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## Risk and Assurance Committee

### OPEN MINUTES UNCONFIRMED

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Minutes of a meeting of Risk and Assurance Committee held in the Council Chambers, 126-148 Oxford St, Levin on Wednesday 21 February 2024 at 10:00 am.

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#### PRESENT

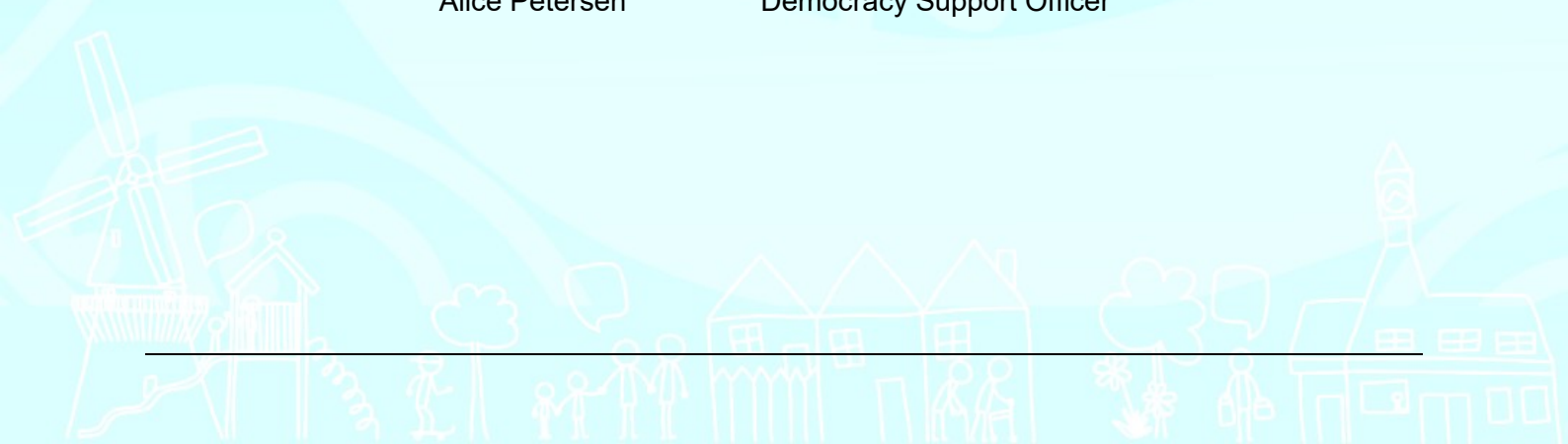
<b>Chairperson</b>	Cr Sam Jennings	
<b>Deputy Chairperson</b>	Cr Paul Olsen	Apology
<b>Members</b>	Cr Alan Young	Apology
	Cr Clint Grimstone	
	Cr Jonathan Procter	Apology
	Mayor Bernie Wanden	
	Jenny Livschitz	Independent Member
	Sarah Everton	Independent Member

#### Non-Committee members present

Cr Justin Tamihana

#### IN ATTENDANCE

<b>Reporting Officer</b>	Jacinta Straker	Group Manager - Organisation Performance
	Monique Davidson	Chief Executive
	Daniel Haigh	Group Manager - Community Infrastructure
	Brent Harvey	Group Manager - Community Experience and Services
	David McCorkindale	Group Manager – Community Vision and Delivery
	Blair Spencer	Group Manager – Housing & Business Development
	Ashley Huria	Business Performance Manager
	Tanya Glavas	Health and Safety Lead
	Vaimoana Miller	Customer & Compliance Manager
<b>Meeting Secretary</b>	Grayson Rowse	Principal Advisor – Democracy
	Alice Petersen	Democracy Support Officer



## 1 Apologies

### Resolution Number RAACC/2024/1

MOVED by Cr Jennings, seconded Mayor Wanden:

That an apology from Councillors Paul Olsen, Jonathan Proctor and Alan Young be received and accepted.

**CARRIED**

## 2 Public Participation

There was no public participation.

## 3 Late Items

To consider, and if thought fit, to pass a resolution to permit the Council to consider any further items which do not appear on the Agenda of this meeting and/or the meeting to be held with the public excluded.

Such resolution is required to be made pursuant to Section 46A(7) of the Local Government Official Information and Meetings Act 1987, and the Chairperson must advise:

- (i) The reason why the item was not on the Agenda, and
- (ii) The reason why the discussion of this item cannot be delayed until a subsequent meeting.

### Late item

#### Resolution number RAACC/2024/2

MOVED by Cr Jennings, seconded Mayor Wanden :

That Item C1 in relation to Risk Management – Risk Register be accepted for consideration as a late item. The reason this item is late is that it was not finalised by the time the agenda was published and it cannot wait until the next meeting as the information in the report will be out of date by the time of the next meeting.

