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## Strategic Risk and Assurance Committee

### *Komiti Whakamauru Tuuraru*

### OPEN MINUTES

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Minutes of a meeting of the Strategic Risk and Assurance Committee held via audio-visual link on Wednesday 30 March 2022 at 9.31am.

#### PRESENT

**Chairperson** Ms K Horne  
*Heamana*

**Deputy Chairperson** Mr B Robertson  
*Heamana Tuarua*

**Members** Cr D Macpherson  
Cr A O'Leary  
Cr M van Oosten  
Maangai J Kana

**In Attendance** Cr M Donovan  
Lance Vervoort – Chief Executive  
David Bryant – General Manager People and Organisational Performance  
Eeva-Liisa Wright – General Manager Infrastructure Operations  
Chris Allen – General Manager Development  
Murray Heke – General Manager Customer, Technology and Transformation  
Tracey Musty – Financial Controller  
Michelle Hawthorne – Governance and Assurance Manager  
Dan Finn – People, Safety and Wellness Manager  
Morva Kaye – Internal Auditor  
Cory Lang – Building Control Manager  
Marie Snowball – Safety and Wellness Lead  
Iain Anderson – Capital Financial Lead  
Aaron Steele and Matt White – PricewaterhouseCoopers  
Clarence Susan – Audit NZ

**Governance Staff** Carmen Fookes – Senior Governance Advisor  
Narelle Waite – Governance Advisor

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#### 1. **Apologies - *Tono aroha***

**Resolved:** (Ms Horne/Cr van Oosten)

That the apologies for absence from Mayor Southgate and Crs Pascoe and Bunting, and for partial attendance from Cr Macpherson are confirmed.

**2. Confirmation of Agenda - *Whakatau raarangi take***

**Resolved:** (Ms Horne/Cr O'Leary)

That the agenda is confirmed.

**3. Declarations of Interest - *Tauaakii whaipaaanga***

No members of the Committee declared a Conflict of Interest.

**4. Public Forum - *AAtea koorero***

No members of the public wished to speak.

**5. Confirmation of the Strategic Risk and Assurance Committee Open Minutes - 18 November 2021**

**Resolved:** (Ms Horne/Mr Robertson)

That the Strategic Risk and Assurance Committee confirm the Open Minutes of the Strategic Risk and Assurance Committee Meeting held on 18 November 2021 as a true and correct record.

**6. Chief Executive Report**

The Chief Executive spoke to his report, noting the written format, Covid-19 and staff absence, vaccine mandates, staff vacancies, the Annual Plan and health and safety. He responded to questions from Members concerning recruitment priorities and flexible work environments, resource increases and prioritisation, and support for people leaders in the current environment.

**Resolved:** (Ms Horne/Maangai Kana)

That the Strategic Risk and Assurance Committee receives the report.

**7. Safety and Wellness Report - 1 November 2021 to 31 January 2022**

The People, Safety and Wellness Manager spoke to the report noting the Safety Management System, Project Ora and the safety reset work programme. He responded to questions from Members concerning Elected Member safety and wellness training opportunities, notifiable illness or injury definitions, Employee Assistance Programme data and mental health reporting, contractor reporting trends, Safety Governance Committee meetings, health and safety internal audit timings, sensitive reporting concerning governance oversight and response, injury rates, and critical risk work undertaken.

**Staff Action:** *Staff undertook to report back to Members concerning trends identified from the three Waipa Civil service strikes reported.*

**Resolved:** (Ms Horne/Cr Macpherson)

That the Strategic Risk and Assurance Committee receives the report.

*Cr Macpherson joined the meeting (10.14am) during the discussion of the above item. He was present when the matter was voted on.*

**8. Risk Management Report**

The Governance and Assurance Manager took the report as read, noting the Omicron outbreak and response work, supply chain and cost escalation in the capital works programme, and third party services outages. She responded to questions from Members concerning security of key infrastructure assets, procurement policy and cost escalation, Pukete Wastewater Treatment Plant emerging risk, and Council's relationship with Waikato Regional Council.

**Resolved:** (Ms Horne, Cr O’Leary)

That the Strategic Risk and Assurance Committee receives the report.

**9. PwC – Internal Audit Update and Report**

Aaron Steele and Matt White (PricewaterhouseCoopers) took the report as read, noting the Internal Audit Plan development. They responded to questions from Members concerning timing of the fraud, bribery and corruption audit, and capacity and resourcing to achieve the audit programme.

**Resolved:** (Ms Horne/Mr Robertson)

That the Strategic Risk and Assurance Committee receives the report.

*Item 11 (Audit NZ Final Management Report 30 June 2021) was taken after item 9 (PwC – Internal Audit Update and Report) to accommodate staff availability.*

**10. Audit NZ Final Management Report 30 June 2021**

The Financial Controller took her report as read, noting the delay to the Annual Report. She responded to questions from Members concerning the recommendations, capital commitments, and revaluations.

*Item 11 (Audit NZ Final Management Report 30 June 2021) was deferred to accommodate speaker availability.*

**11. HCC – Internal Audit Update and Report**

The Internal Auditor took the report as read noting the recommendations from the capitalisation of assets audit and work undertaken in response to the contracts register audit. Staff responded to questions from Members concerning resourcing the capitalisation of assets workload, contracts register report, approved contract sums and contingency.

**Resolved:** (Ms Horne/Mr Robertson)

That the Strategic and Risk and Assurance Committee receives the report.

*Item 13 (Draft Conflicts of Interest Management Policy) was taken after item 10 (HCC – Internal Audit Update and Report) to accommodate speaker availability.*

**12. Draft Conflicts of Interest Management Policy**

The Governance and Assurance Manager spoke to the report noting work undertaken, the draft policy and feedback requested.

**Resolved:** (Ms Horne/Mr Robertson)

That the Strategic Risk and Assurance Committee:

- a) receives the report;
- b) notes that the Terms of Reference for the Strategic Risk and Assurance Committee empower the Committee to review the Conflicts of Interest Management Policy (**Attachment 1** of the staff report);
- c) notes that any feedback the Committee provides on the draft Conflicts of Interest Management Policy will be considered and addressed by staff before the policy is adopted in accordance with internal processes;

- d) notes that further progress to implement the Office of the Auditor General recommendations will be reported to future Strategic Risk and Assurance Committee meetings in the Organisation Improvement Register.

**13. Audit NZ Final Management Report 30 June 2021 – Continued**

Clarence Susan (Audit NZ) spoke to the report noting the recommendations concerning revaluations and IT. He responded to questions from Members concerning the CCO audit timing and resourcing.

**Resolved:** (Ms Horne/Maangai Kana)

That the Strategic Risk and Assurance Committee receives the report.

**14. Annual Report 2022 Planning Update**

The Financial Controller and Clarence Susan (AuditNZ) spoke to the report, noting the timeline for the Annual Report 2022. They responded to questions from Members concerning resourcing to achieve timelines and statutory deadlines, and ability to defer elements of the audit.

**Resolved:** (Ms Horne/Maangai Kana)

That the Strategic Risk and Assurance Committee receives the report.

**15. Organisational Improvement Report**

The Internal Auditor took the report as read. Staff responded to questions from Members concerning the compliance strategic risk and Ministry of Business, Innovation and Employment's (MBIE) mandate, recommendation for increases to staff resources, and ability to feedback to MBIE.

**Resolved:** (Ms Horne/Maangai Kana)

That the Strategic Risk and Assurance Committee receives the report.

**16. Compliance Reporting Update**

The Governance and Assurance Manager spoke to the report noting the Council Policy list update and that there were no protected disclosure, instances of fraud or corruption nor significant non-compliance with the Privacy Act to report. She responded to questions from Members concerning the policy reviews resourcing, protected disclosure reporting and education.

**Staff Action:** *Staff undertook to update the Council Policies list with coloured status indicators.*

**Resolved:** (Ms Horne/Maangai Kana)

That the Strategic Risk and Assurance Committee receives the report.

**17. Draft Schedule of Reports for Council and Committee 2022**

The General Manager People and Organisational Performance took the report as read.

**Resolved:** (Ms Horne/Cr O'Leary)

That the Strategic Risk and Assurance Committee:

- a) receives the Schedule of Reports for Council and Committee 2022; and

- b) notes that the Schedule of Reports will be updated regularly.

**17. Resolution to Exclude the Public**

**Resolved:** (Ms Horne/Cr Maangai Kana)

**Section 48, Local Government Official Information and Meetings Act 1987**

The following motion is submitted for consideration:

That the public be excluded from the following parts of the proceedings of this meeting, namely consideration of the public excluded agenda.

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.

General subject of each matter to be considered	Reasons for passing this resolution in relation to each matter	Ground(s) under section 48(1) for the passing of this resolution
C1. Confirmation of the Strategic Risk and Assurance Committee Public Excluded Minutes - 18 November 2021	) Good reason to withhold ) information exists under ) Section 7 Local Government ) Official Information and ) Meetings Act 1987	Section 48(1)(a)
C2. Legal Risks - Committee Update	)	
C3. Cyber Risks		

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:

Item C1.	to prevent the disclosure or use of official information for improper gain or improper advantage	Section 7 (2) (j)
Item C2.	to maintain legal professional privilege	Section 7 (2) (g)
Item C3.	to prevent the disclosure or use of official information for improper gain or improper advantage	Section 7 (2) (j)

**The meeting moved to Public Excluded session at 11.43pm.**

**The meeting was declared closed at 12.41pm.**