

**MINUTES OF CENTRAL OTAGO DISTRICT COUNCIL
AUDIT AND RISK COMMITTEE HELD IN NGĀ HAU E WHĀ, WILLIAM FRASER BUILDING,
1 DUNORLING STREET, ALEXANDRA AND LIVESTREAMED ON MICROSOFT TEAMS
ON FRIDAY, 3 DECEMBER 2021 AT 9.30 AM**

PRESENT: Ms L Robertson (Chair), His Worship the Mayor T Cadogan (via Microsoft Teams), Cr S Jeffery, Cr N McKinlay

IN ATTENDANCE: Cr I Cooney, S Jacobs (Chief Executive Officer), L Macdonald (Executive Manager - Corporate Services), J Muir (Executive Manager - Infrastructure Services), L Fleck (Executive Manager – People and Culture), G McFarlane (Business Risk and Procurement Manager), Q Penniall (Environmental Engineering Manager), I Evans (Water Services Manager), A McDowall (Finance Manager), A Crosbie (Senior Strategy Advisor), R Ennis (Health, Safety and Wellbeing Advisor) and R Williams (Governance Manager)

1 APOLOGIES

COMMITTEE RESOLUTION

Moved: Robertson
Seconded: McKinlay

That the apology from Cr N Gillespie be received and accepted.

CARRIED

2 PUBLIC FORUM

There was no public forum.

3 CONFIRMATION OF MINUTES

COMMITTEE RESOLUTION

Moved: Robertson
Seconded: McKinlay

That the public minutes of the Audit and Risk Committee Meeting held on 1 October 2021 be confirmed as a true and correct record.

CARRIED

4 DECLARATION OF INTEREST

Members were reminded of their obligations in respect of declaring any interests. There were no further declarations of interest. The Mayor noted two changes to his declaration.

5 REPORTS

21.4.2 POLICY REGISTER

To consider the updated Policy and Strategy Register. The Committee requested that when due dates on the register changed, that this information was included on the register.

COMMITTEE RESOLUTION

Moved: Robertson
Seconded: McKinlay

That the report be received.

CARRIED

21.4.3 RISK REGISTER

To consider an update on the Risk Register. It was noted that the table included with the agenda was still in a work in progress and a further update would be provided at the February meeting. The committee complimented the work to date and suggested that in addition to the register presented a more high level dashboard document be developed.

COMMITTEE RESOLUTION

Moved: Robertson
Seconded: McKinlay

That the report be received.

CARRIED

21.4.4 THE STAFF DELEGATIONS MANUAL

To receive the Staff Delegations Manual.

COMMITTEE RESOLUTION

Moved: Robertson
Seconded: McKinlay

That the report be received.

CARRIED

21.4.5 SOFT REVIEW OF THE FRAUD, BRIBERY AND CORRUPTION POLICY AND THE PROTECTED DISCLOSURES (WHISTLE BLOWER) POLICY

To consider the findings of the soft review of the Fraud, Bribery and Corruption Policy and the Protected Disclosures (Whistle Blower) Policy.

During discussion a typographical error on fourth bullet point on page 4 of the Fraud, Bribery and Corruption Policy was noted, with the word "risk" to be deleted. The committee also agreed that a

statement about possible staff disciplinary action, if an investigation is found to be substantive, would be added to the policy.

COMMITTEE RESOLUTION

Moved: Robertson
Seconded: McKinlay

That the Audit and Risk Committee

- A. Receives the report.
- B. Recommends to Council that they approve the Fraud, Bribery and Corruption Policy with the amendments noted above.

CARRIED

COMMITTEE RESOLUTION

Moved: Robertson
Seconded: McKinlay

That the Audit and Risk Committee recommends to Council that they approve the Protected Disclosures (Whistle Blower) Policy.

CARRIED

21.4.6 AUDIT NZ AND INTERNAL AUDIT UPDATE

To consider an update on the status of the external and internal audit programme and any outstanding actions for completed internal and external audits. It was agreed that estimated completion dates for each action would be included in future updates. The Committee also requested for the internal audit plan to be included as a standing agenda item at each meeting.

