



AUDIT AND RISK COMMITTEE MEETING MINUTES

MINUTES OF THE AUDIT AND RISK COMMITTEE MEETING OF WESTLAND DISTRICT COUNCIL HELD IN THE COUNCIL CHAMBERS, 36 WELD STREET, HOKITIKA AND VIA ZOOM ON THURSDAY 12 MAY 2022 COMMENCING AT 1:00 PM

The Committee Meeting was live streamed to the Westland District Council Youtube Channel and presentations are made available on the council website.

1. MEMBERS PRESENT AND APOLOGIES

Chairperson	Rachael Dean – Independent Chair	
Members		
	Deputy Mayor Carruthers	Cr Hart
	Cr Neale	Kw Tumahai

NGĀ WHAKAPAAHA APOLOGIES

His Worship the Mayor
Kw Madgwick

ABSENT

Kw Tumahai

Moved Deputy Mayor Carruthers, seconded Cr Neale and **Resolved** that the apologies from His Worship the Mayor and Kw Madgwick be received and accepted.

STAFF PRESENT

S.R. Bastion, Chief Executive; T. Cook, Regulatory Services Manager; L. Crichton, Group Manager: Corporate Services; S. Baxendale, Group Manager District Assets; D. Maitland; Executive Assistant, E. Rae, Strategy and Communications Advisor; S. Johnston; Governance Administrator; Lynley Truman; Finance Manager,

2. WHAKAPUAKITANGA WHAIPĀNGA DECLARATIONS OF INTEREST

The Interest Register had been circulated via Microsoft Teams and available on the Council Chambers table. There were no changes to the Interest Register noted.

3. NGĀ TAKE WHAWHATI TATA KĀORE I TE RĀRANGI TAKE URGENT ITEMS NOT ON THE AGENDA

Late Agenda Item:

Report to Committee - Audit Management Report for the Year Ended 30 June 2021

Moved Chair Rachael Dean, seconded Cr Neale and Resolved that the Audit Management Report for the Year Ended 30 June 2021 be added to the Audit and Risk Committee Agenda due to the following reasons:

The reason why the item is not on the agenda is due to the timing of the report being received which was after the Audit and Risk Committee Agenda had been issued.

The reason why the discussion of the item cannot be delayed until a subsequent meeting is due to the fact that the report has been significantly delayed and is of high interest to the ratepayers and Community of Westland as the report relates to the performance of council at the financial year end 30 June 2021.

4. **NGĀ MENETI O TE HUI KAUNIHERA MINUTES OF MEETINGS**

The Minutes of the previous Meeting were circulated separately via Microsoft Teams.

- **Audit and Risk Committee Meeting Minutes – 17 February 2022**

Moved Deputy Mayor Carruthers seconded Cr Neale and **Resolved** that the Minutes of the Audit and Risk Committee Meeting held on the 17 February 2022 be confirmed as a true and correct record of the meeting.

The Chair **Approved** that their digital signature be added to the confirmed Audit and Risk Committee Meeting Minutes of 17 February 2022.

5. **ACTION LIST**

The Group Manager: Corporate Services – Lesley Crichton spoke to the Action List and provided the following updates:

Insurance Review:

This item is still outstanding. The Chief Executive is having a meeting with DC Westland tomorrow (13/5/22) and this will be raised at that meeting.

Workshop of Evaluation of Performance:

This has been delayed due to Covid-19.

OAG Risk management Workshop:

This has been completed and can be removed from the Action List.

Policy on Police Vetting:

This was brought to the Committee in February and further information was requested. This has also been delayed due to Covid-19.

Policies for Review for the Workplan:

This has been added to the Committee Agenda as a standing item and can also be removed from the Action list.

Moved Deputy Mayor Carruthers, seconded Cr Neale and **Resolved** that the updated Action List be received.

6. NGĀ TĀPAETANGA PRESENTATIONS

- **Presentation: Audit Planning**

Breno Branco and Brendan Summerfield from Ernst & Young (*unable to present today*)

Breno and Brendan unfortunately were unable to join the meeting, however the Committee still discussed the presentation.

The Chair Rachael Dean will aim to arrange a meeting tomorrow (13/05/22) with them to discuss the presentation and ask some questions.

Moved Chair Dean seconded Deputy Mayor Carruthers and **Resolved** that the presentation on Audit Planning from Breno Branco and Brendon Summerfield from Ernst & Young be received.

7. PŪRONGO KAIMAHI STAFF REPORTS

- **QUARTERLY REPORT**

Finance Manager: Lynley Truman and Strategy & Communications Advisor: Emma Rae spoke to this item:

- 1.1. The purpose of this report is to inform the Committee of Council's financial and service delivery performance for the nine months ended 31 March 2022 (Q3).

Noted from Group Manager, Corporate Services that some information was not able to be supplied due to staff absences. We were unable to get the treasury information and the reserve funds report that we would normally put.

Chair Rachael Dean noted that in the previous meeting it was voiced that some performance measures historically are not reported and again this quarter there were some not being reported.

Deputy Mayor Carruthers asked if staff working from home would increase our risk profile?

Group Manager, Corporate Services advised that we have very good security and protection – sometimes it is hard for staff to do admin work because of this. The risk of someone accessing information in the home office environment was low.

