cr Jennings, seconded Cr Grimstone:

That the committee note the work that the Council is currently undertaking to better understand and manage conflicts of interest.

CARRIED

6.9 Legislative Compliance Report

This report provides the Risk and Assurance Committee an update on legislative compliance for Horowhenua District Council.

Resolution Number RAACC/2023/31

MOVED by Cr Jennings, seconded Cr Young:

That Report 23/340 Legislative Compliance Report be received.

That this matter or decision be recognised as not significant in terms of s76 of the Local Government Act 2002.

CARRIED

The Chair spoke to this report noting this is the first time this report type has been brought to the Committee and that we are at the beginning of a journey with starting this process that will be followed internally.

Discussion was held surrounding the impacts of Bylaws, and the need to continually upskill staff.

Resolution Number RAACC/2023/32

MOVED by Cr Jennings, seconded Cr Grimstone:

That the committee note the Council's planned approach for improving the monitoring of legislative compliance.

CARRIED

6.10 Risk and Assurance Committee Work Programme

The purpose of this report is to provide the Risk and Assurance Committee with an outline of a Draft Work Programme.

Resolution Number RAACC/2023/33

MOVED by Cr Jennings, seconded Cr Grimstone:

That Report 23/361 Risk and Assurance Committee Work Programme be received.

That this matter or decision be recognised as not significant in terms of s76 of the Local Government Act 2002.

CARRIED

Officers spoke to this report answering questions when required.

The following topics were discussed and noted as a focus of this committee:

- State of the Districts footpaths
- Accuracy of record holding
- Risk lense across the Three Waters Reform programme

The Committee requested a report be brought to the Capital Projects steering Group regarding the current status of the Foxton Water Tank.

Procedural motion to exclude the public

Resolution Number RAACC/2023/34

MOVED by Cr Jennings, seconded Mayor Wanden:

That the public be excluded from the following part(s) of the proceedings of this meeting.

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

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

C1 Risk Management Status Quarterly Report - June 2023 - Attachment D - Operational Risk Register May 2023 Updated 10

Reason for passing this resolution in relation to each matter	Particular interest(s) protected (where applicable)	Ground(s) under section 48(1) for the passing of this resolution
The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.	s7(2)(a) - The withholding of the information is necessary to protect the privacy of natural persons, including that of a deceased person.	s48(1)(a) The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.

C2 Risk Management Status Quarterly Report - June 2023 - Attachment E - Organisation Risk Register May 2023 Updated 10

Reason for passing this resolution in relation to each matter	Particular interest(s) protected (where applicable)	Ground(s) under section 48(1) for the passing of this resolution
The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.	s7(2)(a) - The withholding of the information is necessary to protect the privacy of natural persons, including that of a deceased person.	s48(1)(a) The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.

The text of these resolutions is made available to the public who are present at the meeting and form part of the minutes of the meeting.

CARRIED

6.45 pm The public were excluded.

Resolutions in relation to the confidential items are recorded in the confidential section of these minutes and are not publicly available.

7:19 pm

There being no further business, the Chairperson declared the meeting closed.

CONFIRMED AS A TRUE AND CORRECT RECORD
AT A MEETING OF RISK AND ASSURANCE
COMMITTEE HELD ON

DATE:

CHAIRPERSON: