

Audit and Risk Committee Agenda

Date: Wednesday, 27 March, 2019

Time: 9:00 am

Location: Council Chamber
Forum North, Rust Avenue
Whangarei

Elected Members: Cr Sharon Morgan (Chairperson)
Her Worship the Mayor Sheryl Mai
Cr Crichton Christie
Cr Shelley Deeming
Cr Sue Glen
Cr Cherry Hermon
Cr Greg Innes

For any queries regarding this meeting please contact
the Whangarei District Council on (09) 430-4200.

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Audit and Risk Committee – Terms of Reference

Membership

Chairperson:	Councillor Sharon Morgan
Members:	Her Worship the Mayor Sheryl Mai Councillors Crichton Christie, Shelley Deeming, Sue Glen, Cherry Hermon, Greg Innes
Independent Advisor:	Philip Jones
Meetings:	Quarterly.
Quorum:	4

Purpose

To oversee risk management and internal control, audit functions (internal and external), financial and other external corporate reporting, governance framework and compliance with legislation.

Key responsibilities include:

- Audit
 - Agree audit scope with Management
 - Provide direct input on audit scope to the external auditor
 - Consider audit management report, taking appropriate action
 - Consider any internal audit needs, including probity, waste and performance
 - Hold a confidential meeting with the external auditors at least once every year.
- Risk
 - Ensure a comprehensive risk management framework is in place and being operated effectively
 - Identify and monitor risks for the organisation including major projects
 - Ensure Council's assets are insured appropriately.
- Ensure Council has suitable business continuity arrangements in place.
- Policy review program.
- Service delivery review program.

Delegations

- (i) All powers necessary to perform the committee's responsibilities, including:
 - (a) establishment of working parties or steering groups.

Item 3.1
Audit and Risk Committee Meeting Minutes

Date:	Wednesday, 5 December, 2018
Time:	9:00 a.m.
Location:	Council Chamber Forum North, Rust Avenue Whangarei
In Attendance	Her Worship the Mayor Sheryl Mai Cr Shelley Deeming Cr Sue Glen Cr Cherry Hermon Cr Greg Innes
Not in Attendance	Cr Sharon Morgan (Chairperson) Cr Crichton Christie
Also present	Cr Stu Bell Cr Vince Cocurullo Cr Phil Halse Cr Anna Murphy Philip Jones (Independent Adviser) Warren Auth (Audit New Zealand) Adelle Allbon and Hayden Keast (BDO)
Scribe	C Brindle (Senior Democracy Adviser)

Election of Acting Chairperson

The Committee's Chairperson was unavailable to chair the meeting.

Council's Standing Orders provide that if the Chairperson is absent the committee members must elect a member to act as Chairperson at the meeting.

Nominations for Acting Chairperson were called for. One nomination, to elect Her Worship the Mayor Sheryl Mai, was received.

Moved By Cr Sue Glen

Seconded By Cr Shelley Deeming

That Her Worship the Mayor Sheryl Mai is elected to act as Chairperson at today's meeting.

Carried

1. Declarations of Interest

There were no declarations of interest made at this meeting.

2. Apologies

Crs Crichton Christie and Sharon Morgan (absent)
Crs Shelley Deeming, Cherry Hermon and Sue Glen (early departure)

Moved By Cr Greg Innes

Seconded By Cr Sue Glen

That the apologies be sustained.

Carried

3. Confirmation of Minutes of Previous Audit and Risk Committee Meeting

3.1 Minutes Audit and Risk Committee held 26 September 2018

Moved By Cr Greg Innes

Seconded By Cr Shelley Deeming

That the minutes of the Audit and Risk Committee meeting held on Tuesday 26 September 2018, having been circulated, be taken as read and now confirmed and adopted as a true and correct record of proceedings of that meeting.

Carried

4. Information Reports

4.1 Final Audit NZ Report at 30 June 2018

Moved By Cr Sue Glen

Seconded By Cr Shelley Deeming

That the Audit and Risk Committee:

1. Notes the Final Audit Management Report issued by Audit NZ for the 2017/18 Financial Year.
2. Notes the recommendations raised by Audit NZ, and the updated staff response to them.

Carried

4.2 Revenue Internal Audit Report - Revenue

Moved By Cr Shelley Deeming

Seconded By Cr Cherry Hermon

That the Audit and Risk Committee:

1. Notes the Revenue Internal Audit Final Report issued by BDO.
2. Notes the recommendations raised by BDO, and Councils response to them.

Carried

Cr Vince Cocurullo joined the meeting at 9.11am during discussions on Item 4.2.

4.3 Financial Management Activity Update Report - December 2018

Moved By Cr Cherry Hermon

Seconded By Cr Shelley Deeming

That the Audit and Risk Committee notes the financial management activity over the previous three months.

Carried

4.4 Health and Safety Report

Moved By Cr Greg Innes

Seconded By Cr Cherry Hermon

That the Audit and Risk Committee notes the information presented in the report and its attachment.

Carried

Cr Phil Halse joined the meeting at 9.29am during Item 4.4.

4.5 Project Risk Discussion

Moved By Cr Sue Glen

Seconded By Cr Greg Innes

That the Committee notes the report.

Carried

Cr Cherry Hermon left the meeting at 9.41am during Item 4.5.

4.6 Internal Audit Action Updates

Moved By Cr Shelley Deeming

Seconded By Cr Sue Glen

That the Audit and Risk Committee notes the status of the outstanding internal audit actions.

Carried

4.7 Risk Register Update - December 2018

Moved By Cr Sue Glen

Seconded By Cr Shelley Deeming

That the Audit and Risk Committee notes the report.

Carried

Procedural motion

Moved By Her Worship the Mayor

Seconded By Cr Greg Innes

That the meeting be adjourned and reconvened in the Council Chambers at 10.30am today.

Carried

The meeting adjourned at 9.48am and reconvened at 10.30am in the Council Chambers.

4.8 Insurance Renewal - AON

The presentation did not take place at the meeting due to the presenters being inadvertently delayed.

5. Public Excluded Business

There was no business conducted in public excluded.

6. Closure of Meeting

The meeting concluded at 10.31am

Confirmed this 27th day of March 2018

Her Worship the Mayor Sheryl Mai (Chairperson)

4.1 Internal Audit 3 Year Rolling Plan 2019-2022

Meeting: Audit and Risk Committee
Date of meeting: 27 March 2019
Reporting officer: Emily Thompson (Audit and Risk Analyst)

1 Purpose

To present the updated internal audit strategy and the three year rolling plan for 2018-2021.

2 Recommendation

That the Audit and Risk Committee adopts the updated internal audit strategy and three year rolling plan for 2019-2022.

3 Background

Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve Whangarei District Council's operational processes. It helps Council accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.

The rolling internal audit strategic plan was approved at the March 2018 Audit and Risk Committee meeting. Since then we have conducted two internal audits covering procurement and revenue gathering activities, and the results of these have been reported back to this committee. Staff have now updated the plan to cover the next three years from 2019 to 2022. This is located at Attachment One.

The plan has been updated using information from the recently created departmental risk registers and discussions with departmental and senior managers. It has also been reviewed by local government peer groups and in consultation with our internal auditors.

The themes that will be used as internal audit focus for this year are contract management, giving of grants, privacy of data and rate review. These may change throughout the year if an area of concern is raised or other factors are identified to change the priority

4 Significance and engagement

The decisions or matters of this Agenda do not trigger the significance criteria outlined in Council's Significance and Engagement Policy, and the public will be informed via Agenda publication on the website.

5 Attachment

Attachment One: Internal Audit Strategy and Three -Year Rolling Plan 2019-2022

Internal Audit Strategy and Three-year Rolling Plan 2019-2022

CONTRIBUTION TO COUNCIL'S STRATEGIES

- 1.1. Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve Whangarei District Council's (WDC) operational processes. It helps the Council accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.

BACKGROUND

- 2.1 According to Council's Internal Audit Methodology, the Audit and Risk Analyst is responsible to develop and maintain internal audit strategies, plans, initiatives and processes. The Audit and Risk Analyst is also responsible to plan, co-ordinate and report on internal audits and other assurance related activities with support from contracted auditors/expertise where necessary.
- 2.2 Under the Risk Management Framework, the primary way risks are identified, analysed and managed is based around the four types of risks:

Strategic - through governance reports and workshops

Operational - through departmental risk workshops, and planning process.

Compliance - through management processes which identify the applicable requirements defined for example in laws, regulations, contracts, strategies and policies

Health and safety - through governance reports and management of all high-risk hazards identified and recorded in the workplace

INTERNAL AUDIT PLANNING PROCESS

- 3.1 The Rolling Internal Audit Strategic Plan has been updated to cover the next three years from 2019 to 2022 and the Internal Audit Annual Plan for 2018/19 and 2019/20.
- 3.2 The approach to assessing the internal audit needs of WDC included the following phased risk based approach:

Inputs

Review of key documents including the LTP, previous Audit Committee minutes, previous internal audit reports and prior year external audit management letters; to research the potential auditable areas for the Council, and understand the key strategic outcomes, objectives, issues, opportunities and changes anticipated

Identifying potential sources of obtaining assurance, e.g. external audit – year end audit and review of LTP, third party certification / review (ACC, IANZ)

Risk assessment workshops undertaken with the Council's departmental teams to identify key areas of risk for the council, and reports provided to SLT and Audit & Risk Committee are used to inform Internal audit items.

Process

From the above key inputs, the auditable areas for the Council were identified.

A review of resourcing and available budget indicates that Council currently has the

Internal Audit Strategy and Three-year Rolling Plan 2019-2022

capacity to complete 3 - 4 audits per annum. This is based on budget constraints and an average of 10 working days per audit and allowing for advisory and consulting activities related to risk management and internal controls

Classifying the audit areas for review as:

Governance audits – where established practice indicates regular oversight and review is required, e.g. legislative compliance, sensitive expenditure;

Core audits – focusing on the core processes and functions within Finance, Human Resources and ICT, e.g. procurement, accounts payable, leave management, network security

Strategic Plan

Prioritising the audits for 2019 based on Council's risk profile, management concerns and internal audit's insights to date.

Outputs

The deliverables from our planning process are the following internal audit plans, which are recommended to WDC management for approval and the Audit and Risk Committee for noting:

- An Internal Audit Work Programme for 2019.
- A 3-Year Rolling Internal Audit Strategic Plan and the Internal Audit Annual Plan for 2019/22 that will be tabled for approval by the Audit and Risk Committee in March 2019 (Appendix A).

High level objectives and scopes for each review anticipated are detailed in the 3-Year Rolling Internal Audit Strategic Plan and the Internal Audit Work Programme.

The agreed 3-Year Rolling Internal Audit Strategic Plan allows for flexibility to ensure appropriate coverage and alignment with Council's key risks. Any material changes to the plan will be communicated to the Audit and Risk Committee, as and when required.

INTERNAL AUDITS COMPLETED

In line with the previous Internal Audit strategy.

Task	Completion date	Reported to Audit & Risk Committee
Procurement Review	May 18	June 18
Revenue Review	Sept 18	Dec 18

Internal Audit Strategy and Three-year Rolling Plan 2019-2022

Note Health and Safety internal audit programme is managed by the Health and Safety team and is an ongoing programme or work across all areas of the hazards management and health and safety operations.

INTERNAL AUDIT 2019 WORK PROGRAMME

Through the Internal Audit planning process, an Internal Audit Work Programme for 2019 has been developed.

High level objectives and scopes for the reviews included in the Internal Audit Work Programme have been detailed in Appendix A of this report in the 3-Year Rolling Internal Audit Strategic Plan.

The proposed 2019 work programme is as follows:

Audit topic	2018/19 Indicative effort (days)	2018 /19 Indicative budget	Year/ Quarter
Contract Management	10	\$15,000	2019 - Q2
Giving Grants	10	\$ 15,000	2019 - Q3
Privacy of Data	10	\$15,000	2019 - Q4
Rates Review	10	\$15,000	2020- Q1
Total	40	\$60,000	-

In compiling this plan, consideration was given to the management's views relating to anticipated spend for the overall internal audit programme. Further considerations were WDC's overall internal audit needs assessment and plan in relation to how the work is allocated over the three years and how the plan compares to other organisations of a similar nature and size.

The above plan will be delivered by the Audit and Risk Analyst with support from contracted auditors/expertise where necessary. Fees have been determined based on the expected mix of contracted auditors and agreed discounted rates through a tender process.

The timing of the audits will be discussed with management on an ongoing basis, and any material change in timing or audit coverage will be communicated to the Audit and Risk Management Committee, as and when required.

Internal Audit Strategy and Three-year Rolling Plan 2019-2022

#	Audit Topic	Indicative Scope	Lead BU	Expected Year	Notes
1	Contract Management	Review of contract management across Council. Confirmation that Council have sufficient controls to ensure that contractors are working to the contract and providing value for money for ratepayers.	Contract owners	2019	In planning – field work due to start April 19
2	Giving Grants	Review of the processes for making grants across the council to include assessment of consistency, criteria for giving grants, transparent decision making, managing conflicts of interest and monitoring of grants given for intended purposes.	Community Development	2019	In planning – field work due to start July 19
3	Privacy of data	Review the retention and management of personal data in line with the privacy act. Including a review of controls across IT systems to ensure that ratepayer data is being gathered and used appropriately for its intended purpose.	Governance and ICT	2019	In Planning – field work due to start October 2019
4	Rates	Review of the process for updating rates database, rate determination, rate deferment decisions, collection of rates, rate rebates and refunds, remissions and monitoring of arrears.	Revenue	2019	In planning – Field work due to start January 2020
5	External Funding / Receiving Grants	A review of the processes to ensure compliance with grant conditions, Council's ability to secure grant funding and the monitoring and recording of grants received.	TBC	TBC	To be considered for inclusion in the scope for the giving of grants IA.

Internal Audit Strategy and Three-year Rolling Plan 2019-2022

#	Audit Topic	Indicative Scope	Lead BU	Expected Year	Notes
6	Debt management and credit control	Review of the controls in place over recording and collection of revenue, credit control, and debt management.	TBC	2020	
7	Operational Audit	Annual review of a key Council operation, to ensure risks are managed and controlled. Scope to include assessing budget control, performance measurement, compliance with resource consents / legislation, monitoring and reporting. 2019/20 = Pools /water treatment plants/sewerage treatment plants or other.	TBC	2020	
8	Development Contributions	A review of the process which is being utilised to calculate, charge and collect contributions, including mechanisms used to levy developers. Will also include review of the policy and models used to determine DC contributions including accounting for and applying of proceeds.	TBC	2020	
9	Training and development	To determine the effectiveness of staff training and development processes to support the business achieving its objectives. Includes the Council's development of leadership capability.	HR	2021	
10	Delegations	Assess the appropriateness of financial delegations to ensure processes are safeguarded and adherence with policy. Consider inclusion of non-financial delegations.	TBC	2022	

Internal Audit Strategy and Three-year Rolling Plan 2019-2022

#	Audit Topic	Indicative Scope	Lead BU	Expected Year	Notes
11	Revenue Charges	Assess that Council approved fees and charges are consistently and effectively applied (excludes rates and water charges as reviewed in point 20).	TBC	Future	
12	Parking Enforcement	Review of the controls for enforcing parking infringements and for compliance with procedures.	TBC	Future	
13	Management Reporting	Assess the design of performance reports that are submitted to Boards, LT, CE and Finance Committee - to determine the effectiveness of the reports in enabling Council / Officers to carry out its mandate, roles and to inform decision making.	TBC	Future	
14	Water Billing	Review of the process for recording water usage, processing of invoices and debt collection.	TBC	Future	
15	Capital Expenditure	Assessing the management, monitoring and reporting of capital expenditure.	TBC	Future	
16	Recreation and Civic Contributions	Review the process for recording and controlling recreation and civic financial contributions to ensure transactions are accurately and completed recorded and to ensure risks are appropriately	TBC	Future	
17	Property Leases	Review of rents on Council owned properties including setting the rent, income collection, and renewals.	TBC	Future	

Internal Audit Strategy and Three-year Rolling Plan 2019-2022

#	Audit Topic	Indicative Scope	Lead BU	Expected Year	Notes
18	Asset Management	Review of the condition of asset register and alignment to assets owned and managed by Council.	Asset Managers	Future	Due to current work in this space this audit has been delayed until after AMS project completion.
19	Forecasting and budgetary control	Review of the processes for forecasting operational and capital expenditure budgets, the budget setting and approval processes and the monthly budgetary control and re-forecasting processes for completeness and accuracy.	TBC	Future	Reviewed by External audit, may be removed from this schedule

Note: COO's have not been included in the scope of this internal audit schedule. Touch points with Council may be reviewed as part of specific audits. Specific exclusions to internal audit schedule are NTA, Landfills/ Northland Waste, WAM or other COO's operational processes.

4.2 Health and Safety Report

Meeting: Audit and Risk Committee
Date of meeting: 27 March 2019
Reporting officer: Desarae Williams (Health and Safety Manager)

1 Purpose

To provide the Audit and Risk Committee with information on key health and safety risks and the measures in place to mitigate those risks at the Whangarei District Council (WDC) workplace.

2 Recommendations

That the Audit and Risk Committee:

- a) Notes the Health and Safety report and;
- b) Commission a full safety risk assessment, prior to reaching a decision about permitting Lime Scooters or those of similar organisations, to use Council owned footpaths.

3 Background

Elected members have significant influence over our workplace and are obliged to:

- Apply due diligence to ensure the council is meeting legal health and safety obligations.
- Ensure that health and safety risks have been identified and are being suitably mitigated.
- Be confident that WDC is providing a safe workplace for workers.

This report provides key information that addresses these matters at a governance level.

4 Discussion

Risks

The top risks remain as detailed in the September and December 2018 reports (see Attachment) with the addition of traffic management requirements in the traffic and driving risk.

Recent matters of health and safety risk that may be of interest to the committee;

1. Chamber numbers: In the December report mention was made of moving the Citizenship Ceremony in Council Chambers due to occupancy numbers dictated by the

Forum North Emergency Evacuation Scheme. This information was based on a commissioned audit of the Forum North emergency evacuation system. Councillors may be interested to know that occupancy is limited to only 40 members of the public in the public area during council meetings. Increased occupancy will cause a breach of our approved Forum North Emergency Evacuation Scheme. Systems have been put in place to manage this risk including a protocol for dealing with possible protests during Council meetings in the Chamber. This process was enacted in February when it seemed we might get more than usual visitor numbers to a public Council meeting. Fortunately, visitor numbers were below the occupancy threshold.

