

Audit and Risk Subcommittee MINUTES

Minutes of an ordinary meeting of the Audit and Risk Subcommittee held in the Mayor's Lounge, Civic Centre, The Octagon, Dunedin on Thursday 21 February 2019, commencing at 1.00 pm

PRESENT

Chairperson Susie Johnstone

Members Mayor Dave Cull Cr Doug Hall
Cr Mike Lord Cr Chris Staynes

IN ATTENDANCE Sue Bidrose (Chief Executive Officer), Dave Tombs (General Manager Finance and Commercial), Andrew Slater (Risk and Internal Audit Manager), Martyn Solomon (Crowe Horwath) and Phil Sinclair (Crowe Horwath)

Governance Support Officer Wendy Collard

1 APOLOGIES

Moved (Susie Johnstone/Cr Chris Staynes):

That the Subcommittee:

Accepts the apology from Ms Janet Copeland.

Motion carried (AR/2019/001)

2 CONFIRMATION OF AGENDA

Moved (Susie Johnstone/Cr Chris Staynes):

That the Committee:

Confirms the agenda without addition or alteration

Motion carried (AR/2019/002)

3 DECLARATIONS OF INTEREST

Members were reminded of the need to stand aside from decision-making when a conflict arose between their role as an elected representative and any private or other external interest they might have.

Moved (Susie Johnstone/Cr Doug Hall):

That the Subcommittee:

- a) **Notes** the Elected or Independent Members' Interest; and
- b) **Confirms** the proposed management plan for Elected or Independent Members' Interests.

Motion carried (AR/2019/003)

4 CONFIRMATION OF MINUTES

4.1 AUDIT AND RISK SUBCOMMITTEE MEETING - 6 DECEMBER 2018

Moved (Susie Johnstone/Cr Chris Staynes):

That the Subcommittee:

Confirms the public part of the minutes of the Audit and Risk Subcommittee meeting held on 6 December 2018 as a correct record.

Motion carried (AR/2019/004)

PART A REPORTS

5 AUDIT AND RISK SUBCOMMITTEE WORK PLAN 2019

A report from Civic provided a copy of the updated Audit and Risk Subcommittee Work Plan 2019.

Moved (Susie Johnstone/Cr Mike Lord):

That the Subcommittee:

- a) **Notes** the Audit and Risk Subcommittee Work Plan.

Motion carried (AR/2019/005)

RESOLUTION TO EXCLUDE THE PUBLIC

Moved (Cr Mike Lord/Cr Doug Hall):

That the Committee:

Pursuant to the provisions of the Local Government Official Information and Meetings Act 1987, exclude the public from the following part of the proceedings of this meeting namely:

General subject of the 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	Reason for Confidentiality
C1 Audit and Risk Subcommittee meeting - 6 December 2018 - Public Excluded	<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 to damage the public interest.</p>	.	
	<p>S7(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>S7(2)(b)(ii) The withholding of the information is necessary 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>		

	S7(2)(h) The withholding of the information is necessary to enable the local authority to carry out, without prejudice or disadvantage, commercial activities.	
	S7(2)(a) The withholding of the information is necessary to protect the privacy of natural persons, including that of a deceased person.	
	S6(b) The making available of the information would be likely to endanger the safety of a person.	
C2 Audit and Risk Subcommittee Action List Report	S7(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.	S48(1)(a) The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.
C3 Internal Audit WorkPlan Update - February 2019	S7(2)(b)(ii) The withholding of the information is necessary 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	S48(1)(a) The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.

information.

S7(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.

S7(2)(h)

The withholding of the information is necessary to enable the local authority to carry out, without prejudice or disadvantage, commercial activities.

C4 Update on the DCC Internal Audit Actions Register - February 2019

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 to damage the public interest.

C5 Update on the DCC External Audit Actions Register - February 2019

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)

The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.

S48(1)(a)

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C6 Strategic Risk Register - Update February 2019	<p>to provide under the authority of any enactment, where the making available of the information would be likely to damage the public interest.</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 to damage the public interest.</p>	<p>section 7.</p> <p>S48(1)(a) The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.</p>	
C7 Audit and Risk Subcommittee Policy Update Report	<p>S7(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>S48(1)(a) The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.</p>	
C8 Purchase Card Report	<p>S7(2)(a) The withholding of the information is necessary to protect the privacy of natural persons, including that of a deceased person.</p>	<p>S48(1)(a) The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.</p>	<p>This report is confidential because it refers and impacts Council staff positions where those staff have not had the opportunity to respond or comment on the report..</p>
C9 Health and Safety Monthly Report for December 2018	<p>S7(2)(a) The withholding of the information is necessary to protect</p>	<p>S48(1)(a) The public conduct of the part of the</p>	<p>The information relates to the actions of individual staff who could be</p>

	the privacy of natural persons, including that of a deceased person.	meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.	identified. This would breach their privacy and potentially prejudice any processes which may need to be managed..
C10 Dunedin City Holdings Ltd - Update on Audit and Risk Activity	S7(2)(b)(ii) The withholding of the information is necessary 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.	S48(1)(a) The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.	
C11 Treasury Risk Management Compliance Report	S7(2)(h) The withholding of the information is necessary to enable the local authority to carry out, without prejudice or disadvantage, commercial activities.	S48(1)(a) The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.	
C12 Investigation Report 1	S7(2)(a) The withholding of the information is necessary to protect the privacy of natural persons, including that of a deceased person. 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 to damage the public interest. S7(2)(f)(ii) The withholding of the	S48(1)(a) The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.	

	information is necessary to maintain the effective conduct of public affairs through the protection of such members, officers, employees and persons from improper pressure or harassment.		
C13 Investigation Register	S6(b) The making available of the information would be likely to endanger the safety of a person.	S48(1)(a) The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 6.	The matters detailed in this report are subject to investigation and information should remain confidential so as not to prejudice the investigation and any possible outcomes of the investigation..
C14 Protected Disclosure Register	S7(2)(a) The withholding of the information is necessary to protect the privacy of natural persons, including that of a deceased person. S7(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.	S48(1)(a) The public conduct of the part of the meeting would be likely to result in the disclosure of information for which good reason for withholding exists under section 7.	

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, or Section 6 or Section 7 or Section 9 of the Official Information Act 1982, as the case may require, which would be prejudiced by the holding of the whole or the relevant part of the proceedings of the meeting in public are as shown above after each item.

That Martyn Solomon (Crowe Horwath) and Phil Sinclair (Crowe Horwath) be permitted to remain at the meeting, after the public has been excluded, because of their knowledge of Items C3 and C4. This knowledge, which would be of assistance in relation to the matters discussed, was relevant because they would be reporting on the item under consideration.

Motion carried (AR/2019/006)

The meeting moved into confidential at 1.06 pm and concluded at 2.51 pm.

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CHAIRPERSON