COMMITTEE RESOLUTION

Moved: Robertson
Seconded: McKinlay

That the report be received.

CARRIED

21.4.7 FINANCIAL REPORT FOR THE PERIOD ENDING 30 SEPTEMBER 2021

To consider the financial performance for the period ending 30 September 2021.

COMMITTEE RESOLUTION

Moved: Robertson
Seconded: McKinlay

That the report be received.

CARRIED

21.4.8 ASSET MANAGEMENT POLICY

To review and recommend to Council that they approve the 2021 Asset Management Policy. Corrections to the document were noted, and the words “for renewal and operations part of the Long-term Plan” were added to the Council responsibility section of table two in the policy.

COMMITTEE RESOLUTION

Moved: Robertson

Seconded: McKinlay

That the Audit and Risk Committee

- A. Receives the report.
- B. Recommends to Council that they approve the 2021 Asset Management Policy with the above amendment.

CARRIED

21.4.9 INFRASTRUCTURE CONSTRUCTION PROJECTS UPDATE

To consider monthly status reports for Clyde Wastewater and Lake Dunstan Water Supply projects and to provide an update on the implementation of project management software.

Staff tabled and spoke to a “Summary Status Report Dashboard” document before responding to questions.

COMMITTEE RESOLUTION

Moved: Robertson

Seconded: McKinlay

That the report be received.

CARRIED

21.4.10 HEALTH, SAFETY AND WELLBEING

To provide with information on health, safety and wellbeing risks and controls at Central Otago District Council. The Chief Executive Officer provided an update on the organisation’s response and preparations under the COVID-19 protection framework.

COMMITTEE RESOLUTION

Moved: Robertson

Seconded: McKinlay

That the report be received.

CARRIED

6 CHAIR'S REPORT**21.4.11 DECEMBER 2021 CHAIR'S REPORT**

There was no Chair's report.

7 MEMBERS' REPORTS**21.4.12 DECEMBER MEMBERS' REPORTS**

There were no members' reports.

8 STATUS REPORTS**21.4.13 DECEMBER GOVERNANCE REPORT**

To report on items of general interest, consider the Audit and Risk Committee's forward work programme and the current status report updates.

COMMITTEE RESOLUTION

Moved: Robertson

Seconded: McKinlay

That the report be received.

CARRIED

9 DATE OF THE NEXT MEETING

The date of the next scheduled meeting is 25 February 2022.

10 RESOLUTION TO EXCLUDE THE PUBLIC**COMMITTEE RESOLUTION**

Moved: Robertson

Seconded: McKinlay

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
Confidential Minutes of the Audit and Risk Committee	<p>s7(2)(a) - the withholding of the information is necessary to protect the privacy of natural persons, including that of deceased natural persons.</p> <p>s7(2)(c)(ii) - the withholding of the information is necessary to protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information would be likely otherwise to damage the public interest.</p> <p>s7(2)(d) - the withholding of the information is necessary to avoid prejudice to measures protecting the health or safety of members of the public.</p> <p>s7(2)(g) - the withholding of the information is necessary to maintain legal professional privilege.</p> <p>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.)</p>	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
21.4.14 - Litigation Register	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
21.4.15 - Otago Regional Council Issue of Abatement Notices	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
21.4.16 - December 2021 Confidential Governance Report	s7(2)(c)(ii) - the withholding of the information is necessary to protect information which is subject to an obligation of confidence or which any person has been or could be compelled	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

	<p>to provide under the authority of any enactment, where the making available of the information would be likely otherwise to damage the public interest</p> <p>s7(2)(d) - the withholding of the information is necessary to avoid prejudice to measures protecting the health or safety of members of the public</p>	<p>withholding would exist under section 6 or section 7</p>
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CARRIED

The public were excluded at 11.25 am and the meeting closed at 12.06 pm.

UNCONFIRMED