

**MINUTES OF KAPITI COAST DISTRICT COUNCIL  
RISK AND ASSURANCE COMMITTEE MEETING  
HELD AT THE COUNCIL CHAMBER, GROUND FLOOR, 175 RIMU ROAD, PARAPARAUMU  
ON THURSDAY, 9 NOVEMBER 2023 AT 9.30AM**

**PRESENT:** Mr David Shand, Mayor Janet Holborow, Deputy Mayor Lawrence Kirby (via Zoom), Cr Liz Koh, Cr Jocelyn Prvanov, Cr Glen Cooper, Mr David Cochrane (via Zoom)

**IN ATTENDANCE:** Cr Martin Halliday, Mr Cam Butler, Mr Bernie Randall, Mr Bede Laracy, Mr Mark de Haast, Ms Kate Coutts, Mr Darren Edwards, Mr Evan Dubisky, Ms Anna Smith, Ms Maria Cameron, Ms Jing Zhou, Ms Dianne Andrew, Ms Sharon Foss, Ms Nienke Itjeshorst, Mr James Jefferson, Ms Hara Adams, Mr Sean Mallon, Mr Sam Nicolle (external, Ernst & Young), Ms Angela Bell, Mr Mike Mendonça

**APOLOGIES:** Mr Richard Mansell, Ms Oriwia Raureti

**LEAVE OF ABSENCE:** Nil

**1 WELCOME**

**2 COUNCIL BLESSING**

The Chair welcomed everyone to the meeting and read the Council blessing.

**3 APOLOGIES**

**APOLOGY**

**COMMITTEE RESOLUTION RAC2023/36**

Moved: Mayor Janet Holborow

Seconder: Cr Liz Koh

That the apologies received from Mr Richard Mansell and Ms Oriwia Raureti be accepted.

**CARRIED**

**4 DECLARATIONS OF INTEREST RELATING TO ITEMS ON THE AGENDA**

There were no declarations of interest.

**5 PUBLIC SPEAKING TIME FOR ITEMS RELATING TO THE AGENDA**

No members of the public requested to speak at the meeting.

**6 MEMBERS' BUSINESS**

- (a) There were no responses to public speaking time required.
- (b) There were no leave of absences requested.
- (c) No Matters of an Urgent Nature were raised.

## 7 HE KŌRERO HOU | UPDATES

No updates were presented.

## 8 PŪRONGO | REPORTS

### 8.1 HEALTH AND SAFETY QUARTERLY REPORT : 1 JULY 2023 - 30 SEPTEMBER 2023

Dianne Andrew, Organisational Development Manager took the report as read and provided context regarding an incident in the report, at the Chair's request. Dianne Andrew and Sean Mallon, Group Manager Infrastructure Services answered questions from members regarding this incident and its background. Cr Koh and Cr Prvanov suggested that the report be brought to a Council meeting; and Darren Edwards, Chief Executive responded that this report is publicly available. Mayor Janet Holborow reiterated that this Committee is delegated the authority to consider these matters without Council approval.

#### COMMITTEE RESOLUTION RAC2023/37

Moved: Mr David Shand

Seconder: Cr Glen Cooper

- A. That the Risk and Assurance Committee notes the Health and Safety Quarterly Report for the period 1 July 2023 – 30 September 2023 attached as Appendix One to this Report.

**CARRIED**

### 8.2 REPORT ON CONTROL FINDINGS FOR THE YEAR ENDED 30 JUNE 2023

Sam Nicolle (External presenter from Ernst & Young) took the report as read and answered questions from members.

#### COMMITTEE RESOLUTION RAC2023/38

Moved: Mr David Shand

Seconder: Cr Jocelyn Prvanov

- A. That the Risk and Assurance Committee:

A.1 receives this report, including Ernst & Young's Report on Control Findings for the year ended 30 June 2023, attached as Appendix 1 to this report, and

A.2 notes that:

A.2.1 regular progress updates against the Control Findings will be provided; and

A.2.2 Ernst & Young will re-assess these Control Findings when they complete their audit for the financial year ended 30 June 2024.

**CARRIED**

### 8.3 QUARTERLY TREASURY COMPLIANCE

Jing Zhou, Chief Financial Officer took the report as read.

#### COMMITTEE RESOLUTION RAC2023/39

Moved: Mr David Shand

Secunder: Mayor Janet Holborow

- A. That the Risk and Assurance Committee notes the Council's full compliance with its Treasury Management Policy for the three months ended 30 September 2023.

**CARRIED**

#### 8.4 TOP 10 ORGANISATIONAL RISK REPORT

Nienke Itjeshorst, Lead Risk and Assurance Advisor took the report as read and answered questions from members. Members discussed their concerns about cybersecurity. Mark de Haast, Group Manager Corporate Services clarified that this report is meant to discuss overall risks rather than specific security incidents, and that an auditor has reviewed the systems of the Council, and that subject matter experts determine risk.

