



Te Kaunihera-ā-Rohe o Taratahi

CARTERTON
DISTRICT COUNCIL

AGENDA

Risk and Assurance Committee meeting

Date: Wednesday, 14 August 2024

Time: 9:30 am

Location: Carterton Events Centre
50 Holloway St
Carterton

P Jones (Chair)

Deputy Mayor S Cretney (Deputy Chair)

Mayor R Mark

Cr D Williams

Cr S Laurence

Cr G Ayling

M Sebire - Hurunui-o-Rangi Marae

**Notice is hereby given that a Risk and Assurance Committee meeting of the
Carterton District Council will be held in the Carterton Events Centre, 50 Holloway
St, Carterton on:**

Wednesday, 14 August 2024 at 9:30 am

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1 KARAKIA TIMATANGA

Mai i te pae maunga, raro ki te tai

Mai i te awa tonga, raro ki te awa raki

Tēnei te hapori awhi ai e Taratahi.

Whano whano, haramai te toki

Haumi ē, hui ē, tāiki ē!

2 APOLOGIES

3 CONFLICTS OF INTERESTS DECLARATION

4 PUBLIC FORUM

5 CONFIRMATION OF THE MINUTES



5.1 MINUTES OF THE RISK AND ASSURANCE COMMITTEE MEETING HELD ON 22 MAY 2024

1. RECOMMENDATION

1. That the Minutes of the Risk and Assurance Committee Meeting held on 22 May 2024 are true and correct.

File Number: 401264

Author: Robyn Blue, Democratic Services Officer

Attachments: 1. Minutes of the Risk and Assurance Committee Meeting held on 22 May 2024

**MINUTES OF CARTERTON DISTRICT COUNCIL
RISK AND ASSURANCE COMMITTEE MEETING
HELD AT THE CARTERTON EVENTS CENTRE, 50 HOLLOWAY ST, CARTERTON
ON WEDNESDAY, 22 MAY 2024 AT 8:30 AM**

PRESENT: Philip Jones (Chair), Cr Dale Williams (Deputy Chair), Mayor Ron Mark (from 8.34 am), Cr Steve Cretney, Cr Grace Ayling, M Sebire -Hurunui-o-Rangi Marae

IN ATTENDANCE: Elected members

Cr B Deller, Cr R Cherry-Campbell, Cr S Laurence, Cr S Gallon, Cr L Newman
Staff

Geoff Hamilton (Chief Executive), Karon Ashforth (Corporate Services Manager), Geri Brooking (People and Wellbeing Manager), Glenda Seville (Community Services and Facilities Manager), Solitaire Robertson (Planning and Regulatory Services Manager), Johannes Ferreira (Infrastructure Services Manager), Marcus Anselm (Communications and Engagement Manager), Robyn Blue (Democratic Services Officer)

1 KARAKIA TIMATANGA

The meeting opened with a karakia by Marty Sebire.

2 APOLOGIES

There were no apologies received.

3 CONFLICTS OF INTERESTS DECLARATION

Marty Sebire identified a conflict of interest as he is a Water Race ratepayer.

4 PUBLIC FORUM

John Booth, Water Race ratepayer and co-opted member of the Water Race Committee spoke in support on the paper on Corporate Overheads. The significant increase in Water Race overheads 3 years ago has been an ongoing point of discussion at Water Race Committee meetings. The proposed reduction in Water Race overheads as outlined in the paper will be well-received by Water Race ratepayers.

5 CONFIRMATION OF THE MINUTES

5.1 MINUTES OF THE RISK AND ASSURANCE COMMITTEE MEETING HELD ON 21 FEBRUARY 2024

MOVED

1. That the minutes of the Risk and Assurance Committee Meeting held on 21 February 2024 are true and correct.

Cr D Williams / Cr S Cretney

CARRIED

5.2 MINUTES OF THE EXTRAORDINARY RISK AND ASSURANCE COMMITTEE MEETING HELD ON 6 MARCH 2024

MOVED

1. That the minutes of the Extraordinary Risk and Assurance Committee Meeting held on 6 March 2024 are true and correct.

P Jones / Cr G Ayling

CARRIED

6 REPORTS

6.1 CORPORATE OVERHEAD ALLOCATIONS FOR THE 2024-34 LONG-TERM PLAN

1. PURPOSE

For the Committee to be informed on proposed changes to the corporate overhead allocation model used in Council's operational budgets. The model has been refreshed and is proposed to be adopted as part of the Long-Term Plan at the end of June 2024.

MOVED

That the Committee:

1. **Receives** the report.
2. **Recommends** the Committee endorses the four revised principles included in this report are used to allocate overheads in the 2024-34 Long-Term Plan.

P Jones / M Sebire

CARRIED

6.2 LOCAL WATER DONE WELL (LWDW)

1. PURPOSE

To provide the Committee with an update on the Government's new water services entity, Local Water Done Well (LWDW).

MOVED

That the Committee:

1. **Receives** the report.

Cr D Williams / Mayor R Mark

CARRIED

6.3 LONG-TERM PLAN 2024-2034 UPDATE**1. PURPOSE**

To update the Committee on progress with the Long-Term Plan 2024-2034.

MOVED

That the Committee:

1. **Receives** the report.

Mayor R Mark / M Sebire

CARRIED**6.4 LONG-TERM PLAN 2024-2034 AUDIT ENGAGEMENT LETTER****1. PURPOSE**

To provide the Committee with the Audit Engagement Letter for the audit of the Long-Term Plan 2024-2034.

MOVED

That the Committee:

1. **Receives** the report.
2. **Receives** the Audit Engagement Letter: Audit of the Long-Term Plan for the period commencing 1 July 2024 (attachment 1).
3. **Receives** the guidance from the Office on the Auditor General on Climate Change.

Cr D Williams / P Jones

CARRIED

7 EXCLUSION OF THE PUBLIC

RESOLUTION TO EXCLUDE THE PUBLIC

MOVED

That the public be excluded from the following parts of the proceedings of this meeting.

The general subject matter 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 of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution are as follows:

General subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Ground(s) under section 48 for the passing of this resolution
7.1 - Confirmation of the minutes of the public-excluded Risk and Assurance Committee 21 February 2024	s7(2)(b)(ii) - the withholding of the information is necessary to protect information where the making available of the information would be likely unreasonably to prejudice the commercial position of the person who supplied or who is the subject of the information s7(2)(g) - the withholding of the information is necessary to maintain legal professional privilege s7(2)(i) - the withholding of the information is necessary to enable Council to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	s48(1)(a)(i) - 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 would exist under section 6 or section 7
7.2 - Confirmation of the Public-Excluded minutes 6 March 2024	s7(2)(a) - the withholding of the information is necessary to protect the privacy of natural persons, including that of deceased natural persons	s48(1)(a)(i) - 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 would exist under section 6 or section 7

Cr D Williams / Cr G Ayling

CARRIED

RECOMMENDATION

That Council moves out of Closed Council into Open Council.

Cr D Williams / Cr G Ayling

CARRIED

8 KARAKIA WHAKAMUTUNGA

The meeting closed with a karakia by M Sebire.

The Meeting closed at 9 58 am

Minutes confirmed:

Date:

DRAFT

6 REPORTS



6.1 ANNUAL REPORT TIMELINE

1. PURPOSE

To update the Committee on the timeline for the preparation and adoption of the 2023/24 Annual Report.

2. SIGNIFICANCE

The matters for decision in this report are not considered to be of significance under the Significance and Engagement Policy.

3. BACKGROUND

The Annual Report is prepared pursuant to sections 98 and 99, and Schedule 10 Part 3 of the Local Government Act 2002. The purpose of the Annual Report is to compare the actual activities and performance of Council over a year (1 July to 30 June) against the intended activities and levels of performance as set out in respect of the year in the Ten-Year Plan or Annual Plan.

The Annual Report also provides accountability to the community of Council's decisions made throughout that year. The accountability enables stakeholders (residents and ratepayers, other local authorities, business community groups, Government regulatory bodies etc.) to assess our performance and make decisions regarding Council and how it conducts its business.

The Local Government Act 2002, section 98 (3) requires that each annual report is adopted, by resolution within four months after the end of the financial year in which it relates.

Government extended timeframes for Councils to adopt their 2024-34 Long-Term Plans as late as 30 September 2024 via Order in Council. Where a Council adopts their LTP after 30 June 2024, the deadline for adoption of the Annual Report is also extended to 31 December 2024. This extension is now available to CDC. Despite this extension, management's clear preference is to complete the Annual Report within the existing deadline in time for Council to consider adoption on 30 October 2024.

This report focuses on the key dates in the planned timeline from now until the Council adopts the final 2023/24 Annual Report. Other areas discussed include revaluations, changes in accounting policies, and other risks.