2. Gun show: A report was commissioned by Councils General Manager - Community to examine the risks of holding the gun show with advice sought from local senior Police Officers. The event was approved to be held at Forum North, on the proviso that a number of increased security measures were met. The club advised that they thought the requirements posed too much effort to meet and decided they would hold the event elsewhere.
3. Asbestos: If an asbestos contaminated site is found in Northland we have an Asbestos Liaison Protocol that is followed. During an event, representatives of our Council, Northland Regional Council, the Northland District Health Board and WorkSafe NZ will meet and work together to ensure that the public and workers are not placed at risk from asbestos contamination. One agency will take the lead depending on the situation/incident. This protocol has been enacted several times recently including the fire at the Waipu shop and a privately-owned site on Porowini Avenue. As a result of the Waipu incident, we put together an internal process to deal with communication received about new events.
4. Drowning in Waste ponds: There have been two recent deaths involving members of the public drowning in other Councils waste ponds. WorkSafe NZ has for some time been advising us that accidents that happen in a workplace when there is no actual work being done are not notifiable incidents. Gore Council has advised that WorkSafe NZ are investigating into the recent death of a 3-year-old drowning at one of their fenced Council ponds. This has caused us to evaluate our Waste pond risks in this regard. Three sites were noted as being within 500 metres of a private dwelling or other buildings where public regularly meet. The outcome of WorkSafe NZ investigation has the potential to have a severe impact on us and all other Councils if they find that Gore Council had not taken all reasonably practicable steps to mitigate a drowning of a member of the public. While we reviewed our ponds, we have hundreds of other culverts and drains we have not reviewed as they are not generally considered workplaces. The Water Department has risks at dams and reservoirs..
5. Lime scooters. Councillors will be aware of the controversy surrounding the use of Lime scooters in large cities. Competitor companies are also likely to appear on the scene. There are a number of health and safety implications to consider before agreeing to having these rentable scooters using footpaths. If they do approach us this will need very careful review and consideration, with learnings gleaned from other Councils before agreeing to approve. There is a recommendation made to the committee in Section 2 of this report to commission a safety risk report before making a decision on this matter, should the need arise.
6. Chemwatch – a new software programme: A very positive item to report is a new software programme called Chemwatch. The programme provides extensive access to chemical health and safety information for all Council employees and contractors. The instant access to the safety data sheet (SDS) of any chemical is proving very valuable.

The system will also print out 1 page summary reports and labels. Staff have commented on the ease of use.

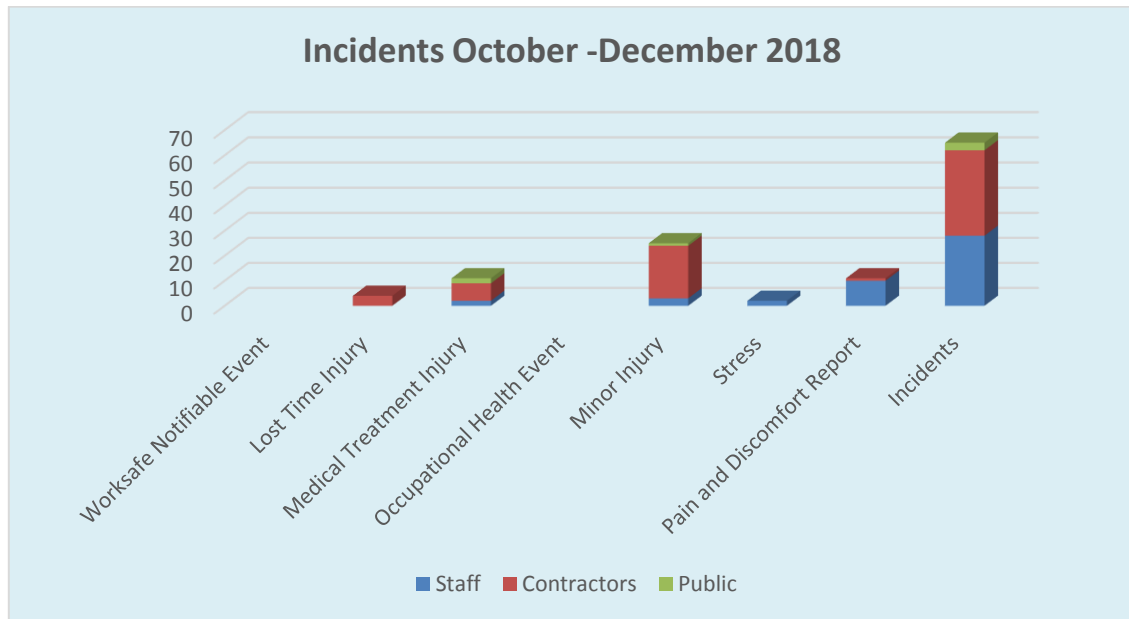
Injuries and Incidents

Injury Type	Employee October – December 2018	Contractor October – December 2018	Public October – December 2018	Totals October – December 2018	Last quarter	Trend Since last quarter
Injury event to WorkSafe NZ	0	0	0	0	0	Same
Lost time injury (injury needing days off)	0	4	0	4	1	↑
Medical treatment Injury (visited doctor or physio)	2	7	2	11	9	↑
Occupational health exposure	0	0	0	0	0	Same
Minor injuries (First Aid)	3	21	2	26	20	↑
Pain and Discomfort	12	1	0	14	15	↓
Incidents	28	34	3	65	60	↑

Table 1: Council workplace injuries 1 October – 31 December, 2018

One of our Community volunteers at the Tikipunga Falls was assaulted by a male offender, during the course of her duties. Flowers were sent to the volunteer and Police are investigating this matter at the time of writing this report.

The four lost time injuries reported in Table 1 are all Northland Waste Ltd injuries (namely a manual handling injury, two trips and slips and one worker hit on head by rebounding wine bottle when sorting on side of road).



Graph 1: Incidents reported by different groups

The Graph above shows in pictorial form, the reported incidents during this same period.

Incident Type	2013-2014	2014-2015	2015-16	2016-2017	2017 - 2018	Trend since previous year
Injury notifiable to WorkSafe NZ	3	6	2	3	0	↓
Lost Time Injuries	13	14	7	11	15	↑
Medical Treatment Injuries	37	19	46	51	88	↑
Occupational Health Exposure	0	0	0	11	4	↓
Minor Injuries	40	46	74	127	185	↑
Pain and Discomfort	9	18	84	109	149	↑
Incidents	137	116	382	283	454	↑

Table 2: Council workplace injuries over last five financial years

Improvement Notice issued by WorkSafe NZ: In January WorkSafe NZ issued our Council with an Improvement Notice. This was the result of a WorkSafe NZ Inspector coming across two of our staff working on a road corridor without a Traffic Management Plan (TMP). A response has since been provided to WorkSafe. The incident heightened awareness of our responsibilities, with many Council staff discovering they needed to be trained and work

under a generic TMP for some of their normal duties. There are some tasks which will not require a TMP, but many do, even if working on a footpath or verge.