- Group Manager, Corporate Services to check policy around privacy / risk of working from home (**Action**)

Moved Chair Dean seconded Cr Neale and **Resolved** that the Quarterly Report from the Finance Manager and Strategy & Communications Advisor be received.

- **DRAFT CUSTOMER COMPLAINTS MANAGEMENT POLICY:**

Group Manager: Corporate Services – Lesley Crichton spoke to this item:

- 1.1 The purpose of this report is to present the draft Customer Complaints Management Policy to the Audit and Risk Committee (A&R) for feedback and endorsement.

Complaints can be taken through the website OR they can phone customer services who will enter the complaint into the system for them. The customer service team can deal with it straight away or escalate. This will be a more formalised process.

Moved Cr Carruthers seconded Cr Neale and **Resolved** that:

1. That the report be received.
2. That the Draft Customer Complaints Management Policy be endorsed by the Audit and Risk Committee.

- **REPORTING TO COUNCIL BY CHAIR A&R COMMITTEE**

Group Manager: Corporate Services – Lesley Crichton to speak to this item:

- 1.1 The purpose of this report is to consider formal reporting between the Audit and Risk Committee and full Council on risk and the work of the Audit and Risk Committee.

Moved Chair Dean seconded Cr Carruthers and **Resolved** that:

1. That the report be received.
2. That the Chair, Audit and Risk presents the top 10 risks, and new risks and any changing risks to the first full Council meeting after the Audit and Risk Committee meeting is held.
 - Noting the next Council Meeting to bring the Top 10 Risks, any new risks and changes and an Annual Report will be for the 23rd June 2022 Council Meeting.

Moved Chair Rachael Dean, seconded Cr Neal and **Resolved** that:

3. The Chair, Audit and Risk Committee provides an annual report to full Council on the Audit and Risk Committee work undertaken at each August Council meeting.

- **ROLLING WORK PLAN**

Group Manager, Corporate Services – Lesley Crichton spoke to this item

- External Audit
- Financial Reporting
- Insurance
- Risk management Framework
- Internal Control Framework
- Policy Review

Moved Chair Dean, seconded Cr Neale and **Resolved** that the Rolling Work Plan be received.

- **Audit Management Report for the Year Ended 30 June 2021**

Group Manager: Corporate Services – Lesley Crichton

- 1.1 The purpose of this report is to present the Audit Management Report attached as **Appendix 1**, for the year ended 30 June 2021.

Moved Deputy Carruthers seconded Cr Hart/Neale (both raised their hand to second) and **Resolved** that the Audit Management Report for the Year Ended 30 June 2021:

1. That the report be received.
2. That the committee approve the Audit Management Report for the year ended 30 June 2021 for public release.

8. KA MATATAPU TE WHAKATAUNGA I TE TŪMATANUI RESOLUTION TO GO INTO PUBLIC EXCLUDED

(to consider and adopt confidential items)

Moved Chair Rachael Dean, seconded Cr Neale and **Resolved** that the Audit and Risk Committee confirm that the public were excluded from the meeting in accordance with Section 48, Local Government Official Information and Meetings Act 1987 at 1:59 pm.

The general subject of the matters to be considered while the public are 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 the resolution are as follows:

Item No.	General subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Ground(s) under Section 48(1) for the passing of this resolution
1.	Confidential Minutes – 17 February 2022	Good reasons to withhold exist under Section 7	That the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists. Section 48(1)(a)
2.	Quarterly Whistle-blower Report Finance Manager	Good reasons to withhold exist under Section 7	That the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists. Section 48(1)(a)
3.	Risk Report Group Manager: Corporate Services, Lesley Crichton	Good reasons to withhold exist under Section 7	That the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists. Section 48(1)(a)
4.	Health and Safety Initiatives (Report and Presentation) People and Capability Manager, Shelley Sutherland	Good reasons to withhold exist under Section 7	That the public conduct of the relevant part of the proceedings of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists. Section 48(1)(a)

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

Item No.	Interest
1,4	Protect the privacy of natural persons, including that of deceased natural persons ()
1, 4	Protect information where the making available of the information: (i) would disclose a trade secret; and (ii) would be likely unreasonably to prejudice the commercial position of the person who supplied or who is the subject of the information (Schedule 7(2)(b)).
1	Enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations) (Schedule 7(2)(i))
2	Maintain the effective conduct of public affairs through – (ii) The protection of such members, officers, employees and persons from improper pressure or harassment; or (Schedule 7(2) (f))
2,3	Maintain legal professional privilege; or (Schedule (2)(g))
2,3,4	Enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities (Schedule 7(2)(h))

Moved Chair Rachael Dean, seconded Cr Neale and **Resolved** that the business conducted in the 'Public Excluded Section' be confirmed and accordingly, the meeting went back to the open part of the meeting at 2:45pm

**DATE OF NEXT AUDIT AND RISK COMMITTEE MEETING – 11 AUGUST 2022 (TBC)
COUNCIL CHAMBERS, 36 WELD STREET, HOKITIKA AND VIA ZOOM**

MEETING CLOSED AT 2:45 PM

Confirmed by:

Rachael Dean
Chair

Date: 11 August 2022