4. DISCUSSION

4.1 Key annual report dates

DATE	MILESTONE
TBC	Forestry revaluation report
August 2024	Land and buildings market movement assessment report due from QV - Final
1 August 2024	3 waters Fair value assessment due from WSP - Final
1 August 2024	Roading fair value assessment report due from WSP - Final
23 September 2024	Draft financial statements and groups of activities (including performance results) available
23 September 2024	Final Audit begins* (Three weeks)
16 October 2024	Final full annual report available (incorporating any Audit changes)
21 October 2024	Audit verbal clearance
21 October 2024	Draft audit opinion issued
30 October 2024	Audit opinion issued
30 October 2024	Council adopts annual report
Within 4 weeks of adoption	Annual report, and summary annual report to be made publicly available

*The audit start date of 23 September is at risk of being delayed or deferred by Audit NZ following a meeting with them on 7 August. Management has stated our preference to complete the audit of the Annual Report by 30 October 2024, using the original statutory deadline. Audit NZ expressed a desire to move the schedule by at least a week, or their preferred option, by more than a month to the 11 December 2024 Council meeting.

We have received a draft Audit Plan which formalises the dates, but Audit NZ now appears to wish to change this due to the additional work required to audit our LTP a second time. We are awaiting a response from Audit NZ following our recent meeting which will confirm the audit schedule and timelines.

4.2 Revaluations

Waters, Roothing, Land and Buildings

In 2022 we completed full revaluations of land and building assets, as well as three waters and roading infrastructure assets. This year we have engaged WSP to complete a fair valuation assessment for us on our infrastructure assets, and QV to complete one on our land and buildings. These are desktop reviews, and are less work and expense, compared to a full revaluation, which we are only required to complete every three years. Accounting standards require us to complete fair value assessments every year a full revaluation isn't undertaken.

Forestry

We receive an annual valuation of our forestry assets, as required by accounting standards. A previous recommendation by Audit NZ is to consider whether a valuation of the manuka crop is required (this is excluded from the valuation which only values pine). Currently the 26 ha manuka crop is recorded at cost, which is \$37k. The crop is still shrub size, so any increase in value is expected to be minimal.

We obtained a quote for the valuation of the manuka crop, which was \$3k. The cost of refreshing the manuka crop valuation outweighs the benefits, given the low value of the asset and slow vegetation growth. Management recommends we do not seek a formal revaluation of the manuka crop again this year. We will reconsider this issue annually.

Once we receive the final forestry valuation we will review the results and account for changes in the financial statements.

4.3 Accounting policy changes

There are no significant proposed changes to CDC's accounting policies for the year ending 30 June 2024.

4.4 Resident's Survey

Council has undertaken a residents' survey since 2008. Originally, the survey was completed three-yearly, however since 2017 it has been completed annually.

A sample of residents is drawn from the election role, and surveys sent for completion. This may also be completed online. The results are used in satisfaction measures included in the 2021-31 Long-Term Plan and reported on in the Annual Report.

Council has decided not to proceed with the survey for the 2024 year, consistent with the decision not to complete the survey for the 2023 year. There are several reasons for this including:

- Low response rate, declining each year. The last year satisfaction was conducted 2,400 surveys were sent out and only 484 were completed.

- There are a large number of topics Council is consulting on/engaging with the community on this year. The potential for consultation fatigue remains high. Council prefers to focus on the key consultations (LTP, Representation review, Rating review, Speed review).
- Cost of survey vs benefits. The cost of the survey is approximately \$25,000 not including staff time.

By not undertaking the survey, the results for the satisfaction measures in the 2024 Annual Report will be based on the 2022 survey, with an additional disclosure to explain that a survey has not been completed in the current year.

We have notified Audit NZ of this approach. While the individual satisfaction measures are not considered material to their audit, they will also be considering the cumulative effect given that of our 63 measures in the framework, 12 of them are satisfaction measures which are reported on using the resident's survey. Audit NZ has indicated little desire for latitude, as the 2021-31 LTP states the measure is an **annual** customer satisfaction survey. Given this, Council will likely receive a qualified audit opinion over the performance information for the year ended 2024 and on prior year comparatives.

Council has considered the performance framework as part of the work plan for the 2024-34 Long-Term Plan. This includes the satisfaction measures, and whether a resident's survey is the best way to obtain information on resident's views, or if there is a better way to do this. The performance framework drafted for the 2024-34 LTP retains customer satisfaction metrics, but these are no longer required annually.

4.5 Quality Assurance process

As sections of the annual report are drafted, they will be subject to quality assurance review by the Corporate Services Manager. Senior Managers will also review their activity sections of the report, while the CEO will review the entire draft Annual Report before it is provided to Audit NZ. Our intention is to provide Audit NZ with a complete Annual Report that has been reviewed by subject matter managers, and independently checked by a third party. We expect this to reduce the number of Audit queries and other changes which may need to be considered prior to adoption.

5. CONSIDERATIONS**5.1 Climate change**

No specific climate change considerations.

5.2 Tāngata whenua

No specific tāngata whenua considerations.

5.3 Financial impact

The audit fee and a revaluation fee for forestry assets, and fair value assessment fee for other assets, have been included in the 2023/24 budget.

5.4 Community Engagement requirements

No community engagement considerations at this stage.

5.5 Risks

There is the risk that staff do not meet the timelines proposed. This could lead to a delay in the adoption of the annual report. This risk is not considered significant, however if this were to occur due to unforeseen circumstances (e.g. pandemic, unexpected staffing change etc) we would notify elected members, and would update the planned timeline.

An evolving risk is that Audit NZ does not meet the timelines as agreed and are unable to provide an audit opinion for the Council meeting of 30 October. This risk is considered medium as present. The Committee and Council will be advised if Audit NZ advises of a change to their proposed schedule.

Other risks have been included in the report above.

6. RECOMMENDATION

That the Committee:

1. **Receives** the report.
2. **Notes** the proposed 2023/24 Annual Report timeline.
3. **Agrees** that a revaluation of the manuka crop is not required for the 2024 year.
4. **Endorses/does not endorse** the proposal to not complete a Resident's Survey in the 2024 year.

File Number: 410727

Author: Kyra Low, Finance Team Leader

Attachments: Nil



6.2 HEALTH, SAFETY AND WELLBEING UPDATE

1. PURPOSE

This report updates the Risk and Assurance Committee on recent health, safety and wellbeing (HS&W) activities.

2. SIGNIFICANCE

The matters for decision in this report are not considered to be of significance under the Significance and Engagement Policy.

3. BACKGROUND

Quarterly HS&W reporting provides assurance to the Committee that relevant risks identified in Council's Risk Register are being appropriately managed.

4. FOCUS OF ACTIVITIES

Overall, our staff are feeling the impacts of winter illnesses including COVID-19, and additional workloads and challenges created by the exceptional challenges in delivering this year's Long-Term Plan (LTP).

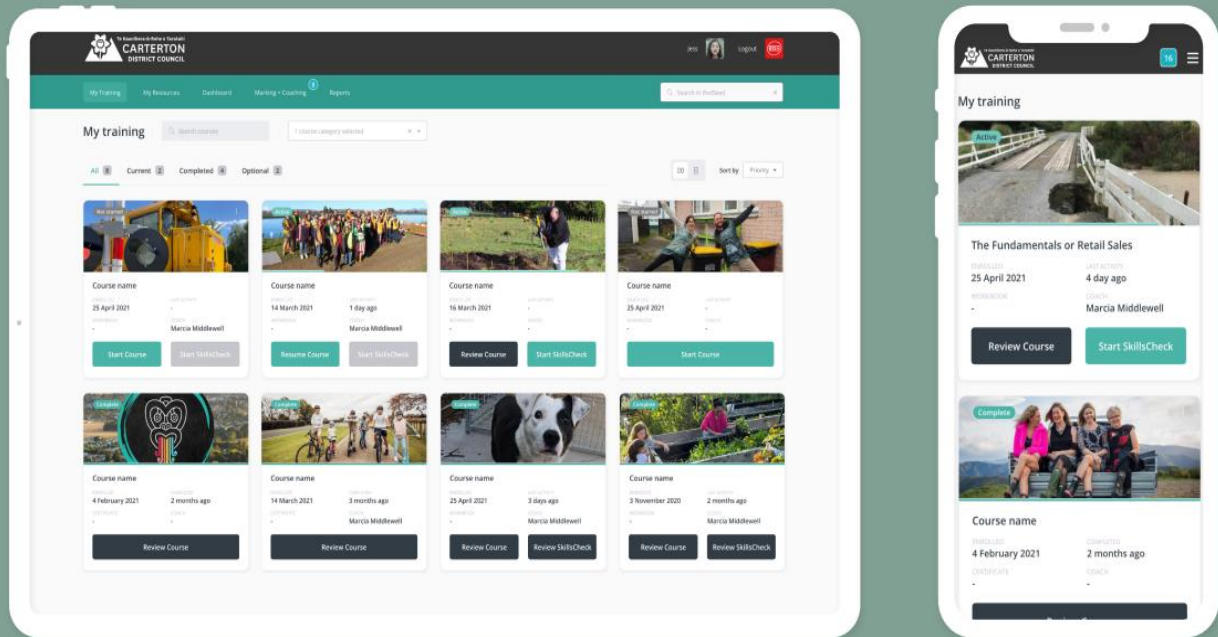
Over the past 6 weeks in particular, we have seen a significant increase in staff sickness, and while core service delivery has been maintained, and despite some unwell staff still managing to work from home, many teams have been working under pressure to cover gaps left by sick members.