Councillors may wonder how this might affect them. Generally, if going out and about inspecting roads or footpaths, with a Council Staff member, Councillors will fall under the TMP of that staff member or the contractor whose site they are visiting. However, the instructions of the Safety Traffic Management Supervisor (STMS), or the designated Traffic Controller (TC) must be followed. Any members of the public visiting with you will also need to follow requirements. This might include the wearing of high visibility vests and remaining behind stated barriers.

Serious vehicle accident: In January one of our staff was driving southbound on State Highway One to undertake a road inspection in Waipu. A northbound car crossed the centreline and veered into the Council car at the Oakleigh turn off area, causing it to spin around. The Council car was then struck by another (3rd) vehicle. The unlicensed driver of the northbound vehicle was unhurt while our employee and the driver of the third vehicle were injured. Both injured drivers were taken to hospital. Police are investigating the matter. This was a WorkSafe NZ notifiable event, but they are not investigating, preferring to leave to the Police. Our staff member suffered concussion, whiplash, broken ribs and wrist. She has since been on a graduated return to work plan.

Wellbeing in the Workplace

The Audit and Risk Committee expressed interest at previous meetings in cases of work related stress. Two cases were logged in this quarter. When the organisation becomes aware someone is under stress, whether the matter is logged or not, they will respond on an individual basis. To support our leaders and staff in this regard we have run the training programme Mental Health 101 which aims to give people the confidence to recognise, relate and respond to people experiencing mental illness. This was very positively received by all attendees. Work has also progressed on identifying and training some peer support personnel in the workplace.

A Workplace Wellbeing plan has been formulated by the People and Capability Department. This will be promoted out to staff in the near future.

A psychological risk safety plan has also been developed for Council. The document lays out areas of concern/possible exposure and the positive actions available/taken for matters relating to psychological wellbeing. Health and Safety Representatives have advised this is their key area of concern so it has been added as a regular agenda item to future health and Safety Committee meetings.

Health and Safety Plan

A new health and safety plan for the Council workplace has been drafted and is going through a consultation process. This plan is drafted and reviewed in consultation with the Health and Safety Committee and other Leaders.

New health and safety information booklet for elected Councillors

A health and safety induction booklet for Councillors has been drafted and at the time of writing of this report, was still in progress. This will be provided to existing Councillors and newly elected members.

Training

Internal training	External training
<ul style="list-style-type: none"> • Contractor H&S management training • Traffic management awareness sessions • New Team Leader and Manager training 	<ul style="list-style-type: none"> • First Aid (new and refreshers) • Confined space entry • Mental Health 101 training • Dog behavior safety

Table 3: Health and Safety Training undertaken since last report

The staff Council induction has been upgraded, partially due to incorporate an increased focus on road safety and TMP awareness with new staff and also the need to improve the general quality and consistency of these. Work on improving the contractor management induction is also in progress.

Due Diligence

Officers (including members of the Strategic Leadership Team) of the organisation periodically undertake due diligence health and safety walkarounds. A walkaround was undertaken in December at the Whau Valley Water Treatment site. Another is planned for the Waste Treatment plant in Kioreroa Road.

5 Significance and engagement

The decisions or matters of this report do not trigger the significance criteria outlined in Council's Significance and Engagement Policy, and the public will be informed via report publication on the website.

6 Attachment

Top Health and Safety Risks, October – December, 2018.

Attachment 1: Highest Health and Safety Risks in Whangarei District Council ‘workplaces’

These risks have been identified from the Council hazard register, based on residual (After controls put in place) risk scores.

Risk Description	Cause of the Risk	Consequence/ impact of an event happening	Inherent Risk Rating	Controls in Place	Residual Risk Rating	Future Controls	Future Risk Rating
Threats and aggression from members of public.	<p>Workers out in field coming across aggressive people, causing physical and/or emotional harm to workers.</p> <p>Aggressive people coming in or around our workplaces, causing physical and/or emotional harm to workers.</p> <p><i>Note: Why this risk remains so high, is the lack of control we have as council in controlling the behaviour of the public.</i></p>	Worksafe notifiable injury affecting workers	Critical	<ul style="list-style-type: none"> Security systems, policies, procedures and information in place to cover many eventualities Regular training sessions on what to do in threat and lockdown events. Training provided to cover off differing threat situations H&S & Security meetings held with other tenants and PCBU's Planned emergency drills, which check the effectiveness of the systems Audits of high risk areas CCTV and panic buttons installed Work alone devices and cell phones, to summon assistance Use of security companies to provide assistance Audits and monitoring 	High		Little change foreseen
Traffic, pedestrian and driving hazards	Poor driving behaviour of other people, causing accidents involving our workers, both in vehicles and as pedestrians.	One Worksafe notifiable injury or potentially many fatalities	Critical	<ul style="list-style-type: none"> Driver assessments Driver licence checks Driver – car control training provided for high use fleet drivers Driver checklists Driver inductions Safe access through traffic guidelines 	High		Little change foreseen

Risk Description	Cause of the Risk	Consequence/ impact of an event happening	Inherent Risk Rating	Controls in Place	Residual Risk Rating	Future Controls	Future Risk Rating
	Poor driving behaviour of our workers, causing accidents and injuries. <i>Note: Why this risk remains so high, is the lack of control we have as council in controlling the behaviour of the public.</i>			<ul style="list-style-type: none"> Staff informed of requirements Road safety and traffic management requirements 			
Workplace stress and fatigue	Work overload, working long hours and overtime (for a long period of time), bullying and other unreasonable behaviours, including unresolved conflict. This can be compounded by out of work issues.	WorkSafe NZ notifiable injury	Critical	<ul style="list-style-type: none"> EAP (Employee Assistance Programme) system available Encouragement to early report and resolve issues Policies in place giving guidance Fatigue management processes in place and monitoring Leader awareness of issues, with individual plans to resolve Support of individuals from People and Capability team Monitoring of this area and reporting 	High		
Contractors creating risks in the workplace	Contractors injuring themselves and others when undertaking council work or while at council workplace.	Multiple fatalities WorkSafe NZ and likely prosecution, affecting workers	Critical	<ul style="list-style-type: none"> Initial health and safety appraisal system, using a prequalification requirement of being SiteWise approved to 50% or more Annual review of existing contractors Stringent asbestos removal controls Monitoring processes Contractors informed of requirements and standards, with regular communication to contractors Council staff trained in requirements 	Medium		

