



Minutes of a meeting of the Audit and Risk Subcommittee held in
the Council Chamber on Thursday 24 February 2022,
commencing at 1:00 PM

Membership

Cr Hilary Calvert
Mr Andrew Douglas
Cr Kevin Malcolm
Cr Andrew Noone
Cr Kate Wilson

(Chairperson)
(Independent Member)

Welcome

Chairperson Hilary Calvert welcomed Councillors and staff to the meeting at 1:01 pm. Staff present included Amanda Vercoe (GM Governance, Culture and Customer) and Liz Spector (Governance Support Officer) and present electronically were Sarah Gardner (Chief Executive), Nick Donnelly (GM Corporate Services), Gwyneth Elsum (GM Strategy, Policy and Science), Gavin Palmer (GM Operations), Richard Saunders (GM Regulatory and Communications), Rebecca Webster, and Nicole Ross.

1. APOLOGIES

There were no apologies. Cr Forbes was present electronically to observe the meeting.

2. PUBLIC FORUM

There was no request to address the Subcommittee under Public Forum.

3. CONFIRMATION OF AGENDA

Cr Wilson requested to conduct discussions on the Audit and Risk Work Programme paper following conclusion of the public-excluded items as she wanted to ensure nothing that was discussed in public-excluded would impact any decisions made related to the proposed work programme.

Resolution: Cr Wilson moved, Cr Noone seconded

That the agenda be confirmed to move consideration of the Audit and Risk Work Programme paper following conclusion of the public-excluded reports.

MOTION CARRIED

4. CONFLICT OF INTEREST

No conflicts of interest were advised.

5. CONFIRMATION OF MINUTES

Resolution: Cr Wilson Moved, Cr Malcolm Seconded

That the minutes of the (public portion of the) meeting held on 11 November 2021 be received and confirmed as a true and accurate record.

MOTION CARRIED

6. ACTIONS (STATUS OF COMMITTEE RESOLUTIONS)

The Actions Register was reviewed, noting no open actions.

7. MATTERS FOR CONSIDERATION

7.1. GOV2205 Safety and Wellbeing Report

This report summarised progress towards the Safety and Wellbeing Team's key strategic priorities and safety performance indicators for Quarters 1 & 2 FY 21/22 and key areas of focus for the Team for the 2021/22 financial year and beyond. Rebecca Webster (Team Leader People and Safety) and Nicole Ross (Manager People and Culture) were present electronically to speak to the report and respond to questions.

Following a discussion of the report, Cr Wilson moved for the ORC COVID-19 Protection Framework document to be tabled, seconded by Cr Calvert. This document is included with the minutes.

Cr Wilson moved; Cr Calvert seconded:

That the ORC COVID-19 Protection Framework document be tabled.

MOTION CARRIED

Following further discussion of the report, Cr Malcolm moved that the report be noted.

Resolution AR22-101: Cr Malcolm Moved, Cr Noone Seconded

That the Subcommittee:

- 1) **Notes** this report.

MOTION CARRIED

7.2. A&R2201 Legislative Compliance and Mandatory Documents Register

This report was provided to deliver the ORC's legislative Warrant of Fitness and Mandatory Documents Register. Nick Donnelly (GM Corporate Services) was present electronically to speak to the report and respond to questions.

Cr Wilson questioned what procedures were in place regarding meeting recordings of public-excluded meeting or non-public workshops. She said she may raise this later when in public-excluded, given the leave of the Chair. CE Gardner suggested discussion of such procedures be discussed in a meeting of the Governance, Communications and Engagement Committee. Cr Wilson suggested this be referred to that committee by the Audit and Risk Subcommittee. Cr Malcolm said he agreed this could be directed to that committee, but direction should come from a resolution made in the public-excluded part of today's meeting.

Cr Malcolm asked about the Council's records management system, noting a non-compliance listed in the register. Mr Donnelly said staff were currently going through a tender process and had selected a new system. He indicated it would be implemented over the next six months.