Additionally, the delay in the adoption of the LTP has created extra workloads and changed priorities for already busy staff, particularly across the Rates, Democratic Services, Finance, IT, and Communications Teams. The completion of the LTP process will enable staff to address other demands and fully resume work programmes.

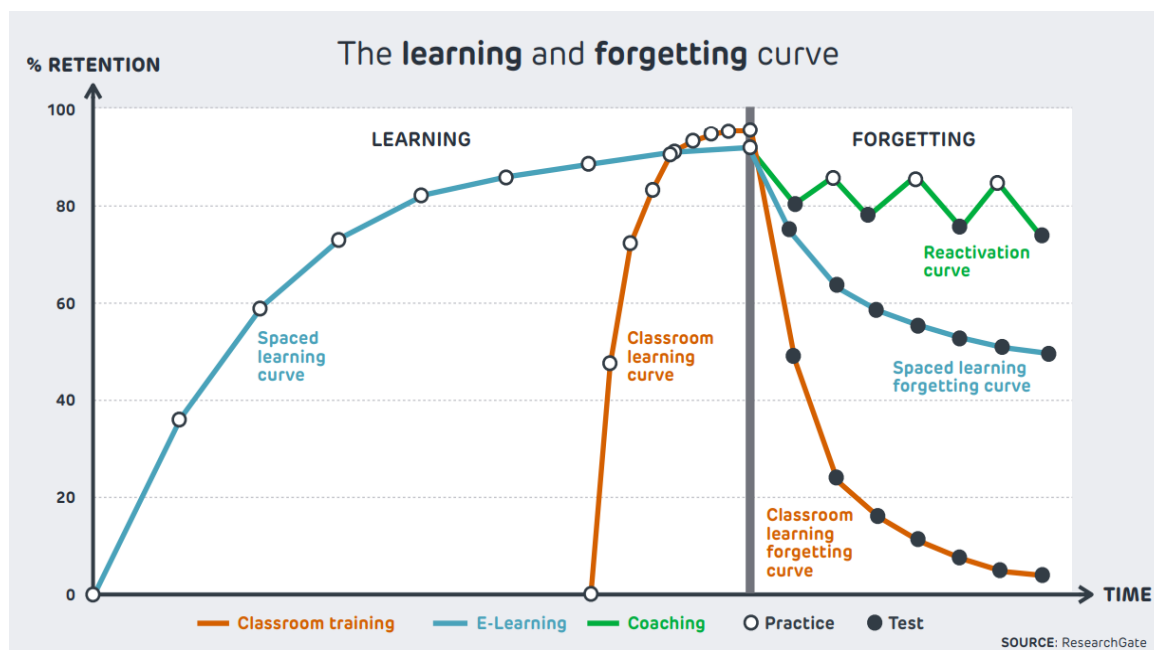
The current focus areas for the People & Wellbeing Team is supporting our team through the above challenges, implementing our new online training platform, managing staffing levels, and helping staff deal with ongoing adverse customer behaviour.

4.1 ONLINE TRAINING PLATFORM

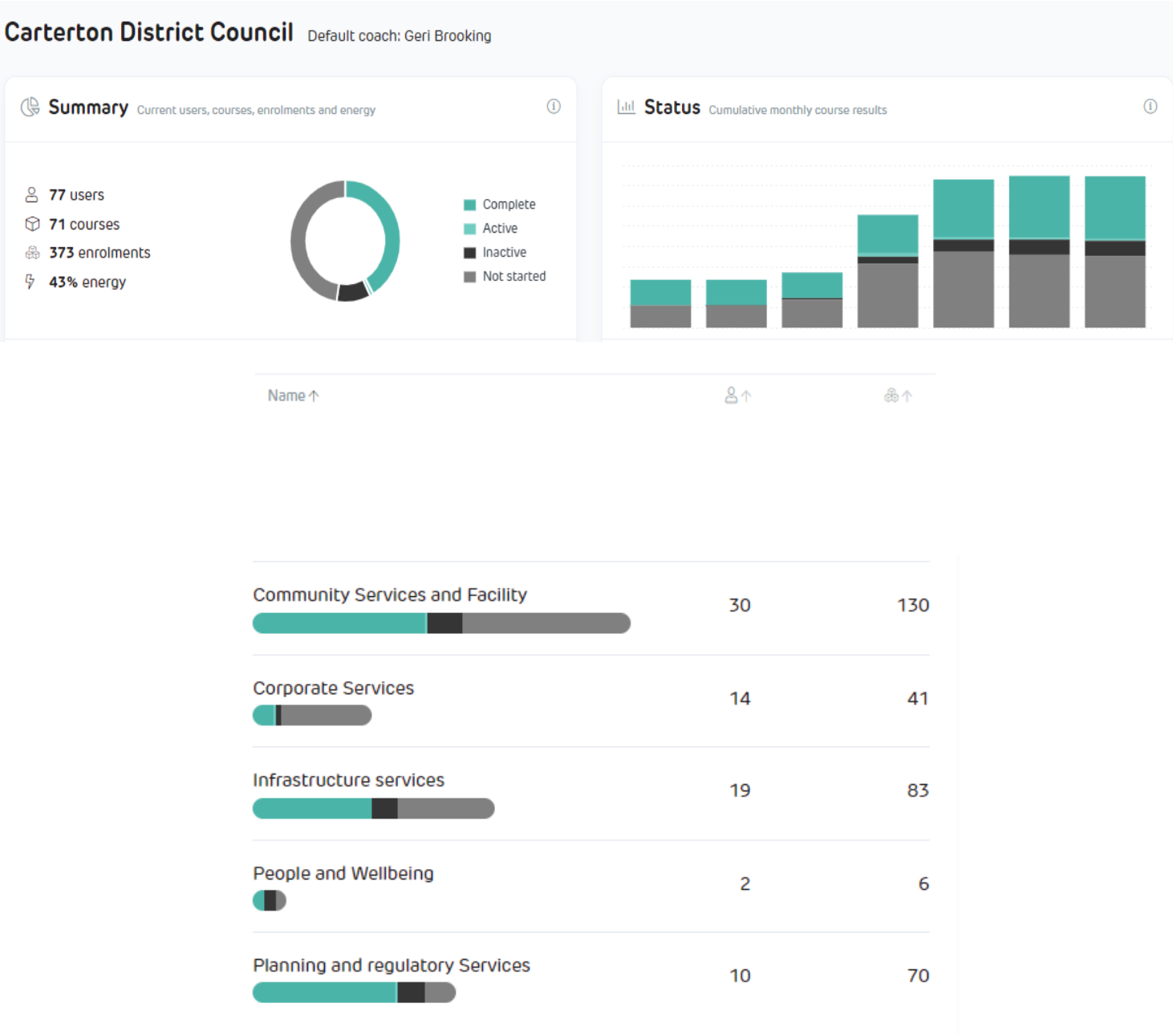
Ensuring staff are appropriately trained and qualified in their roles is a key mitigating factor across almost all council risk areas. In February we launched our online training platform that provides effective, accessible, and cost-effective training support for staff and people leaders.



Learning is based across six development pathways covering skills and knowledge that are generic to all staff - Induction, Health & Safety, Customer Service, Personal Development, Wellbeing, and Leadership. Each pathway consists of 5-6 courses, typically taking between 5mins – 30mins for easy completion, with skills tests and mentor coaching ensuring learning is practiced and embedded. This is the most effective way of learning and retaining knowledge, and courses are then available for future reference on an individual's training dashboard.



The platform also provides monitoring and reporting capability at organisational, team and individual levels.



Learning Pathways

Pathway name	Detail
Customer Service Pathway	i
Induction pathway	i
Health and Safety	i

Training

Current

Upcoming

Completed

Show 10 entries

Search:

Course name and progress	Completed	Expiry Date	Result	Certificate	Workbook	Detail
Building Positive Work Relationships (#2440041)	21 Feb 2024	-	-	-	-	i
De-escalation 1: Situational Awareness (#2440036)	14 Feb 2024	-	-	-	-	i
De-escalation 2: Managing an Angry Customer (#2440227)	19 Feb 2024	-	-	-	-	i
De-escalation 3: Staying Safe (#2448356)	19 Feb 2024	-	-	-	-	i

The platform can also be custom-tailored, so we will be able to develop CDC and role specific training courses such as emergency management, records management, financial processes, plant operations, and cultural competency.

4.2 STAFFING LEVELS

Under the present financial constraints, maintaining cost-effective staffing levels is a high priority for the management team.

Since the last Committee report four staff members have left the council – Community Services (2) and Corporate Services (2). We also had two additional vacant roles on hold - Community Services (1) and Infrastructure (1).

Management has reviewed the functions of these six vacant positions, as is usual practice when staff leave positions. By ceasing some activities, and reorganising across other areas, only three of the roles will be replaced, all on a part-time basis. This has reduced our overall staff headcount numbers by 3.5%.

However, operating at such a lean level does carry the risk that should unforeseen circumstances or demands in workloads occur, such as the delay in the LTP, additional costs may be required to meet deadlines and deliver outcomes through additional staff hours and overtime, and outsourcing work to contractors.

4.3 ADVERSE CUSTOMER BEHAVIOUR

Staff have been experiencing ongoing adverse customer behaviour across the range of places we engage with the community - in person, over the telephone, email, and online. Adverse 'Behaviour' and 'Staff Wellbeing' are two of our five biggest health and safety risks for which we have standard mitigations in place as outlined in Section 7 of the report, however we have also introduced a number of new measures:

- Signs in our public areas, and messages on our telephone system to remind people to be respectful, and that our staff are here to help them
- Reminder of mitigations and supports at staff meetings by people leaders and HS&W Committee representatives
- Online de-escalation training available for all staff
- Online de-escalation training available for people leaders and HS&W representatives to support their teams
- Upgrading the door lock for entry into the staff area of the main office
- Safety focus in the staff newsletter.



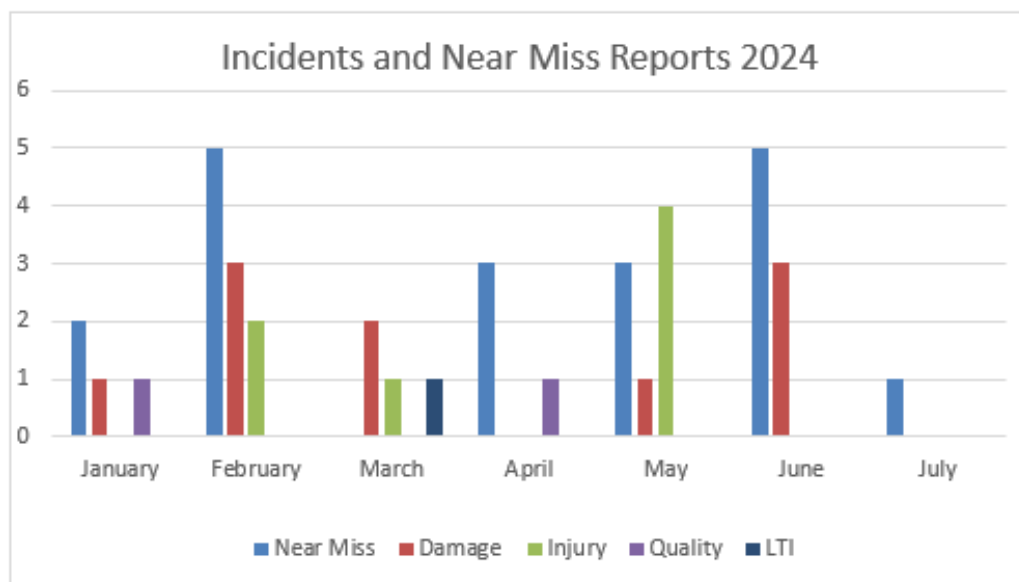
5. GENERAL RISK MONITORING

5.1 HEALTH & SAFETY INCIDENTS

Reporting of incidents by staff, including near miss reporting, continues to be consistent across all departments. Staff are reminded regularly of our various ways to report incidents and near misses through our staff newsletter, digital noticeboard and posters in staff lunchrooms. The HS&W Committee continues to work actively and be leaders in HS&W for the Council.

For the period March - July, we received the following incident reports:

- 10 near miss reports
- 5 reports of damage
- 4 reported injuries



The HS&W Committee and HS&W Advisor have reviewed all incidents and are satisfied that the responsible managers and team leaders are taking appropriate actions in each case. None of the accidents have highlighted major systemic failings.

Follow up actions

Incident reporting provides the opportunity to review practices to prevent further incidents and/or minimise harm. Below are two examples of learnings from recent reports.

1. Near Miss Incident

A courier driver was wheeling a flatbed trolley that was loaded with books, and the trolley caught the edge of bookshelves causing the top two crates to fall from the trolley.

To minimise the chances of this occurring and causing books to fall and hit a member of public or a staff member, the following safety improvements have been put in place:

- When bringing in books now, the stack on the trolley is not to be higher than three crates high if there is only one person.
- If there are two people to assist, then one will guide the trolley and one will push.

2. Near Miss Incident

The security lights at the back of the Council building were not working. Over the winter period it was very dark for staff walking from their cars to the back door. Motion sensor lights were replaced ensuring the area at the back of the building is lit up when staff approach the back door.

Reporting continues to be consistent and timely from all departments. The HS&W Committee will continue to support a no-blame culture, so we can continue to be working proactively in health and safety.

5.2 HEALTH & SAFETY SITE INSPECTIONS

A site inspection was carried out at the CDC Dog Pound.

Safety observations made:

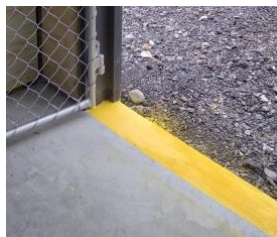
- The pound has lots of natural light and ventilation.
- The concrete floor with drains to the outside makes it easy for cleaning and disinfecting.
- Yellow lines have been painted to highlight the steps at either side of the building.
- Security sensor lights are in place at the front and rear of the building.

Required improvements noted:

- There was no fire extinguisher, so a new extinguisher and signage were ordered and are now in place at the pound.
- Health and safety signs are at the pound and have since been secured to the walls.
- There is a water tank under a concrete pad outside the front of the pound that has water from the sewer treatment plant running underneath. The metal plate on top of the hole is to be secured.



➤ *Metal plate needs securing*



➤ *Yellow painted lines highlight steps in and out of the pound*



➤ *Concrete flooring and drain holes to the outside of the building make for ease of cleaning and disinfecting*

5.3 CONTRACTORS

Contractors are one of our 'Five Biggest Risks'.

Contractor Management

43 of 46 contractors have been fully assessed in the SiteWise management system and hold green or gold status. This indicates a score above the expected competency level of 75%. The average score of all contractors assessed is 90% - above the national average of 84%.

By continuing to work with our lower scoring contractors the number of contractors in red (scores of 0-50%) is 0, and we only have 3 sitting in orange (scores of 51-74%).



Contractor Audits

At each Committee meeting, the number of contractor audits conducted by staff are reported to provide assurance that the contractor, and staff, are managing H&S risks appropriately.

The number of audits undertaken for the reporting period was 2:

Contractor 1

- Contractor is registered and pre-qualified with SiteWise in September 2023. They received a pleasing score of 79%, which is a great first-time assessment score, and is above our base score of 75%.
- Some hazard and warning signs were quite faded and were difficult to read. The CDC employee that works with this contractor advised new signs had been ordered and have since been replaced.
- Proof of training for staff was not sighted at time of audit, but has since been sent through, along with evidence of their most recent toolbox meeting.
- Incident and near miss reporting process was discussed and the process was agreed by both parties.
- The site was clean, tidy, and clear arrow signs were in place for traffic management.



Clear and easy to view arrows for traffic management.



Health and Safety sign in place reminding public it is a multiple hazard area.



Faded hazards signs to be replaced

Contractor 2

- Contractors last SiteWise assessment received a score of 81%.
- Site induction process was in place and all visitors to the site are signed in.
- Incident and Near Miss reporting process is in place and staff know how to report and who to report to. The contractor keeps copies of incident and near miss reports at their office. They were reminded again to forward copies of incident and near miss reports to the CDC Project Manager.
- First aid kits available in all vehicles and fully equipped.