Risk Description	Cause of the Risk	Consequence/ impact of an event happening	Inherent Risk Rating	Controls in Place	Residual Risk Rating	Future Controls	Future Risk Rating
				<ul style="list-style-type: none"> Contractor Management policy in place Permit to Work system in place Lockout system in place Induction of contractors 			
Slips and trips	Slippery surfaces, unrecognised trip hazards, people not paying attention	WorkSafe NZ notifiable injury affecting workers	High	<ul style="list-style-type: none"> Encouragement of reporting and remedying of the risk as soon as possible Workplace inspections Worker awareness 	Medium		
Work at heights (WAH)	Falling from height	WorkSafe NZ notifiable injury affecting workers	High	<ul style="list-style-type: none"> WAH training, with two-yearly refresher requirements WAH permit to work in place for high risk work at height WAH reviews and audits WAH Policy and procedures Fall prevention hardware, such as handrails and use of scaffolding Use of Elevated work platforms Assessments of risk and plans to work safely Supervision and monitoring WAH gear and equipment checked and certified 	Medium		
Confined space entries (CSE)	Entry into confined spaces where there is; insufficient oxygen, the risk of toxic or solvent chemicals, engulfment and energy sources or processes that could start up.	Multiple fatalities WorkSafe NZ Prosecution	High	<ul style="list-style-type: none"> Requirement to use CSE permit to work and suitable procedures CSE policy and procedures Only trained workers to enter with a two-yearly refresher requirement 	Medium		

Risk Description	Cause of the Risk	Consequence/ impact of an event happening	Inherent Risk Rating	Controls in Place	Residual Risk Rating	Future Controls	Future Risk Rating
		affecting workers		<ul style="list-style-type: none"> CSE registers in place, making it clear what is a confined space Air & gas monitoring requirements before and during entry Rescue plans planned in advance Monitoring and supervision Notification to our contractors about our standards and requirements 			
Fire and emergency in workplaces	<p>Unplanned fire, bomb threat, gas leak and similar causing the need to evacuate a building.</p> <p>Crowd control can become a risk in some workplaces, with the potential for crushing, if people panic.</p>	Multiple fatalities (But low probability)	High	<ul style="list-style-type: none"> Drills held six monthly in most workplaces, or annual table top review in small workplaces Procedures in place, that are regularly reviewed and updated Trained fire wardens Sprinkled buildings Approved fire evacuation schemes in place Emergency lighting and systems in place <p>Workers informed of risks and procedures to adhere to</p>	Medium	Hard wired smoke detectors	
Seismic risk at Kioreroa road Admin Building, Whau Valley Water Treatment building and Forum North	<p>Earthquake risk.</p> <p>The key aspect being, lack of compliance to new earthquake building standards, although not enforceable till 2025.</p>	Multiple fatalities (But note – very low probability)	High	<p>Nil, just awareness.</p> <p>Earthquake procedures available and two yearly drills arranged.</p>	Medium	Building new Water plant. One building concept – so staff not in at risk area. Remedial action at Waste plant	Eliminated

5.1 ICT Risk Report – March 2019

Meeting: Audit and Risk Committee
Date of meeting: 27 March 2019
Reporting officer: Ian Fernandes – ICT Manager

1 Purpose

To provide the Audit and Risk Committee with information on key ICT risks, and measures in place to mitigate those risks.

2 Recommendation

That the Audit and Risk Committee notes the information presented in the report.

3 Background

Information, Communication and Technology is critical to Council's business operations. Governance of ICT risks is an executive and board level responsibility. This report provides an overview of the status of ICT risks critical to the function of Council.

4 Discussion

The ICT general operational risk threat continues to operate at a medium level. Monitoring of cyber threat levels indicate normal rates of traffic with a spike in the increase of phishing attempts compared to last year. With the next phase of the ICT Strategic Business Transformation Strategy now in progress, programme risks are also being managed at an individual project level.

Legacy systems continue to provide current services throughout the organisation; their risk level increases over time.

4.1 General Operational Risks

The threat of a cyber-attack remains our single highest/critical risk. Essentially, while controls are in place and constantly monitored and updated to respond to the changing cyber environment, our best defence is still our staff.

To help equip our staff to be more vigilant in spotting SPAM emails we have deployed an online training tool called 'Phriendly Phishing' which has been completed by almost 70% of WDC staff. As part of the training automatic test SPAM emails randomly sent to staff and the click through rate after completing the training has decreased significantly. This campaign will run until the end of June.

Council operates a third-party mail firewall application that ensures forwarding rules cannot be externally manipulated. The rules around spam filtering have been adjusted in February 2019 and now ensure a higher level of scrutiny of our inbound email.

While deploying software-based solutions to monitor and deflect any potential attacks is part of the tool kit in responding to threats, there is a balance in ensuring that the business can still operate effectively without being hindered by blocks on all activity.

Associated risks around device patch management, i.e. keeping device software updated and having the appropriate levels of skilled resources to manage operations, also remain medium to high risks.

4.2 Legacy Systems Continuation

There are numerous risks with maintaining a legacy system within any organisation. Several of the risks pertinent to WDC are:

- The cost of maintaining legacy systems can easily sky rocket. E.g. as no companies officially support Corporate Vision any more, obtaining support when required will be difficult to do, and very expensive. There is also the continual cost of the operation of the systems supporting those legacy systems. They all have to be “fed and watered” to keep them running alongside the newer systems, and often have an increasingly high licensing cost as supporting companies seek to remove support for them. They often increase those costs as an incentive to move to newer platforms.
- Legacy systems, and in particular the XenApp system we use to provide several legacy components, are often no longer able to have security updates applied to them. This results in legacy system becoming security risks to the organisation.
- Older systems have increased failure rates. The longer a piece of equipment or software runs, the higher the likelihood of reaching a tipping point that causes catastrophic failure. This is particularly the case for hardware, but also older software can experience issues where the software designer didn't foresee the life expectancy being so long.
- Legacy and newer technology very rarely work together. This can result in the legacy system remaining for longer than desired. It is important to supersede legacy systems as soon as is practicable. The longer the period since the system was current, the less the success rate in processes such as conversion, interoperation or intercommunication.
- Dwindling Talent Pool. This is probably one of the higher risk areas. Council's staff change over time, and tacit knowledge goes when staff leave. Again, using Corporate Vision as the example; there are no ICT staff still here that were employed by WDC when CV was implemented. As such the ability to support it internally is almost zero.

