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## Minutes of a meeting of the

### Audit, Risk and Finance Subcommittee

### *Te Kōmiti Āpiti, Kaute / Tūraru / Pūtea*

**Held via Zoom on Tuesday 24 May 2022, commencing at 9.00a.m.**

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Present: Mr J Peters (Chairperson), Her Worship the Mayor R Reese, Councillors J Edgar, R Sanson, Iwi Representative S Kelly and Mr J Murray

In Attendance: Councillors G Noonan and Y Bowater, Chief Executive (P Dougherty), Group Manager Infrastructure (A Louverdis), Group Manager Corporate Services (N Harrison), Group Manager Strategy and Communications (N McDonald), Team Leader Governance (R Byrne) and Senior Governance Adviser (M Macfarlane)

Apologies : Councillor M Lawrey

### **Karakia and Mihi Timatanga**

#### **1. Apologies**

Resolved ARF/2022/016

***That the Audit, Risk and Finance Subcommittee***

- 1. Receives and accepts the apologies from Councillor M Lawrey for attendance.***

Murray/Her Worship the Mayor

Carried

#### **2. Confirmation of Order of Business**

The Chairperson indicated Item 12: Quarterly Risk Report - 31 March 2022 would follow Item 8: The Health and Safety at Work Act 2015 and Elected Members

Auditor, John Mackey, was scheduled for Item 13: Quarterly Finance Report - 31 March 2022 on audit related matters.

### 3. Interests

There were no updates to the Interests Register, and no interests with items on the agenda were declared.

### 4. Public Forum

There was no public forum.

### 5. Confirmation of Minutes

5.1 22 February 2022

Document number M19252, agenda pages 8 - 14 refer.

Resolved ARF/2022/017

***That the Audit, Risk and Finance Subcommittee***

- 1. Confirms the minutes of the meeting of the Audit, Risk and Finance Subcommittee, held on 22 February 2022, as a true and correct record.***

Murray/Edgar

Carried

### 6. Chairperson's Report

Document number R26893, agenda pages 15 - 16 refer.

The Chairperson took the report as read and noted that the committee needed to be flexible to address matters in a timely fashion.

Resolved ARF/2022/018

***That the Audit, Risk and Finance Subcommittee***

- 1. Receives the report Chairperson's Report (R26893).***

Peters/Sanson

Carried

### 7. Privacy Act 2020 - reporting

Document number R26518, agenda pages 17 - 21 refer.

Manager Governance and Support Services, Devorah Nicuarta-Smith, took the report as read and answered questions about legislative timelines and restrictions, safeguards being put in place since earlier breach and the handling of private information.

Resolved ARF/2022/019

***That the Audit, Risk and Finance Subcommittee***

- 1. Receives the report Privacy Act 2020 - reporting (R26518)***

Edgar/Sanson

Carried

**8. The Health and Safety at Work Act 2015 and Elected Members**

Document number R26539, agenda pages 22 - 28 refer.

Heath Safety & Wellness Adviser, Malcolm Hughes, presented the report and answered questions on the Council providing safe spaces within Council facilities for elected members to meet with constituents, if any advice on duty of care had been sought to date and if so if it is legally privileged.

The meeting was adjourned at 09.37a.m. and reconvened at 09.42a.m.

**Exclusion of the Public**

Resolved ARF/2022/020

***That the Audit, Risk and Finance Subcommittee***

- 1. Excludes the public from the following parts of the proceedings of this meeting.***
- 2. 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 are as follows:***

Item	General subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Particular interests protected (where applicable)
8	<b>Audit, Risk and Finance Subcommittee Meeting - The Health and Safety at Work Act 2015 and Elected Members</b>	Section 48(1)(a) The public conduct of this matter would be likely to result in disclosure of information for which good reason exists under section 7.	The withholding of the information is necessary: <ul style="list-style-type: none"> <li>• Section 7(2)(g) To maintain legal professional privilege</li> <li>• Section 7(2)(c)(ii) To 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 would be likely otherwise to damage the public interest</li> </ul>

Peters/Her Worship the Mayor

Carried

The meeting went into confidential session at 09.42a.m. and resumed in public session at 09.53a.m.