Induction Record



Site Safety Plan



Fire Extinguisher on machinery



Fencing barriers in place

5.4 VEHICLE AND DRIVER SAFETY

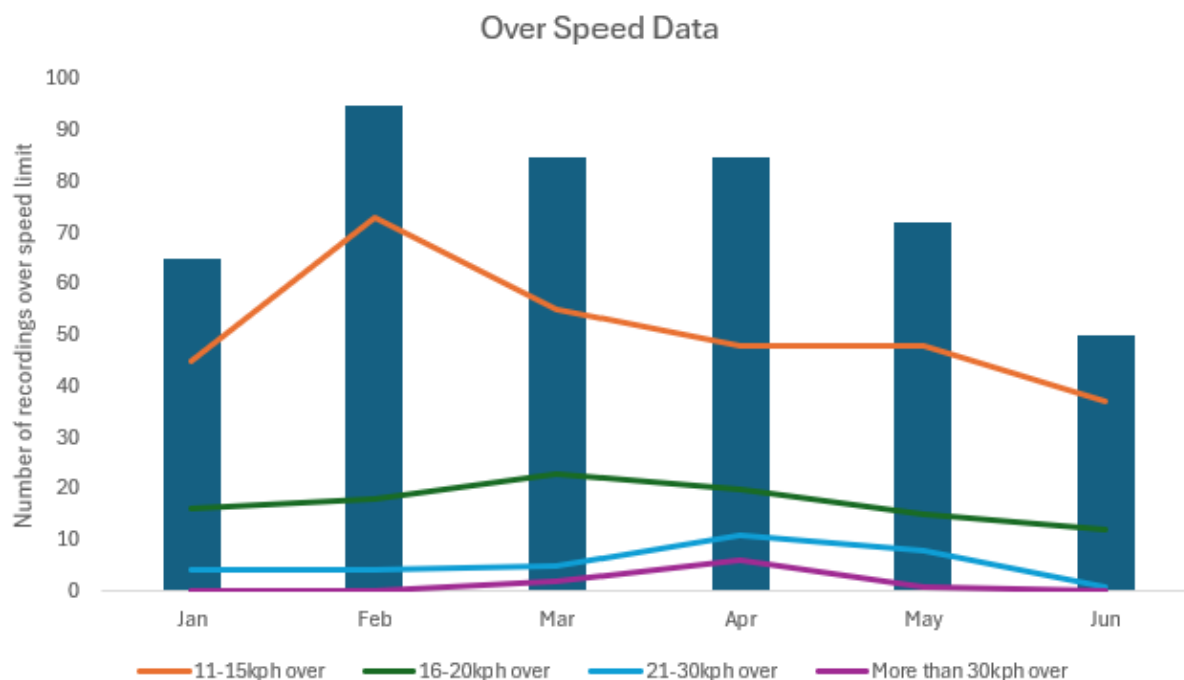
Managers and team Leaders regularly monitor speed and safe driving behaviour through regular reporting from the HS&W Advisor.

Speed Monitoring

Following the implementation of our new vehicle monitoring system Cartrack, we have resumed over speed reporting to the Committee. An analysis of Q1 and Q2 is detailed below.

Following an increase in speeding in Q1, managers and team leaders have driven a substantial improvement in driver behaviour and therefore, a corresponding reduction in

the number and speeds being reported. We have communicated to staff that these numbers are still significant and that there is an expectation of further reduction in Q3.



*Data is taken from the Cartrack Monitoring System installed in all Carterton District Council vehicles. Multiple over speed recordings may be generated by one vehicle on a single journey.

Vehicle Incidents

For the first two quarters, we recorded the following incidents involving vehicles:

- 7 near miss reports
- 4 reports of damage
- 1 injury report

Three post-incident alcohol and drug tests were carried out in accordance with council policy.

5.5 LONE WORKER MONITORING SYSTEM

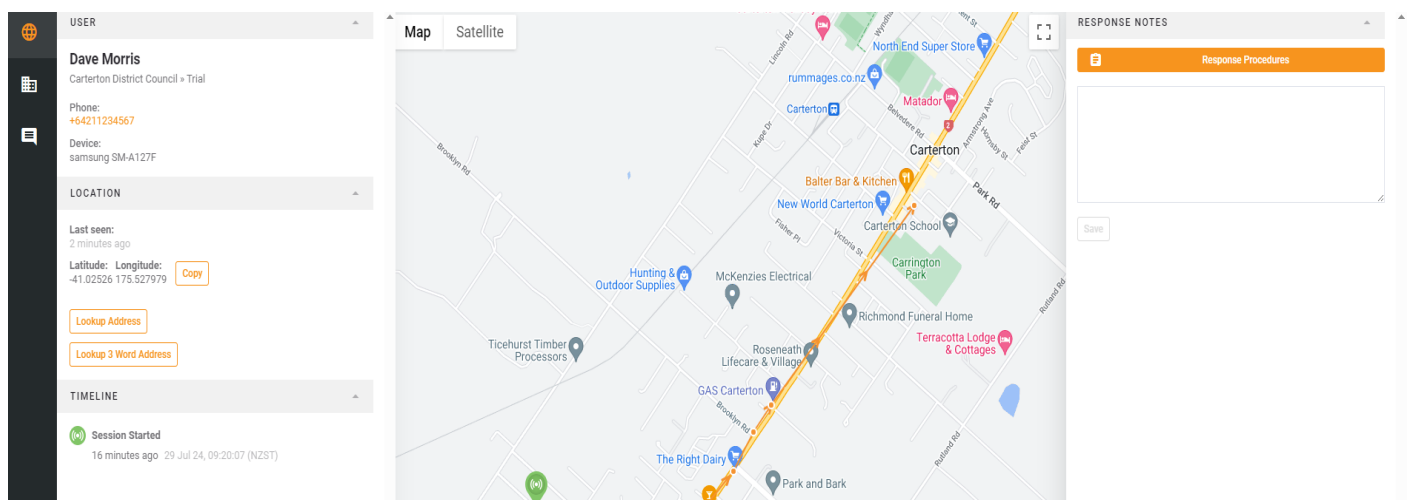
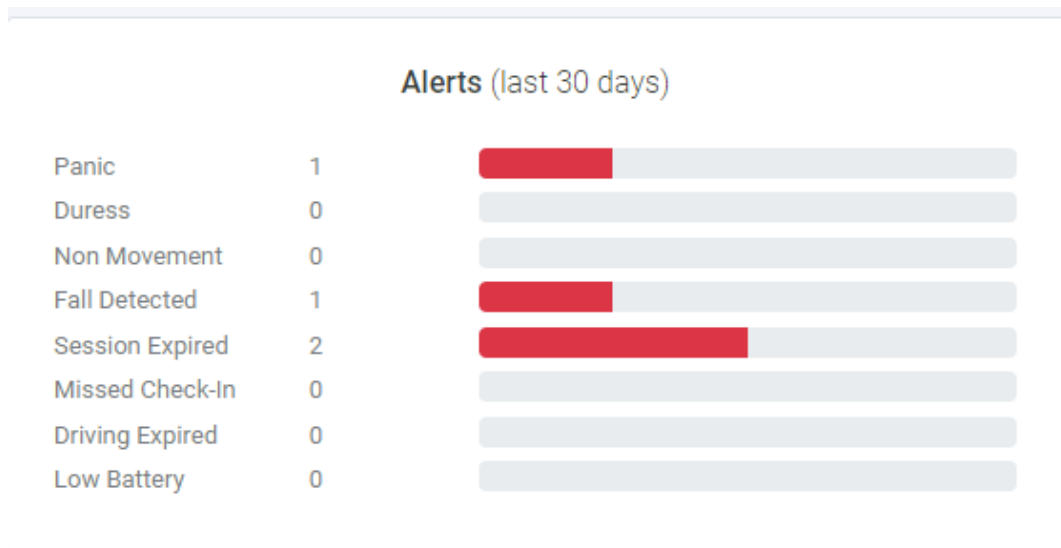
Working alone and remotely is one of our 'Five Biggest Risks'. As well as staff who are required to visit remote locations on their own such as Animal Control, Parks & Reserves, and Building Control, other staff are increasingly being based in off-site locations such as the Kaipaitangata and Frederick Street Plants, and the cemetery.

Therefore, we are currently reviewing the way in which we monitor staff to ensure their safety. Policies and procedures have been reviewed and five staff are now trialling a new safety system called StaySafe.

StaySafe is a software application downloaded onto staff phones. Staff commence a session and set a length of time they need to be monitored. If the session runs over time without the staff member checking in, an alert is sent out to their manager. The manager will then try to contact the employee by cellphone, RT or GPS tracking. If there is no response the manager checks with colleagues and tries to contact the employee again. The manager will then call 111 to alert emergency services. The manager is also required to advise the P&W manager who will alert

the CE and other relevant people. A minimum of two people will proceed to the last known location or as identified by GPS.

StaySafe also has other safety options that can be used. Non-movement notification, fall detection, missed check in, and a panic alert. The staff trialling the app have all found it easy to use. The app also works in conjunction with Garmin inReach Explorer + devices.



5.6 STAFF POLICIES

The following policies have been reviewed:

- Complaints Policy
- Harassment Policy
- Remuneration, Rewards, and Performance Management Policy
- Robbery Policy

Policies currently under review:

- Staff Training Policy
- Business Continuity Plan
- Leave Policy
- Wearable Video Camera Policy

5.7 EMERGENCY MANAGEMENT

Emergency Response Reviews

The Wellington Region Emergency Management Office (WREMO) is working with the region's councils to consider recently released reports including the Review of the Hawke's Bay Civil Defence Emergency Management (CDEM) Group Response to Cyclone Gabrielle, and the Government Inquiry into the North Island Severe Weather Events.