Cr Calvert asked that the subcommittee be notified as implementation of the new system is completed, and she moved:

Resolution AR22-102: Cr Calvert Moved, Cr Noone Seconded

That the Audit and Risk Subcommittee:

- 1) **Requests** tracking of Public Records Act 2005 record keeping be included on the action register until a new system is added.

MOTION CARRIED

Cr Malcolm then asked about documented processes related to RMA plans. Mrs Gardner said the documented processes are the legislative and various NES and NPS that have been handed down. She agreed the Coast and Air plans are outstanding. Further discussion of the outstanding plans was held, and Cr Wilson moved:

Resolution AR22-103: Cr Wilson Moved, Cr Noone Seconded

That the Audit and Risk Subcommittee:

- 1) **Notes** this report and asks staff to amend comments on Resource Management Act to incorporate scheduled reviews of the Waste, Coast and Air plans.

MOTION CARRIED

7.3. CS2206 Corporate Policy Overview Report

This report provided an update of Council's organisational policies to the Audit and Risk Subcommittee. Nick Donnelly (GM Corporate Services) was present electronically to speak to the report and respond to questions. Mr Donnelly reviewed the work underway by the staff Policy Review Group, noting work through the previous 17 February 2022 meeting will be reviewed with the Subcommittee at the 12 May 2022 Audit and Risk Subcommittee meeting. Cr Calvert said she had concerns about the work being done towards a Contract Management Policy and foreshadowed a motion creating a working party comprised of Councillors and the independent member of A & R to review the sufficiency of the proposed processes. Following discussion of the foreshadowed motion, Cr Wilson moved a procedural motion to end the public debate and move consideration of the paper to public-excluded under code sections 7(2)(a) to protect the privacy of individuals and 7(2)(h) to enable local authorities to carry out, without prejudice or disadvantage, commercial activities.

Resolution: Cr Wilson Moved, Cr Noone Seconded

That this report be lain on the table and considered with the public excluded under LGOIMA 48(1)a section 7(2)(a) and 7(2)(h).

MOTION CARRIED

7.4. GOV2209 Quarterly Actions Register Update - November 2021

The report was provided to allow discussion of the November 2021 quarterly action list, with a view to consideration of the processes that ORC has in place, and to ensure that Local Government Act requirements are being met (as per the Governance, Communications and Engagement Committee referral in Resolution GCE21-109). Amanda Vercoe (GM Governance, Culture and Customer) was present to speak to the report and respond to questions.

A discussion was held about why the Quarterly Actions Register was referred to the committee, with Mr Douglas noting questions had arisen as to budgeted and unbudgeted expenditures related to resolutions of Council and Committees. He said it was important to track unbudgeted work. Mrs Gardner said unless she raised how to budget for unplanned work at the time it is requested during a meeting, there was no consideration given. She said it was critical that she understood priorities of any unplanned work. Mr Douglas suggested there could be a process where such requests are reviewed annually and potentially culled due to lack of money or change in priorities.

Chair Calvert said she understood the frustration with unbudgeted and unplanned work and suggested to discuss these concerns when Council/Committee Chairs meet to review meeting agendas. Cr Noone said staff include financial implications in each report brought to a meeting, but the decisions made on the fly are ones that need to be identified as to how they will be budgeted. Mrs Gardner said it was important to be strategic and link costs with work programme commitments made when adopting LTPs.

Chair Calvert noted the discussion and said she would work with Mr Douglas and Mrs Gardner on ways to incorporate more discipline and rigor into what is happening with resolutions. Cr Wilson noted that it was still important to be able to be flexible to allow responsiveness to constituent concerns. There were no further discussions and Cr Calvert moved noting of the report.

Resolution AR22-104: Cr Calvert Moved, Cr Noone Seconded

That the Audit and Risk Subcommittee:

- 1) **Notes** this report.