#### COMMITTEE RESOLUTION RAC2023/40

Moved: Mr David Shand  
Secunder: Cr Jocelyn Prvanov

- A. That the Risk and Assurance Committee receives and notes this report, including Appendix 1 to this report.

**CARRIED**

#### 8.5 INTERNAL AUDIT WORK PROGRAMME - PROGRESS UPDATE

Sharon Foss, Business Improvement Manager took the report as read.

#### COMMITTEE RESOLUTION RAC2023/41

Moved: Mayor Janet Holborow  
Secunder: Cr Liz Koh

- A. That the Risk and Assurance Committee receives and notes the Internal Audit progress update on the work programme for 2023.

**CARRIED**

#### 8.6 LEGISLATIVE COMPLIANCE – 1 JULY TO 30 SEPTEMBER 2023

Fiona Story, Team Leader Legal Support Services and Official Information took the report as read and answered questions from members. Members discussed the nature of legislative compliance.

#### COMMITTEE RESOLUTION RAC2023/42

Moved: Cr Liz Koh  
Secunder: Mayor Janet Holborow

- A. That the Risk and Assurance Committee:  
A.1 notes legislative non-compliance for the first quarter of the financial year from 1 July 2023 to 30 September 2023.

**CARRIED**

**8.7 FORWARD WORK PROGRAMME 2024 FOR RISK AND ASSURANCE COMMITTEE**

The Chair opened discussion on this report by announcing he would be writing a paper for the first meeting of the new year on whether the role of the committee is sufficient and if asset resilience can be reviewed.

**COMMITTEE RESOLUTION RAC2023/43**

Moved: Cr Jocelyn Prvanov

Seconder: Cr Liz Koh

- A. That the Risk and Assurance Committee approves its Forward Work Programme for the 2024 calendar year as set out in Appendix 1 to this report.

**CARRIED**

**9 TE WHAKAŪ I NGĀ ĀMIKI | CONFIRMATION OF MINUTES****9.1 CONFIRMATION OF MINUTES - 21 SEPTEMBER 2023****COMMITTEE RESOLUTION RAC2023/44**

Moved: Mr David Shand

Seconder: Cr Liz Koh

That the minutes of the Risk and Assurance Committee meeting of 21 September 2023 be accepted as a true and correct record.

**CARRIED**

**10 PUBLIC EXCLUDED REPORTS****RESOLUTION TO EXCLUDE THE PUBLIC****PUBLIC EXCLUDED RESOLUTION RAC2023/45**

Moved: Mr David Shand

Seconder: Mayor Janet Holborow

That, pursuant to Section 48 of the Local Government Official Information and Meetings Act 1987, the public now be excluded from the meeting for the reasons given below, while the following matters are considered.

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(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 in relation to each matter	Ground(s) under section 48 for the passing of this resolution
<b>10.1 - Litigation and External Investigations Report</b>	Section 7(2)(a) - the withholding of the information is necessary to protect the privacy of natural persons,	Section 48(1)(a)(i) - the public conduct of the relevant part of the proceedings of the meeting

	<p>including that of deceased natural persons</p> <p>Section 7(2)(c)(i) - 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 to prejudice the supply of similar information, or information from the same source, and it is in the public interest that such information should continue to be supplied</p> <p>Section 7(2)(g) - the withholding of the information is necessary to maintain legal professional privilege</p>	<p>would be likely to result in the disclosure of information for which good reason for withholding would exist under section 6 or section 7</p>
<p><b>CARRIED</b></p>		

The Te Komiti Whakamauru Tūraru | Risk and Assurance Committee meeting went into public excluded session at 10:56am.

**COMMITTEE RESOLUTION RAC2023/47**

Moved: Mr David Shand  
 Seconder: Mayor Janet Holborow

That the Te Komiti Whakamauru Tūraru | Risk and Assurance Committee moves out of a public excluded meeting.

**CARRIED**

The Te Komiti Whakamauru Tūraru | Risk and Assurance Committee came out of public excluded session at 11:21am.

**10.1 LITIGATION AND EXTERNAL INVESTIGATIONS REPORT**

**COMMITTEE RESOLUTION RAC2023/48**

Moved: Mr David Shand  
 Seconder: Mayor Janet Holborow

A. That the Committee:

A.1 note the status of litigation and external investigations for quarter 1 of the 2023-24 financial year.

A.2 agree that this report and Attachment 2 be released from public excluded business; and agree that Attachment 1 of this report be excluded from public release to protect the privacy of natural persons and the obligation of confidence (Section 7(2)(a) and Section 7(2)(c)(i) of the Local Government Official Information and Meetings Act 1987).

A.3 agree that the resolutions be released from public excluded business.

**CARRIED**

### Appendices

1 Report Released from Public Excluded

The Chair invited Mayor Janet Holborow to recite a closing karakia.

**The Te Komiti Whakamauru Tūraru | Risk and Assurance Committee meeting closed at 11:23am.**

.....  
**HEAMANA | CHAIRPERSON**