Resolved ARF/2022/022

***That the Audit, Risk and Finance Subcommittee***

- 1. Receives the report The Health and Safety at Work Act 2015 and Elected Members (R26539) and its attachment (A2873272).***

Murray/Edgar

Carried

The Chair advised the meeting would consider Agenda Item 12 at this point.

**9. Quarterly Risk Report - 31 March 2022 (Agenda item 12)**

Document number R26793, agenda pages 69 - 98 refer.

Chief Executive, Pat Dougherty, Heath Safety and Wellness Adviser, Malcolm Hughes, and Audit and Risk Analyst, Chris Logan, spoke to this report and tabled an additional document (A2891157).

Mr Dougherty, Mr Hughes and Mr Logan answered questions on existing civic house assessments, previous incidents and near misses at civic house, previous refurbishment plans, further investigations being undertaken, business continuity plans, risk mitigations, how reporting in the risk register is undertaken, how risks are assessed, how high risk matters are recorded, how high risk matters are reported to members and who should be registered in the conflicts of interest.

The meeting was adjourned at 10.42a.m. and reconvened at 10.58a.m.

Resolved ARF/2022/022

***That the Audit, Risk and Finance Subcommittee***

- 1. Receives the report Quarterly Risk Report - 31 March 2022 (R26793) and its attachment (A2587873).***

Edgar/Peters

Carried

**Attachments**

- 1 Risk Assessment - Earthquake prone building elements Civic House - June 2022 (A2891157)

**10. Quarterly Health, Safety and Wellbeing Report - 31 March 2022 (Agenda item 9)**

Document number R26769, agenda pages 29 - 46 refer.

Heath Safety & Wellness Adviser, Malcolm Hughes, presented the report and answered questions on reporting of notifiable incidents, incidents reported at Heritage Park, staff survey results and investigations into the tiles in the Elma Turner Library tiles.

Resolved ARF/2022/023

***That the Audit, Risk and Finance Subcommittee***

- 1. Receives the report Quarterly Health, Safety and Wellbeing Report - 31 March 2022 (R26769) and its attachment (A2872306).***

Her Worship the Mayor/Kelly

Carried

**9. Draft Annual Internal Audit Plan to 30 June 2023 (Agenda item 10)**

Document number R26801, agenda pages 47 - 55 refer.

Audit and Risk Analyst, Chris Logan, took report as read and answered questions about the way critical matters are being reported, potential of Senior Leadership Team and contractors being included in conflict of interest assessment and the migration to a new record management system.

Resolved ARF/2022/024

***That the Audit, Risk and Finance Subcommittee***

- 1. Receives the report Draft Annual Internal Audit Plan to 30 June 2023 (R26801) and its attachment (A2867251).***

Sanson/Murray

Carried

Resolved ARF/2022/025

Recommendation to Council

***That the Council***

- 1. Approves the Draft Annual Internal Audit Plan for the year to 30 June 2023 (A2867251).***

Sanson/Murray

Carried

**12. Adjournment of Meeting**

Resolved ARF/2022/026

***That the Audit, Risk and Finance Subcommittee***

- 1. Adjourns the meeting at 12.54p.m. until 17 June at 9.00a.m. via Zoom.***

Edgar/Sanson

Carried

**Karakia Whakamutanga**

**Minutes of part of a meeting of the**  
**Audit, Risk and Finance Subcommittee**  
***Te Kōmiti Āpiti, Kaute / Tūraru / Pūtea***

**Reconvened via Zoom on Friday 17 June 2022, commencing at 9.00 a.m.**

Present: Mr J Peters (Chairperson), Councillors R Sanson and M Lawrey

In Attendance: Group Manager Corporate Services (N Harrison), Group Manager Strategy and Communications (N McDonald), Senior Governance Adviser (M Macfarlane) and Assistant Governance Adviser (A Bryce-Neumann)

Leave of absence: Her Worship the Mayor R Reese

Apologies : Councillor J Edgar, Mr J Murray and Iwi Representative S Kelly

**Karakia and Mihi Timatanga**

**13. Apologies**

Resolved ARF/2022/027

***That the Audit, Risk and Finance Subcommittee***

- 1. Receives and accepts the apologies from Councillor J Edgar, Mr J Murray and Iwi Representative S Kelly***

Peters/Lawrey

Carried

**14. Quarterly Internal Audit Report - 31 March 2022 (Agenda item 11)**

Document number R26792, agenda pages 56 - 68 refer.