All legacy systems have these issues somewhere in their future. The key is for the projects that are tasked to replace or upgrade them, to ensure that the legacy system has a “drop dead” date that is a success criteria for the project. This was not the case for Project Core, that replaced Corporate Vision with Technology 1, nor for the Hansen 8 project that upgraded Hansen 7. Both legacy systems are still being provided via the XenApp environment, which in itself is now well out of date, and also no longer supported officially. This creates a high risk of failure for the organisation.

A profile of our systems was done in mid-2018. There were 78 systems identified as being legacy, some have since been replaced, however the following are still considered as extreme risk:

- Assure32
- Avaya
- Corporate Vision
- Hansen 7
- Windows Server 2003
- SQL Server 2005
- Symphony
- Rendezvous
- XenApp

A plan is being formulated to replace systems that are still in use and migrate data from systems that are only used as a reference point after which these can be retired.

4.3 Business Continuity

ICT operates an extensive Disaster Recovery (DR) plan which provides an action plan for keeping our services running in several disaster or outage scenarios. Continuous improvement within ICT has seen fundamental changes in the way our IT services are managed and delivered. New DR plans were developed and implemented in 2018.

We have tested our Disaster Recovery (DR) process by performing a production wide test in April 2018. All critical services were “switched-over” to our DR site based in Auckland. The test was a huge success and puts Council at the forefront of testing DR plans. There were a few improvements highlighted during the post implementation review with the critical recommendations currently being actioned.

This test is slated to be done annually. Due to other organisational commitments, this year it is expected to be run in August.

4.4 Trilogy Phase 2 – Strategic Project Risks

The projects operating under the Trilogy Phase 2 programme maintain and manage a shared programme risk register. Key risks are shared with project steering committees, with critical risks escalated to the Strategic Leadership team in their role as the ICT Strategic Governance team.

Top current project risks include:

Project	Risk	Triggered by	Mitigation	Risk Rating
Technology One CiA Upgrade	Data migration currently taking too long	Council are one of 3 early adopters of the new Technology One CiA interface, which brings substantial change to the functions and how they are used.	Investigating archive tools and new approach to migration	High
Digital Platform	Vetting process to determine vendor stability, effectiveness of proposed web platform and ongoing support	Initial analysis of implementation costs and ongoing support costs of proposed platform.	Eliciting external impartial consultancy to assist in identifying outcomes, scope and options to facilitate with RFP process.	Medium
All Projects	Ability to deliver to project outcomes and timelines may be compromised where additional ICT change requests require a diversion of the ICT team's attention.	Additional and ancillary change requests from business units. Unplanned work.	Hold the line on the agreed Change Moratorium for ICT changes during the programme timeline.	Medium

5 Significance and engagement

The decisions or matters of this report do not trigger the significance criteria outlined in Council's Significance and Engagement Policy, and the public will be informed via report publication on the website.

5.2 Financial Management Activity Update Report - March 2019

Meeting: Audit and Risk Committee
Date of meeting: 27 March 2019
Reporting officer: Delyse Henwood (Financial Manager)

1 Purpose

To update the Committee on financial management activity over the previous three month period and upcoming financial matters.

2 Recommendation

That the Audit and Risk Committee notes the financial management activity over the previous three months.

3 Discussion

2018-19 Annual Report

Planning for the 2018-19 Annual Report continues to progress both internally and through continued communication with Audit NZ.

Interim audit is planned for the two weeks beginning 29 April 2019, with the final audit scheduled to begin on 26 August 2019.

Audit NZ have provided a draft audit plan. The plan outlines:

- the main issues Audit NZ expect to deal with during the audit
- the logistics and timing of the audit
- audit process, and
- reporting protocols.

The main issues identified by Audit NZ include:

- Valuation of PPE and Investment Properties
- Hundertwasser Wairau Maori Arts Centre
- Significant projects – Whau Valley Water Treatment Plant and Civic Centre
- Risk of management override
- Carry forwards
- Effective corruption prevention and detection controls (this is largely a focus area for the OAG)

As in previous years, the final audit opinion will be issued on 26 September to allow for the adoption of the 2018-19 Annual Report at the September Council meeting.

Audit New Zealand Annual Client update

Audit NZ have invited WDC to speak at their Annual Client Update in April in a session called 'what good looks like'. The brief is to discuss the metamorphosis of our annual report process over the last years, as well as our relationship with Audit NZ, which is seen as an exemplar for the sector.