Councils will be considering the findings and recommendations of these reviews against the Wellington region's current emergency management arrangements. While there are several areas of difference in the Wellington regional arrangements, it is likely a number of the issues that were highlighted could also occur in the region, including Wairarapa.

Wairarapa Emergency Operations Centre (EOC)

In May, Wairarapa EOC staff and partner agencies participated in the annual emergency exercise across the Wellington Region. The exercise also involved Wairarapa Mayors, and the activation of a local Emergency Assistance Centre. The turnout was the largest number of participants for a Wairarapa EOC exercise which shows a significantly increased commitment by councils to strengthen our readiness for an emergency.

Community Resilience

The Community Emergency Hub (CEH) model developed by WREMO is now being adopted by CDEM Groups across Aotearoa NZ and Australia. Many of these are groups and cities impacted by significant emergency events who have concluded that the traditional top-down model for emergency response is not enough and that the CEH approach is instrumental to improving community resilience.

The 2023 WREMO annual campaign, featuring a giant inflatable poo emoji Poo-nelope, received an Australasian Emergency Management and Public Affairs (EMPA) award for Excellence in Emergency Communication and Community Preparedness. The campaign involved the creation of a collaborative emergency sanitation plan by nine councils, Massey University, WREMO, Wellington Water, health representatives, Ngāti Toa, and waste managers, emphasising waste management options during emergencies while considering accessibility and environmental concerns. The initiative and campaign were globally unique, as few places have developed such a comprehensive emergency sanitation plan or communicated it so effectively.



6. ENGAGING WITH OUR PEOPLE

6.1 HEALTH, SAFETY AND WELLBEING (HS&W) COMMITTEE

The Committee meets bi-monthly to report on HS&W issues and review incidents, near misses and hazards. The Committee remains well engaged and committed to leading HS&W across the Council. There are 7 members representing all teams across the council and supported by the HS&W Advisor.

The current focus for the Committee is:

- Staff Wellbeing Strategy review:
 - Collation of the feedback from staff for Action Plan recommendations and adoption of the renewed Strategy by the Executive Leadership Team.

6.2 2022 - 2025 HEALTH & SAFETY (H&S) STRATEGY

The H&S Strategy and Action Plan support the compliance and achievement of the aims of the H&S Policy.

The Action Plan activity for this quarter is to engage with staff shared across Wairarapa Councils to identify H&S procedures and ensure staff know how and who to report incidents to when working at other locations.

6.3 STAFF WELLBEING

Staff Wellbeing is another of our 'Five Biggest Risks'.

The Wellbeing Strategy and Action Plan was developed through consultation with staff, and details objectives and outcomes that are important to their wellbeing. Initiatives and activities contribute to the four segments of the Staff Wellbeing Strategy: 'Healthy Lifestyle', 'Good Working Relationships', 'Job Satisfaction' and 'Positive Culture'.

Wellbeing Initiatives and Activities

Action plan focus activities have included

- All of Council Staff meeting
- Te Reo beginner and intermediate classes
- Waiata classes
- CDC Social Club monthly events

- Pink Ribbon fundraising breakfast
- Matariki event
- Acknowledgement of long service staff



Roger Hewison 10-year anniversary



Clinton Thompson 35-year anniversary



Pink Ribbon Fundraiser



Social Club Scattergories Event

6.4 EMPLOYEE ASSISTANCE PROGRAMME

The Employee Assistance Programme (EAP) is a workplace wellness programme designed to boost staff performance by proactively helping them resolve personal and work issues. The programme offers confidential and short-term support that assists with a variety of issues, including financial, legal, physical and mental health. EAPs are an essential part of supporting the health and wellbeing of Council staff, increasing productivity and encouraging a positive work environment.

EAP services have been accessed ten times between February and June.

7. FIVE BIGGEST HEALTH AND SAFETY RISKS

The Five Biggest H&S Risks are identified and actively monitored to ensure control and reduction measures are in place.

Currently the Five Biggest Risks we are focusing on are:

1. Contractors
2. Working alone and remotely
3. Under reporting
4. Behaviour
5. Staff wellbeing

Risk	Controls and reduction measures	Actions
<p>Contractors</p> <p>Council hires contractors because it doesn't always have the expertise or capacity to undertake the activities.</p> <p>Contractors pose a risk principally because we have little control over their staff and their work standards while they are on the job. It is not possible for us to supervise them at a micro level. We are reliant on them to employ staff who are trained and competent to undertake the work assigned while at all times observing safe practices and their obligations under the Health and Safety at Work Act.</p>	<ul style="list-style-type: none"> • SiteWise contractor management system • Contractor briefing and induction processes • Site safety checklists • H&S plans included in procurement process • Regular contractor audits 	<ul style="list-style-type: none"> • All CDC contractors are being moved to SiteWise, an online contractor management platform. H&S information is provided and assessed. An assessment score of 75% or over indicates competency. At present 90% of CDC contractors are at competency level. We are working with contractors that have not yet achieved the 75% assessment mark. ONGOING. • Managers and team leaders will be receiving training on the reviewed contractor processes for Sitewise. COMPLETE.

<p>Working Alone and Remotely</p> <p>Being such a small organisation, it is often impossible for staff to work in teams or even in pairs. Staff are often required to work alone and remotely, where in some cases poor cell phone coverage is an additional factor.</p> <p>With the introduction of flexible working arrangements due to COVID-19, we have staff working from home more than we have had in the past.</p>	<ul style="list-style-type: none"> • Staff policies: <ul style="list-style-type: none"> ○ Working From Home Policy ○ Remote Working Guidelines • Appropriate communication devices and body cameras • Sign in/sign out systems • Leadership support 	<ul style="list-style-type: none"> • Lone worker device and monitoring service being trialled. <p>IN PROGRESS.</p> <ul style="list-style-type: none"> • Working Alone policies and associated Standard Operating Procedures (SOPs) reviewed. <p>COMPLETE.</p> <ul style="list-style-type: none"> • Hazard Register category – Working alone and working remotely updated. <p>COMPLETE.</p>
<p>Under Reporting</p> <p>While there is a good level of reporting any physical accidents, the risk of under-reporting of near misses needs to be constantly monitored.</p> <p>This is due to a combination of staff thinking “nothing happened so why report it,” and the perceived amount of time required to make a report.</p>	<ul style="list-style-type: none"> • Staff policies: <ul style="list-style-type: none"> ○ H&S Policy • Employment Agreement and Job Description obligations • H&S induction process • H&S communications through posters, T.V. screen notices, and staff newsletters • Staff notebooks • “Sh!t That Was Close” Campaign • H&S Committee • Staff meeting, and Leaders Roopu, agenda item • ELT reporting • Site inspections 	<ul style="list-style-type: none"> • Encouragement of reporting. <p>ONGOING.</p> <ul style="list-style-type: none"> • Site inspections. <p>ONGOING.</p>
<p>Behaviour</p> <p>An unintended consequence of changes in our environment has seen Carterton District Council having to manage situations where people’s behaviours pose a risk of somebody threatening or assaulting them, possibly with a weapon with potential of a fatality.</p> <p>Introduction of a range of services and experiences such as</p>	<ul style="list-style-type: none"> • Staff policies: <ul style="list-style-type: none"> ○ Robbery Policy ○ H&S Policy • Staff training: <ul style="list-style-type: none"> ○ De-escalation ○ Personal safety ○ Customer service 	<ul style="list-style-type: none"> • Refresher customer service and de-escalation training delivered (Feb 2024) <p>COMPLETE.</p> <ul style="list-style-type: none"> • Signs displayed in public offices. <p>COMPLETE.</p> <ul style="list-style-type: none"> • Online training available for staff and people leaders <p>COMPLETE.</p>

