

Meeting	Audit, Risk and Finance Committee
Date	Wednesday 13 June 2018
Time	The meeting commenced at 10.09am The meeting concluded at 12.46pm
Venue	Meeting Room – Mangawhai Club, Molesworth Drive, Mangawhai
Status	Confirmed

Minutes

Membership

Chair: Stana Pezic
Members: Councillor del La Varis-Woodcock
Councillor Geange
Councillor Larsen
Councillor Wade
Deputy Mayor Wethey

Staff and Associates:

Acting Chief Executive, General Manager Risk, IT and Finance, Acting General Manager Infrastructure, IT Manager, Health and Safety Advisor, Governance Advisor (Minute-taker).

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Confirmed

Minutes of the Audit, Risk and Finance Committee meeting
Wednesday 13 June 2018 in Mangawhai
1 Opening
1.1 Present

Stana Pezic (Chair), Mayor Jason Smith, Deputy Mayor Peter Wethey and Councillors Victoria del la Varis-Woodcock, Julie Geange and Andrew Wade

In Attendance

Name	Designation	Item(s)
Curt Martin	Acting Chief Executive	All
Sue Davies	General Manager Risk, IT and Finance	All
Fran Mikulicic	Acting General Manager Infrastructure	From item 3.2
Markus Schwarzer	Finance Manager	All
Ian Fernandes	IT Manager	All
Robert Maassen	Health and Safety Advisor	All
Peter Gulliver	Council's appointed auditor, Deloitte	All
Lisa Hong	Governance Advisor	All

1.2 Apologies

Moved Geange/del la Varis-Woodcock

That the apology of Councillor Larsen be received.

Carried

1.3 Confirmation of Agenda

The Committee confirmed the Agenda with the following amendment.

Moved Geange/Wade

That the item 5.3 'General discussion on risks' be added to the agenda in the Public Excluded session of the Audit, Risk and Finance Committee meeting held 13 June 2018.

Carried

1.4 Conflict of Interest Declaration

Nil.

2 Confirmation of Minutes

2.1 Audit, Risk and Finance Committee minutes 14 February 2017

Administration Manager 1610.06

Moved Wethey/del la Varis-Woodcock

That the Open minutes of the Audit, Risk and Finance Committee meeting held 14 February 2018 be confirmed as a true and correct record.

Carried

3 Decision

3.1 Customer Privacy Policy – recommend to Council to adopt

General Manager People and Capability 2206.0

Moved del la Varis-Woodcock/Smith

That the Audit, Risk and Finance Committee:

- 1 *Receives the General Manager People and Capability's report 'Customer Privacy Policy – recommend to Council to adopt' dated 30 May 2018 and its Attachment 1, Customer Privacy Policy May 2018; and*
- 2 *Believes it has complied with the decision-making provisions of the Local Government Act 2002 to the extent necessary in relation to this decision; and in accordance with the provision of s79 of the Act determines that it does not require further information prior to making a decision on this matter; and*
- 3 *Recommends Kaipara District Council to adopt the Customer Privacy Policy (Attachment 1 to the afore-mentioned report) with the following amendments:*
 - *Section 2(e) – 'purposes above' changed to 'purposes below' (p14 of the agenda);*
 - *Section 3(j) – 'we notify you' changed to 'we will notify you' (p15 of the agenda);*
 - *Section 6 – to include the words '...stored in accordance with the Data and Information Compliance Policy.'; and*
- 4 *Directs the Chief Executive to include the history of recording of customers and how this data will be managed in the report to Council for adoption of the Customer Privacy Policy.*

Carried

3.2 Fraud Policy amendments

General Manager People and Capability **2206.0**

Moved **Smith/Wethey**

That the Audit, Risk and Finance Committee:

- 1 *Receives the General Manager People and Capability's report 'Fraud Policy amendments' dated 29 May 2018 and its Attachment 1 and Attachment 2 (current Policy and updated Policy) May 2018; and*
- 2 *Believes it has complied with the decision-making provisions of the Local Government Act 2002 to the extent necessary in relation to this decision; and in accordance with the provision of s79 of the Act determines that it does not require further information prior to making a decision on this matter; and*
- 3 *Recommends Kaipara District Council to adopt the updated Fraud Policy (Attachment 2 to the afore-mentioned report) with the two year policy review date with the following amendments:*
 - *Clauses with bulletpoints to be changed to letters;*
 - *Responsibilities of the 'People and Capability Business Partner' to be changed to 'General Manager People and Capability';*
 - *Section 5 Policy – clause to be added that if the General Manager People and Capability is to be investigated, the matter will be escalated to the Chief Executive in accordance with the Section 8 'Investigations';*
 - *A clause to be added that stipulates that any breach of the Fraud Policy is to be reported to the Audit, Risk and Finance Committee as part of compliance reporting.*