Audit and Risk Analyst, Chris Logan, took the report as read.

Group Manager Strategy & Communications, Nicky McDonald, answered questions about Local Government Act Section 17a reviews, timing around reviews being brought to committee, which committee is appropriate to receive the updates and reports updating reviews. Mr Logan answered questions on regulatory services activities, the lack of suitable benchmarks available and how activities are tracking.

In response to questions, the Chairperson updated the committee on Greenmeadows Pūtangitangi review progress, the terms of reference, frequency of meetings held, delays encountered and expectation of completion of work.

Resolved ARF/2022/028

***That the Audit, Risk and Finance Subcommittee***

- 1. Receives the report Quarterly Internal Audit Report - 31 March 2022 (R26792) and its attachments (A2915304 and A2866388).***

Sanson/Lawrey

Carried

**15. Quarterly Finance Report - 31 March 2022 (Agenda item 13)**

Document number R26662, agenda pages 99 - 127 refer.

Manager Finance, Prabath Jayawardana, , took the report at read.

Group Manager Corporate Services, Nikki Harrison, , answered questions on forestry expenditure exceeding forestry income, the prudence of council's current approach and if a Local Government Act Section 17a review is required.

Mr Jayawardana answered questions on base expenditure, savings, likely tracking, projects with predicted underspend.

Resolved ARF/2022/029

***That the Audit, Risk and Finance Subcommittee***

- 1. Receives the report Quarterly Finance Report - 31 March 2022 (R26662) and its attachments (A2881543, A2867009, and A2880764).***

Lawrey/Sanson

Carried

**16. Exclusion of the Public**

Resolved ARF/2022/030

***That the Audit, Risk and Finance Subcommittee***

- 1. Excludes the public from the following parts of the proceedings of this meeting.***
- 2. 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 are as follows:***

Peters/Lawrey

Carried

<b>Agenda Item</b>	<b>General subject of each matter to be considered</b>	<b>Reason for passing this resolution in relation to each matter</b>	<b>Particular interests protected (where applicable)</b>
<b>1</b>	<b>Audit, Risk and Finance Subcommittee Meeting - Confidential Minutes - 22 February 2022</b>	Section 48(1)(a) The public conduct of this matter would be likely to result in disclosure of information for which good reason exists under section 7.	The withholding of the information is necessary: <ul style="list-style-type: none"> <li>• Section 7(2)(a) To protect the privacy of natural persons, including that of a deceased person</li> <li>• Section 7(2)(g) To maintain legal professional privilege</li> <li>• Section 7(2)(c)(ii) To 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 would be likely otherwise to damage the public interest</li> </ul>
<b>2</b>	<b>Quarterly Update on Debts - 31 March 2022</b>	Section 48(1)(a) The public conduct of this matter would be likely to result in disclosure of information for which good reason exists under section 7	The withholding of the information is necessary: <ul style="list-style-type: none"> <li>• Section 7(2)(a) To protect the privacy of natural persons, including that of a deceased person</li> <li>• Section 7(2)(g) To maintain legal professional privilege</li> </ul>
<b>3</b>	<b>Quarterly Report on Legal Proceedings</b>	Section 48(1)(a) The public conduct of this matter would be likely to result in disclosure	The withholding of the information is necessary: <ul style="list-style-type: none"> <li>• Section 7(2)(g)</li> </ul>

Agenda Item	General subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Particular interests protected (where applicable)
		of information for which good reason exists under section 7	To maintain legal professional privilege

The meeting went into confidential session at 09:36a.m. and resumed in public session at 09.55a.m.

## Karakia Whakamutanga

### 17. Restatements

It was resolved while the public was excluded:

#### 1 Quarterly Update on Debts - 31 March 2022

2. *Agrees that the Report (R26806) and its attachment (A2878713) remain confidential at this time.*

#### 2 Quarterly Report on Legal Proceedings

2. *Agrees that the report Quarterly Report on Legal Proceedings (R26719) and its attachment (A2882014) remain confidential.*

There being no further business the meeting ended at 09.55a.m.

Confirmed as a correct record of proceedings by resolution on 13 September 2022.

#### ***That the Audit, Risk and Finance Subcommittee***

1. ***Confirms*** the minutes of the meeting of the Audit, Risk and Finance Subcommittee, held on 24 May 2022, as a true and correct record.