<p>social media engagement and public Wi-Fi, together with external environmental factors such as mental health issues, anti-establishment sentiment, conspiracy theories, economic pressures, troublesome youth, drug and alcohol abuse have potential to result in an increase in problematic individuals frequenting CDC premises and dealing with CDC staff in the community.</p> <p>Cash held on premises also presents potential for robbery.</p>	<ul style="list-style-type: none"> ○ Cash handling and robbery • Appropriate physical office design and security measures including cameras and communication devices • Electronic payment mechanisms • Community engagement and risk awareness • Leadership support 	
<p>Staff Wellbeing</p> <p>Being a small organisation and having departments under-staffed is placing some teams under pressure and the need to work long hours. Staff under pressure pose a risk to themselves, the organisation, and customers. Staff under pressure can lead to burnout, stress, fatigue, all leading to both mental/physical and social affects, contributing to lower performance levels.</p> <p>Working long hours under pressure can lead to poorer mental health including stressful feelings, an increase in anxiety, depression and lower quality sleep patterns. This will contribute to a higher number of accidents occurring, bad decisions being made, irritability and concentration/memory issues.</p> <p>Employees physical health can be compromised with the increased risk of a stroke, heart problems, high cholesterol and high blood pressure.</p> <p>Combined stressors of busy workloads, staff vacancies and absences, local government reforms, and COVID-19 can impact staff wellbeing.</p>	<ul style="list-style-type: none"> • Staff policies: <ul style="list-style-type: none"> ○ Staff Wellbeing Strategy ○ Hours of Work and Fatigue Policy ○ Leave Policy • Wellbeing communications through posters, T.V. screen notices, and staff newsletters • Early recognition of stress, fatigue and burnout symptoms • Managers support a safe environment to talk • EAP Services available • Clearly defined position descriptions and resourcing • Relieving staff available from councils • Staff training to manage negative social media impacts 	<ul style="list-style-type: none"> • Filling of vacant roles. ONGOING. • Address lack of work-space issues through physical relocation, working from home flexibility where appropriate. ONGOING. • Undertake office accommodation assessment. COMPLETE. • Support staff uncertainty caused by Three Waters, RMA, and local government reforms. ONGOING. • Provide change management training for staff. COMPLETE. • People leaders to highlight the issue of negative social media behaviour at Team meetings and provide helpful tips and resources including ensuring staff raise specific issues to managers when they occur. ONGOING.

Negative social media comments can cause stress and anxiety for staff. While we have communications specialists that can mitigate and manage these issues on the council page, many comments are made on private and community pages.		
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8. CONSIDERATIONS

8.1 Climate change

None of the issues reported in this paper are considered to have climate change implications.

8.2 Tāngata whenua

There are no decision implications for tāngata whenua.

8.3 Financial impact

All work undertaken is within planned budgets.

8.4 Community Engagement requirements

No community engagement is required.

8.5 Risks

There are no risk considerations related to decisions required in this report.

8.6 Community Wellbeing

There are no community wellbeing considerations related to decisions required in this report.

9. RECOMMENDATION

That the Committee:

1. **Receives** the report.

File Number: 410240

Author: Geri Brooking, People and Wellbeing Manager

Attachments: Nil



6.3 TERMS OF REFERENCE RISK AND ASSURANCE COMMITTEE

1. PURPOSE

For the Committee to provide advice on amendments to the Terms of Reference of the Risk and Assurance Committee.

2. SIGNIFICANCE

The matters for decision in this report are not considered to be of significance under the Significance and Engagement Policy.

3. BACKGROUND

At the recent Terms of Reference workshop it was discussed that the Terms of Reference for the Risk and Assurance Committee needs to be reviewed to ensure it is fit-for-purpose and reflects best practice.

Advice on these two areas is available in the attached document from the Office of the Auditor General.

4. NEXT STEPS

Elected members are asked to review the advice from the Office of the Auditor General and provide advice on new areas for inclusion. Council officers will then draft a revised Terms of Reference for review at the Council meeting on 18 September 2024.

5. CONSIDERATIONS

5.1 Climate change

There are no climate change considerations relating to the decisions in this paper.

5.2 Tāngata whenua

There are no impacts on tāngata whenua related to the decisions in this paper.

5.3 Financial impact

There are no climate change considerations relating to the decisions in this paper.

5.4 Community Engagement requirements

There are no community engagement requirements.

5.5 Risks

There are no risks relating to the decisions in this paper.

6. RECOMMENDATION

That the Committee:

1. **Provide advice** to Council Officers on amendments to the Terms of Reference of the Risk and Assurance Committee.

File Number: 411617

Author: Geoff Hamilton, Chief Executive

Attachments:

1. OAG ARC Guidance [↓](#)
2. DRAFT TOR R and A Cttee [↓](#)



Setting up a council's Audit and Risk Committee

What is an Audit and Risk Committee?

An Audit and Risk Committee (the Committee) provides your council's governing body – the set of all elected councillors – and your community with confidence that your council is managing its risks. Councils operate in a complex and rapidly changing environment. The Committee can be a powerful advisory group that helps councils manage their risks and strengthen their internal control systems.

It's a Committee set up by the Council drawing on the advice of the chief executive. Members of the Committee are increasingly a mix of councillors and independent members.

At the Council's discretion, there might be independent (external to the council) members and/or an independent chairperson.

We recommend having an independent chairperson. This is often the best way to promote free and frank debate during Committee meetings. It also gives councillors confidence, knowing that they are receiving objective advice and assurance.

Why have such a committee?

The Committee provides an important "check and balance" in the council's systems of governance and internal control. An effective Committee will help engender trust and confidence in council decision making.

What does the Committee do?

The Committee is responsible for offering advice about governance, risk management, and internal control matters, external reporting and audit matters. For example, the Committee's work includes providing assurance to the council's governing body that the right current and emerging risks are being identified, there are appropriate "right sized" mitigations in place for those risks, and confidence that mitigations are working effectively.

The Committee can make recommendations to the governing body and/or the chief executive, and request information and advice through the chief executive when necessary.



CONTROLLER AND AUDITOR-GENERAL

The Committee does not make decisions. It has no other powers nor responsibility other than those related to its risk and assurance mandate, such as making recommendations to the governing body, or reviewing and approving key documents (for example, the risk and assurance work programme, the arrangements for the audit of the annual report and long-term plan).

One of the key documents the Committee reviews is the council's annual report. A new Committee and a newly elected council will sometimes need to adopt an annual report for the previous council. There are no issues with this; it is quite common for the leaders of an organisation who sign statements of responsibility and other reporting documents to differ from those who led or governed during the reporting period.

What is the optimal size for the Committee?

This is a decision for each council to make. However, good practice indicates approximately 5-7 members. In determining the right size, it is important to consider what the significant risks facing the council are. Then determine how many members you need on the Committee to get the right mix of competencies and experience for those risks.

That said, having too many Committee members can result in inefficient, unwieldy meetings and unfocused discussions.

What skills do you need on the Committee?

The (ideally independent) chairperson needs to facilitate discussion so that all relevant and significant risks are explored and deliberated on.

The chairperson should have a broad range of work experience (ideally from the public and private sectors), have a general understanding of the key issues relevant to the council, and have a track record of facilitating and chairing in a political environment.

Collectively, members of the Committee should have a broad range of skills and experiences, both relevant to the operations of the council as well as to the risk profile of the council. For example, the risks in a council's financial and borrowing policies might require the appointment of someone with treasury and finance expertise.

At least one member should have expertise in accounting and finance. All members should have at least some accounting and financial literacy. The council should also consider the need for the professional development of members.

How can the Committee stay independent?

Independence allows the Committee to provide the best objective advice for Council decision making. We strongly recommend that neither the chief executive nor members of the senior management team be members of the Committee. This reflects the Committee's responsibility to the governing body, rather than the management, of the council.

All elected members should have visibility of the Committee's work. They should have a standing invitation to attend and participate in the Committee's discussions. However, to maintain the independence of the Committee, they should not have voting rights unless they are Committee members.

It is good practice to regularly change the independent Committee members. This enables fresh thinking and new skills to join the Committee, avoids Committee discussions from becoming stagnant, and ensures that the Committee maintains its independent perspective over time.

For continuity reasons, it's also a good idea to stagger the members' terms so that they overlap. Committees also need to plan early for rotations of members.

What is the optimal tenure for Committee members?

Good practice is to appoint independent members for an initial period not exceeding three years (consistent with a council term). After that, they can have their tenure extended or be re-appointed – up to a maximum of two terms.

Councillors appointed to the Committee will automatically cease to hold office when the 3-yearly council elections are held. Similarly, its good practice to stipulate that the maximum period of membership of the Committee is two terms.

What is the governing body's role in the Committee's work programme?

The Committee's role is to discharge its work programme on behalf of the governing body (the full council). The governing body should have oversight of the Committee's work programme.

A "top risk report", provided to the governing body by the Committee, is a useful way of informing the governing body of the most significant risks. It would include the mitigation actions and the work being done to provide assurance that the risk is indeed mitigated.

The Committee should also have a way to regularly report to the governing body about progress with the Committee's work programme.

Once a year, the Committee should assess and report on its overall performance and activities, and its contribution to the council's governance and strategic objectives, to the governing body. That report would feature in the council's annual report.

Minutes of each Committee meeting should be tabled at the next meeting of the Council. At least annually the Committee chair should brief the Council on the work of the Committee.

How does "collective responsibility" work?

A Committee is expected to consist of a combination of independent (appointed based on experience and competencies) and elected members. In addition to the critical role of an independent chairperson, members of the Committee should take collective responsibility for the work of the Committee and not rely on independent members to do all the "heavy lifting".