**CARRIED**

## 4 Declaration of Interest

The Mayor declared an interest in item 6.4 Sensitive Expenditure Report noting his expenses were included in the report.

## 5 Confirmation of Minutes

### Resolution Number RAACC/2024/3

MOVED by Cr Jennings, seconded Cr Grimstone:

That the minutes of the meeting of the Risk and Assurance Committee held on Wednesday, 8 November 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, 8 November 2023, be confirmed as a true and correct record.

**CARRIED**

## 6 Reports for Noting

### 6.3 Health, Safety and Wellbeing Quarterly Report - October to December 2023

This report provided the Committee with health, safety and wellbeing information and insights from 1 October to 31 December 2023.

Officers were introduced the meeting and presented the report

Safe Plus Assessment final report received and improvement in all 10 categories noted, with the organisation leading in 7 out of the 10 categories. Recommendations from report to be included in the internal work programme. The Assessor noted and thanked the involvement of Elected Members in the assessment.

Health and Safety critical risks now included in reports going forward.

Deep dive into Animal Control activity was completed in the last quarter and shows good management of resources and processes to maintain a safe and healthy workplace.

The Chair thanked officers and noted the Safe Plus Assessment report and progress.

Mayor Wanden sought clarification of the three areas where not leading. These are in the risk management area although there has been improvement, and the organisation is now focusing on this area. The next assessment will be in 24 months.

Seven unresolved incidents were reported which was higher than previous reports. Officer clarified that this measure relates to reported incidents being reviewed within two weeks of being reported, and assured the committee that all the incidents had been reviewed. One review was not completed within the two week timeframe as this was used as a training activity for a new staff member – the incident was minor in nature. Other unresolved incidents were in the aquatics activity, and were reported during high usage and activity at the facility but were of a minor nature; these were triaged for a later review due to staff workloads. They have since been reviewed

The Safety and Wellbeing Action plan identified the development of a Strategic Charter for safety and wellbeing, and this reported as now being completed.

Committee members discussed the deep dive in to Animal Control.

The Dog Control By-law is due for review in 2025.

There are a number of new staff in the Animal Control area so there is a focus on training. Along with peer training, specialised training in de-escalation techniques is being provided. There is a need for some traffic management/control training, however there is very little in the way of traffic control training relevant to animal control. When traffic control need to officers work the NZ Police.

Risks associated with property visits are managed through reviewing alerts in relation to properties or particular dogs. These alerts are maintained by Animal Control Offices and are accessible to all Animal Control Officers.

Prior to any property visit a risk assessment is conducted, noting any alerts, to determine the appropriate response. For first time visits to an unknown property two officers will attend. Currently dog control officers are trialling a satellite tracking/emergency locator for visits to remote areas where cell phone coverage is unreliable.

The Dog Control Facility is in need of replacement as it does not meet statutory requirement and poses a risk to staff. Electronic controlled access has been introduced to improve safety for staff, and other repairs to the facility are undertaken as needed.

**Resolution Number RAACC/2024/4**

MOVED by Cr Jennings, seconded Cr Grimstone:

- 2.1 That Report 24/41 Health, Safety and Wellbeing Quarterly Report - October to December 2023 be received.
- 2.2 That this matter or decision be recognised as not significant in terms of s76 of the Local Government Act 2002.

**CARRIED**

**6.1 Treasury Update - December 2023**

This report updated the committee on the Bancorp Treasury Reporting Dashboard for the December 2023 quarter.

The Chair noted the receipt of the Standard and Poors rating update. This is affecting TLA across New Zealand. The rating update for Council is from AA stable to AA negative outlook. The flow on effect for Council is a higher cost of borrowing. In development of LTP officers have been conservative in their estimates of returns from asset sales, and limiting expenditure plans in response.

Capital programme has been limited and the revenue expectations have been moderated to minimise the risk posed by increasing interest rates and maintaining an appropriate debt to revenue ratio.

Discussion was held on the decision to not have the LTP Consultation Document audited. The final Long Term Plan will be audited.

The future risk posed by the changing borrowing rate landscape is being carefully managed. Officers are in active discussion with its treasury advisors at Bancorp looking at longer interest rate swaps. Projections provided by Bancorp have been used for planning purposes with a small contingency in year 1. Given change in S&P downgrade it may be prudent to look at this margin, and to seek further advice.

A report at a future meeting was requested summarising the risk assessment of changing interest rates, including looking at contingencies.