MOTION CARRIED

8. RESOLUTION TO EXCLUDE THE PUBLIC

Resolution: Cr Wilson Moved, Cr Malcolm Seconded:

That the meeting move into public excluded at 2:25pm under LGOIMA 48(1)(a) per the order paper to consider:

- Minutes of the 11/11/2021 public excluded portion of the Audit and Risk Subcommittee meeting
- Wilding Conifer Contract Management
- Managed Fund - 31/12/2021 Report
- Corporate Policy Overview Report, 7(2)(a) and 7(2)(h)

MOTION CARRIED

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 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(1) for the passing of this resolution
<i>Minutes of the 11 November 2021 Audit and Risk Subcommittee meeting</i>	Section 7(2)(b)(ii) - 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; Section 7(2)(c)(i) - 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;	Section 48(1)(a);

	<p>Section 7(2)(g) - To maintain legal professional privilege;</p> <p>Section 7(2)(h) - To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities;</p> <p>Section 7(2)(j) - To prevent the disclosure or use of official information for improper gain or improper advantage.</p>	
<i>Wilding Conifer Contract Management</i>	<p>Section 7(2)(e) - To avoid prejudice to measures that prevent or mitigate material loss to members of the public;</p> <p>Section 7(2)(g) - To maintain legal professional privilege;</p> <p>Section 7(2)(h) - To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities.</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds:</p> <p>(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.</p>
<i>Managed Fund – 31 December 2021 Report</i>	<p>Section 7(2)(b)(ii) - 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;</p> <p>Section 7(2)(c)(i) - 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)(h) - To enable any local authority holding the information to carry out, without prejudice or disadvantage, commercial activities.</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds:</p> <p>(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.</p>

<i>Risk Review</i>	<p>Section 7(2)(e) - To avoid prejudice to measures that prevent or mitigate material loss to members of the public;</p> <p>Section 7(2)(j) - To prevent the disclosure or use of official information for improper gain or improper advantage.</p>	<p>Section 48(1)(a): Subject to subsection (3), a local authority may by resolution exclude the public from the whole or any part of the proceedings of any meeting only on 1 or more of the following grounds:</p> <p>(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.</p>
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Chair Calvert reconvened the public meeting.

Resolution: Cr Noone moved, Cr Malcolm seconded
That the meeting resume in public session at 4:20PM.

MOTION CARRIED

7.5. CS2204 Audit and Risk Work Program

This paper outlined the proposed work programme to be covered at Audit and Risk Subcommittee meetings in the 2022 calendar year to ensure the responsibilities outlined in the Terms of Reference are fulfilled. Nick Donnelly (GM Corporate Services) was present electronically to speak to the report and respond to questions. Following questions of the report, Cr Wilson moved:

Resolution AR22-105: Cr Wilson Moved, Cr Malcolm Seconded
That the Audit and Risk Subcommittee:

- 1) **Notes** this report.
- 2) **Endorses** the proposed work programme for the 2022 calendar year.

MOTION CARRIED

9. CLOSURE

There was no further business and Chairperson Calvert declared the public meeting closed at 4:22pm.

Chairperson

Date

ORC COVID19 Protection Framework

Principles:

- Staff safety and wellbeing is paramount
- A vaccinated workforce will be one of our best controls
- Good hygiene, scanning in and staying home if you are sick will also be important controls
- ORC will make best efforts to take account of individual comfort levels, balanced with necessary business continuity, across all levels of the CPF and particularly during the transition phases
- Government policy and regional health response will inform and guide our response
- Council will continue to deliver services to our communities safely through business continuity planning
- Flexible work will enable us to continue to deliver

Note: This framework is intended to be read alongside the [ORC Vaccination Policy](#). Staff are also required (as necessary) to comply with Vaccination Policy requirements of other businesses/stakeholders.