The independent chairperson, and independent members have an important role to play in sharing their subject matter expertise with the members of the Committee to enable them to effectively discharge their responsibilities. An example is the ability to ask relevant and insightful questions, such as questions about risks to council operations.

Who should the Committee report to?

We have seen that in some councils the Committee is a subcommittee of the Finance Committee (or equivalent) of the council. The Committee makes recommendations to the Finance Committee (on matters such as risk management) as appropriate, rather than directly to the governing body. In some councils, the Finance Committee and the Committee are one.

In our view, the Committee should be a subcommittee of the governing body (the full council). To be a subcommittee of any other committee limits the Committee's scope and the ability to have access to the full council.

Furthermore, the Audit and Risk Committee should be separate from the Finance Committee. This is because the Finance Committee has responsibility for approvals, such as approving significant transactions. The Audit and Risk Committee's independence would be compromised because it would be responsible for reviewing its own decisions. Further there is significant value to the Council to have an independent and objective view from the Committee on financial and accounting matters.

Having the Audit and Risk Committee being part of the Finance Committee may also deprioritise the risk and audit responsibilities of the Committee in favour of its finance responsibilities.

What does a good Committee work programme look like?

Risks should drive the work programme and its priorities.

In our view, a good work programme should, at a high level, cover:

- risk management (including oversight of council-controlled organisation risks);
- integrity;
- internal control;
- statutory reporting;
- assurance and internal audit; and
- external audit.

The work programme should take into account how the Committee interacts with council-controlled organisations. This includes ensuring that there are adequate processes at a governance level to identify and manage risks facing council-controlled organisations, that are relevant to the Council group. It also includes ensuring that organisations under the council's control are aware of any risks that do emerge.

Internal and external audits should be part of the Committee's work programme. However, they should not drive its priorities.

The frequency and duration of Committee meetings are best informed by what is in the work programme, to give the work programme enough time and attention. Good practice is a minimum of four standard meetings each year, with an additional meeting focused on the annual report.

It is good practice for "deep dives" to be regularly done on the council's top risks as part of the regular meetings. The topics of the "deep dives" should be set out in the work programme. Given the limited time available to the Committee, and the complexity of councils, "deep dives" are a useful way of focusing the Committee's attention on what is most critical.

A "deep dive" could be conducted as a workshop, where subject matter experts on top risks (such as cyber-security or health and safety) facing the council facilitate a discussion with the Committee on the risk mitigation strategies.¹ The purpose is to give the Committee, the council, and ratepayers insight into whether a risk is being managed appropriately.

The Committee's work programme needs to strike the right balance between risk, assurance, and internal and external audit, based on the council's priorities. The shape of the work programme would ordinarily be discussed by the governing body. However, the Committee has responsibility for annually agreeing to, and approving, its work programme.

Given that councils operate in a complex and changing environment, it is important for the work programme to be flexible. Although the work programme is agreed to annually, it is best practice for the Committee's work programme to be reviewed at every Committee meeting.

¹ With a formal record of the workshop tabled in the full meeting.

An example of a work programme is attached as an Appendix.

What should the terms of reference look like?

To ensure that the Committee has a clear purpose, a good terms of reference document or charter is critical.

Good practice is for the governing body to make a series of delegations to the Audit and Risk Committee, and for them to be recorded in the Committee's terms of reference (or charter). The terms of reference may also be used to keep certain responsibilities with the governing body.

At a minimum, the terms of reference should include:

- a clear statement on the purpose of the Committee;
- a clear statement on the Committee's decision-making powers (if any);
- membership and tenure;
- appointment processes, tenure of the members, and the competencies needed;
- the responsibilities of the Committee over its work programme;
- reporting arrangements, from the Committee to the governing body; and
- an outline of the work programme.

The outline of the work programme could include:

- enterprise risks;
- oversight of council-controlled organisation risks
- health, safety, and well-being;
- legal risks;
- insurance;
- assurance and internal audit;
- the council's annual report;
- the annual budget;
- the council's long-term plan; and
- the external audit.

Appendix: Sample Audit and Risk Committee work programme

Audit and Risk Committee

Forward work programme 20XX-20XX

This Audit and Risk Committee (the Committee) assists and advises the Governing Body in discharging its responsibility and ownership of governance, risk management and internal control across the council. Responsibilities include reviewing and advising on enterprise risks, health and safety, legal risks, insurance, internal audit and external audit. The Committee monitors compliance, risk management in significant projects and programmes of work and procurements and has oversight of risk management and assurance of council-controlled organisations, financial and non-financial reporting, the preparation of the long-term plan, annual report, and other statutory financial reports.

Areas of work and lead	Expected reporting 20XX (dates TBC)				
	Meeting 1 date	Meeting 2 date	Meeting 3 date	Meeting 4 date	Meeting 5 date
Forward work programme (e.g lead officer)	Update on overall work programme and previous decisions	Update on overall work programme and previous decisions	Update on overall work programme and previous decisions	Update on overall work programme, and the Committee’s annual performance report	Update on overall work programme and previous decisions
Enterprise risks (e.g Risk team)	Enterprise risk update		Enterprise risk update		Enterprise risk update
Oversight of council-controlled organisation risk (e.g Risk officer)	Council-controlled organisation quarterly risk report Attendance by council-controlled organisation	Council-controlled organisation quarterly risk report Attendance by council-controlled organisation	Council-controlled organisation quarterly risk report Attendance by council-controlled organisation	Council-controlled organisation annual report on risk (matters raised through annual audit) Attendance by council-controlled organisation	Council-controlled organisation quarterly risk report Attendance by council-controlled organisation
Health, safety, and well-being (e.g. Head of Health, Safety, and Well-being)	Health, safety, and well-being update	Health, safety, and well-being update	Health, safety, and well-being update		Health, safety, and well-being update
Legal risks (e.g General Counsel)		Legal risk update			Legal risk update
Insurance (e.g Manager of insurance)	Update on insurance	Indicative insurance renewal report	Update to Committee post placement of insurance programme		
Assurance and internal audit (e.g Internal Auditor)		Assurance service strategy and audit programme reporting Assurance activities update	Assurance charter and interim audit plan	Assurance activities update	Assurance charter and audit plan for the upcoming year
Annual report (e.g CFO)	This year’s annual report arrangements	Annual report update Proforma annual report	Annual report update Audit NZ interim audit management report	Annual report	Upcoming audit engagement and proposal letters, next year’s arrangements, and final audit management report
Annual budget (e.g CFO)		Risk management approach for the annual budget			
Long-term Plan (e.g CFO)					Next year’s draft annual plan
External audit Office of the Auditor-General	Briefing paper	Briefing paper	Briefing paper	Briefing paper	Briefing paper

Risk and Assurance Committee**Terms of Reference****Purpose**

To monitor, evaluate and report to the Council on its financial, assurance and risk management policies, systems and processes and oversee the performance of the Chief Executive.

Specific responsibilities

1. Monitor the identification and management of risks faced by the Council.
2. Monitor the Council's health and safety management system and identification of risks in accordance with the Health and Safety at Work Act 2015 and any substitute legislation.
3. Approve the annual external audit proposal.
4. Review the external auditor's management letter and management responses.
5. Monitor management of the Council's internal financial control environment, and report as appropriate to the Council on compliance with all external audit requirements and statutory responsibilities.
6. Monitor and review the Council's financial policies and financial performance.
7. Review the draft Annual Report prior to consideration by Council, including consideration of reports from external auditors.
8. Consider matters relating to the employment of the Chief Executive, including an annual performance review.

Membership

The Mayor and ~~three~~ four elected members, and a Hurunui-o-Rangi Marae representative with voting rights. The Committee may also have one appointed member who may also be the chair. A member appointed by Council will be on the basis of their skills and experience relevant to the purpose of the Committee. The appointed member, and the Marae representative will be eligible for payment.

Quorum

Three elected members.

Meeting frequency

Quarterly, and as required.

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7 EXCLUSION OF THE PUBLIC

RESOLUTION TO EXCLUDE THE PUBLIC

RECOMMENDATION

That the public be excluded from the following parts of the proceedings of this meeting.

The general subject matter 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 of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution are as follows:

General subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Ground(s) under section 48 for the passing of this resolution
7.1 - IT Security and Data Management Update	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 s7(2)(j) - the withholding of the information is necessary to prevent the disclosure or use of official information for improper gain or improper advantage	s48(1)(a)(i) - 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 would exist under section 6 or section 7
7.2 - Waste Water Reservoir Project Update	s7(2)(b)(ii) - the withholding of the information is necessary to protect information where the making available of the information would be likely unreasonably to prejudice the commercial position of the person who supplied or who is the subject of the information s7(2)(g) - the withholding of the information is necessary to maintain legal professional privilege	s48(1)(a)(i) - 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 would exist under section 6 or section 7

8 KARAKIA WHAKAMUTUNGA