**Resolution Number RAACC/2024/5**

MOVED by Cr Jennings, seconded Mayor Wanden:

- 2.1 That Report 24/33 Treasury Update be received.
- 2.2 That this matter or decision be recognised as not significant in terms of s76 of the Local Government Act 2002.
- 2.3 That the Committee notes the Bancorp Treasury Reporting Dashboard for the December 2023 quarter.

**CARRIED**

**6.2 Civic Financial Services - Statement of Intent 2024**

This report updated elected members on the Civic Financial Services - Statement of Intent for 2024.

Officers introduced the report, noting there is only one HDC staff member enrolled in this scheme, and the administration fee has been reduced from 0.35% to 0.33%.

**Resolution Number RAACC/2024/6**

MOVED by Cr Jennings, seconded Mayor Wanden:

- 2.1 That Report 24/59 Civic Financial Services - Statement of Intent 2024 be received.
- 2.2 That this matter or decision is recognised as not significant in terms of S76 of the Local Government Act.
- 2.3 That the Committee notes the Civic Financial Services - Statement of Intent for 2024

**CARRIED**

**6.4 Sensitive Expenditure Report**

This report provided the information required for the Committee to note Sensitive Expenditure of the Mayor, Elected Members and Chief Executive for compliance with Council's Sensitive Expenditure Policy.

Mayor Wanden stepped away from the table and took no part in this item, having previously declared an interest in this item

Officers presented this report for the first time. The intentions is to provide on a six monthly basis.

The Chair noted he has oversight of some of the sensitive expenditure.

If further details of expenditure is required, the finance team have those further details available.

Committee members noted other councils release all details, but at current levels of detail of expenditure the report is reasonable. Further development of disclosures might be warranted for higher levels of expenditure.

Officers to further develop the report for next meeting.

**Resolution Number RAACC/2024/7**

MOVED by Cr Jennings, seconded Mrs Everton:

- 2.1 That Report 24/60 Sensitive Expenditure Report be received.
- 2.2 That this matter or decision is recognised as not significant in terms of S76 of the Local Government Act.

**CARRIED**

Mayor Wanden returned to the table

**6.5 Risk and Assurance Committee Work Programme**

This report provided the Risk and Assurance Committee with an outline of a Draft Work Programme.

Discussion on future work programme to be arranged with independent members and elected members and to report back to this committee.

An update on the Legislative compliance reporting was provided. A reporting tool to assist with legislative compliance and reporting has been identified. This will be implemented subject to LTP funding

**Resolution Number RAACC/2024/8**

MOVED by Cr Jennings, seconded Mrs Livschitz:

- 2.1 That Report 24/56 Risk and Assurance Committee Work Programme be received.
- 2.2 That this matter or decision be recognised as not significant in terms of s76 of the Local Government Act 2002.
- 2.3 That the Risk and Assurance Committee notes the Finance, Audit and Risk Committee Work Programme.

**CARRIED**

**6.6 Continuous Improvement and Audit Actions Monitoring Report**

This report updated the Risk and Assurance Committee on progress of the action items from previous resolutions.

**Resolution Number RAACC/2024/9**

MOVED by Cr Jennings, seconded Mayor Wanden:

- 2.1 That Report 24/37 Continuous Improvement and Audit Actions Monitoring Report be received.
- 2.2 That this matter or decision be recognised as not significant in terms of s76 of the Local Government Act 2002.

**CARRIED**

The Chair noted the large number of items that have been closed off as being completed. Members noted the high detail of reporting.

The Audit Management letter received and new actions noted.



It was noted the Finance team were not always across property transactions; this had been the situation in the past – the team are currently developing a formal process involving finance team from the start of any property procurement or disposal.

All three waters asset information will be contained in one system, allowing for a cohesive view of that asset class.

The committee questioned how they can we be assured that contractors and external parties are meeting our CRM reporting expectations. Audit had commented on remedial work being completed in this area. The change was made part way through the audit year, so Audit will test this area again at a subsequent audit. Officers are confident the remedial work will provide the committee with the reassurance it seeks.

**Resolution Number RAACC/2024/10**

MOVED by Cr Jennings, seconded Mrs Everton:

- 2.3 That the Risk & Assurance Committee notes the final 2022/23 Audit Management letter in Attachment A.
- 2.4 That the Risk & Assurance Committee notes the Risk & Assurance Committee resolution and actions monitoring report in Attachment B.

**CARRIED**

**8 Procedural motion to exclude the public**

**Resolution Number RAACC/2024/11**

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 - Risk Register**

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)(e) - The withholding of the information is necessary to avoid prejudice to measures that prevent or mitigate material loss to members of the public.	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**

11.40 am 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.

12.20 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:**