Carried

3.3 Data and Information Compliance Policy – recommend to Council to adopt

IT Manager **2111.16**

Moved **Geange/Smith**

That the Audit, Risk and Finance Committee:

- 1 *Receives the IT Manager's report 'Data and Information Compliance Policy' dated 31 May 2018 and its Attachment 1; and*
- 2 *Believes it has complied with the decision-making provisions of the Local Government Act 2002 to the extent necessary in relation to this decision; and in accordance with the provision of s79 of the Act determines that it does not require further information prior to making a decision on this matter; and*

3 *Recommends to Kaipara District Council to adopt the draft ICT Data and Information Compliance Policy (Attachment 1 to the afore-mentioned report) with the following amendments:*

- *Reference to the Customer Privacy Policy to be added (under sections 2.2, 2.4 and as appropriate);*
- *More detail on the background and need for the Data and Information Compliance Policy to be included in the report to Council;*
- *“IS Policies” to be clarified as a “standing operating procedure” when appropriate; and*
- *Bulletpoints to be changed to letters.*

Carried

3.4 Audit Action Update

General Manager Risk, IT and Finance **2111.16**

[Secretarial Note: Council’s Lead Auditor Peter Gulliver (Deloitte) spoke to this item. The Chair directed the Lead Auditor to review the new parks and reserves maintenance contractor.]

Moved **Wethey/Smith**

That the Audit, Risk and Finance Committee:

- 1 *Receives the General Manager Risk, IT and Finance’s report ‘Audit Action Update’ and attachment dated 06 June 2018, and the information contained therein;*
- 2 *Believes it has complied with the decision-making provisions of the Local Government Act 2002 to the extent necessary in relation to this decision; and in accordance with the provision of s79 of the Act determines that it does not require further information prior to making a decision on this matter; and*
- 3 *Approves the scope of audit for the year ended 30 June 2018.*

Carried

4 Information

4.1 Treasury Management

Financial Services Manager **2304.15**

Moved **del la Varis-Woodcock/Smith**

The Audit, Risk and Finance Committee receives the Financial Services Manager’s report ‘Treasury Management’ dated 31 May 2018 and the information contained therein.

Carried

4.2 Health and Safety Update June 2018

Chief Operating Officer and General Manager Infrastructure 2209.0

Moved Geange/Wethey

That the Audit, Risk and Finance Committee:

- 1 *Receives the General Manager Infrastructure's report 'Health and Safety Update June 2018' dated 06 June 2018; and*
- 2 *Believes it has complied with the decision-making provisions of the Local Government Act 2002 to the extent necessary in relation to this decision; and in accordance with s79 of the Act determines that it does not require further information prior to making a decision on this matter; and*
- 3 *Notes the update on health and safety performance; and*
- 4 *Notes the update on the development of Council's health and safety systems.*

Carried

Confirmed

5 Public Excluded Committee minutes 13 June 2018

The Committee went into Public Excluded session at 12.10pm.

Moved Geange/Smith

That the public be excluded from the following part of the proceedings of this meeting, namely

- *Public Excluded Audit, Risk and Finance Committee minutes 14 February 2018;*
- *Contract Monitoring and Reporting: Infrastructure, Planning and Regulatory;*
- *General discussion on risks; and*

That Council's Lead Auditor Peter Gulliver (Deloitte) to remain for the Public Excluded session.

The general subject matter of each matter to be considered while the public is excluded, the reasons 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 are as follows:

General subject of each matter to be considered:	Reason for passing this resolution	Ground(s) under Section 48 (1) for the passing this resolution:
<i>Public Excluded Audit, Risk and Finance Committee minutes 14 February 2018</i>	<i>Section 7(2)(g) maintain legal professional privilege Section 7(2)(i) enable any authority holding the information to carry on, without prejudice or disadvantage negotiations (including commercial and industrial negotiations).</i>	<i>Section 48(1)(a) That the public conduct of the whole or 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.</i>
<i>Contract Monitoring and Reporting: Infrastructure, Planning and Regulatory</i>	<i>Section 7(2)(i) enable any authority holding the information to carry on, without prejudice or disadvantage negotiations (including commercial and industrial negotiations).</i>	<i>Section 48(1)(a) That the public conduct of the whole or 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.</i>
<i>General discussion on risks</i>	<i>Section 7(2)(i) enable any authority holding the information to carry on, without prejudice or disadvantage negotiations (including commercial and industrial negotiations).</i>	<i>Section 48(1)(a) That the public conduct of the whole or 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.</i>

Carried

6 Open Committee minutes 13 June 2018

The Committee returned to Open session at 12.45pm.

Closure

The meeting closed at 12.46pm.

Confirmed 12 September 2018
Chair Stana Pezic

Kaipara District Council
Dargaville

Confirmed