	Green	Orange	Red
Personal movement (on ORC business)	Movement unrestricted; scanning in required at each site (including separate QR codes for Annex and Regional House, and floors at PLH)	Movement unrestricted; scanning in required at each site (including separate QR codes for Annex and Regional House, and floors at PLH)	Movement between ORC buildings to be minimised where possible Scanning in required at each site (including separate QR codes for Annex and Regional House, and floors at PLH)
Working from home	Normal flexible working applies	Staff at increased risk may wish to work from home	Working from home strongly encouraged where productive work can be undertaken; 50% max capacity in all office spaces In some cases, teams may be split (ie red team/blue team); this will be

Version 1.6

Date: 23 February 2022

Owner: People and Safety

			managed as part of business continuity planning at a team-by-team level.
Protocols inside buildings	Business as usual, staff should avoid congregating in hallways etc.	1m distancing recommended, staff should avoid congregating in hallways etc.	<p>1m distancing required, staff should avoid congregating in hallways etc.</p> <p>Masks to be worn when moving around the office, including in bathrooms, tearooms (except while eating/drinking) and in-person meetings.</p> <p>Additional cleaning measures for publicly accessible buildings.</p> <p>Whenever reasonably possible, increase ventilation by opening windows.</p>
Other people coming onsite (meetings, interviews)	Business as usual (with record keeping)	Visitors allowed on-site, however consideration should be given to the necessity of meeting in-person. Masks and 1m distancing recommended	Meetings with externals to be conducted via video conferencing
Building contractors and couriers	Business as usual (with record keeping)	Allowed on-site, however consideration should be given to the necessity of conducting the work in Orange. Masks and 1m distancing recommended	<p>Contractors allowed on-site for priority works only.</p> <p>Couriers continue, limit contact with staff</p> <p>Masks and 1m distancing required.</p>
Customer experience	Face coverings encouraged	Face coverings required 1m distancing	Face coverings required 1m distancing
Council meetings	In-person; 1m distancing; public allowed (potential capacity limits)	In-person; 1m distancing; public can attend online	Per decisions of 9 February 2022 Council meeting.

Attending off-site meetings	Business as usual provided the staff member is comfortable. Heed vaccination policy requirements of other businesses where required	Masks and 1m distancing recommended. Heed vaccination policy requirements of other businesses where required	Staff may attend off-site meetings if they are comfortable to do so, and after checking the comfort levels of others attending. Masks and 1m distancing recommended. Heed vaccination policy requirements of other businesses where required
Community engagement	<i>Refer to CPF for event limits, based on vaccination requirements.</i> Heed vaccination policy requirements of other businesses where required	<i>Refer to CPF for event limits, based on vaccination requirements.</i> Heed vaccination policy requirements of other businesses where required	Community engagement events held online for February <i>[Positioning on this for March and beyond will be reviewed during Feb]</i>
Going onto properties for compliance etc (includes Pollution Hotline)	Maintain 1m distancing, masks encouraged. Heed vaccination policy requirements of other businesses where required	Maintain 1m distancing, masks recommended. Heed vaccination policy requirements of other businesses where required	Masks and 1m distancing required. Heed vaccination policy requirements of other businesses where required
Vehicles	Normal vehicle use policy applies. Additional hygiene measures available and use encouraged	Normal vehicle use policy applies. Additionally: Masks and 1m distancing recommended. Additional hygiene measures available and use recommended	Masks and/or 1m distancing required where passengers are present. Additional hygiene measures available and use required. Pool vehicles: -try to book the same vehicle rather than switch around. -note that some Pool vehicles have been reassigned at Red to aid in

			business continuity for core functions.
Work-Related Travel	Business as usual (provided staff are happy to travel, and subject to usual travel policy). No travel to areas in Red Heed vaccination policy requirements of other businesses where required	Consider need to travel vs. risks of going (also providing staff are happy to travel, and subject to usual travel policy). Heed vaccination policy requirements of other businesses where required. No travel to areas in Red	Travel within the region can continue, with consideration given to minimising where possible. Travel outside Otago is by GM approval. Refer below for guidance on non-customer facing field work. Heed vaccination policy requirements of other businesses where required
Field Work	Field work continues as normal, subject to the below. Maintain 1m distancing if encountering members of the public/landowners, masks encouraged. Heed vaccination policy requirements of other businesses where required	Field work continues as normal, subject to the below. Maintain 1m distancing if encountering members of the public/landowners, masks recommended. Heed vaccination policy requirements of other businesses where required	Field work continues as normal, subject to the below. Masks and 1m distancing required. Heed vaccination policy requirements of other businesses where required