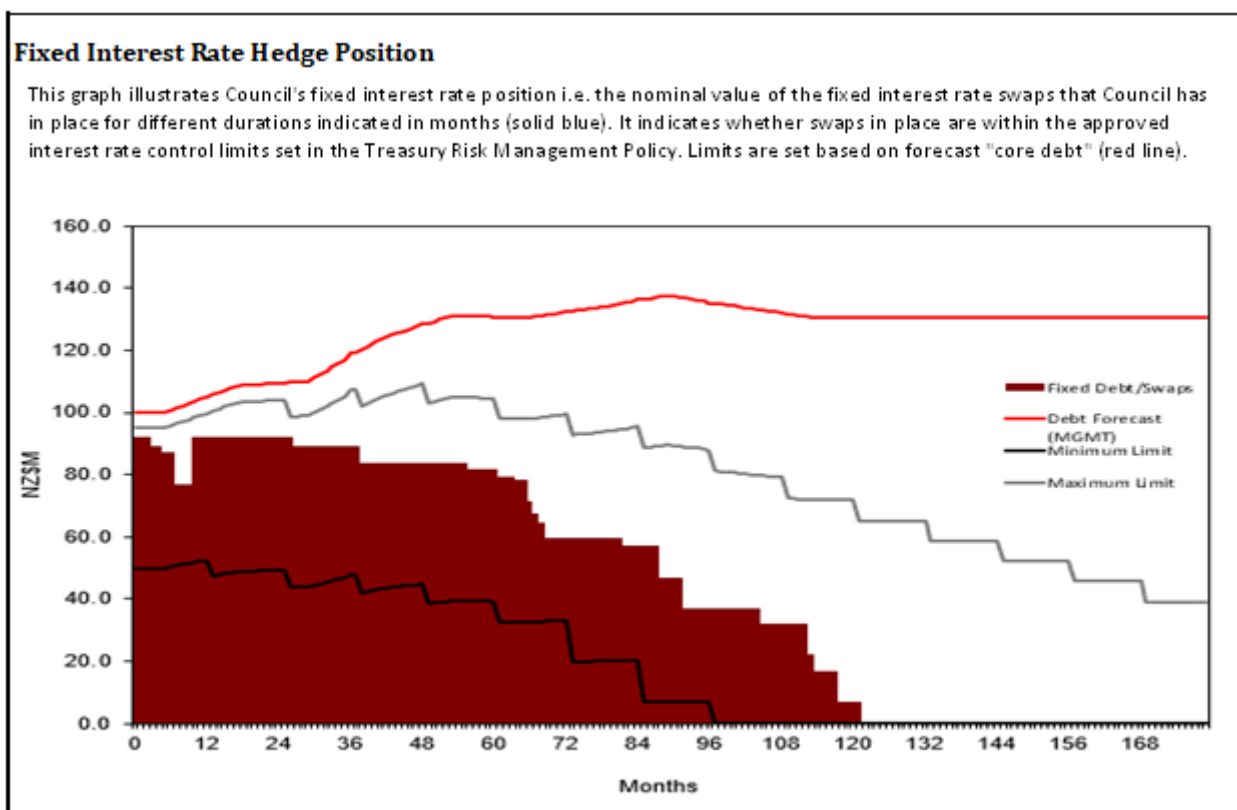
Tax Compliance

A number of workshops were held in February with our external tax advisors PwC. Workshops included payday filing, grants and donations, and property transactions. The workshops were well attended by staff and provided a strong platform to increase awareness of our tax obligations and intricacies.

We are continuing to progress the review of property transactions, and are currently awaiting further information from Thomson Wilson.

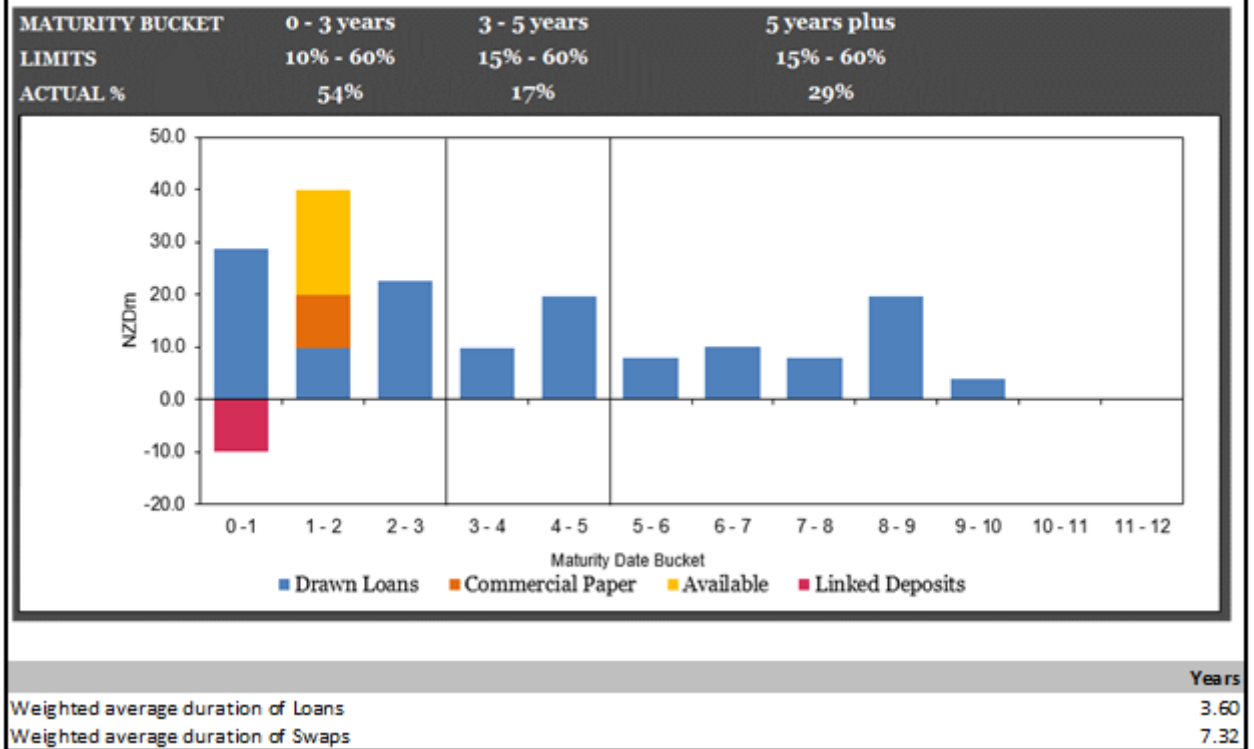
Treasury Risk Management

The graphs below show Council's compliance to the risk parameters set out in the Treasury Risk Management Policy.



Funding Maturity

This graph illustrates the maturity of Council's total external debt against the approved limits within each maturity bucket. Current limits for each bucket are set in the Treasury Risk Management Policy and shown in the graph below, with percentages calculated on total external debt.



4 Significance and engagement

The decisions or matters of this agenda do not trigger the significance criteria outlined in Council's Significance and Engagement Policy, and the public will be informed via agenda publication on the website.

5.3 Risk Report March 2019

Meeting: Audit and Risk Committee
Date of meeting: 27 March 2019
Reporting officer: Emily Thompson (Audit and Risk Analyst)

1 Purpose

To provide an overview of the current risk profile across Council

2 Recommendation

That the Audit and Risk Committee notes the report outlining the current risks across Council.

3 Background

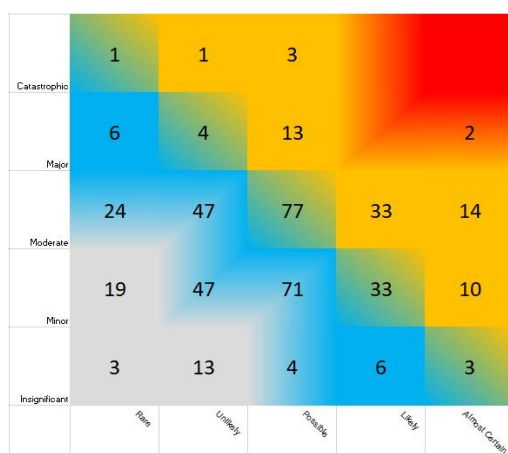
Council adopted its Risk Management Framework in April 2016, and this has been embedded via risk workshops with operational departments.

Departmental teams now review and update their risk register as part of the reporting process, the Audit and Risk Analyst continues to offer support to departments to assist with full reviews of the risk registers or specific risk reviews.

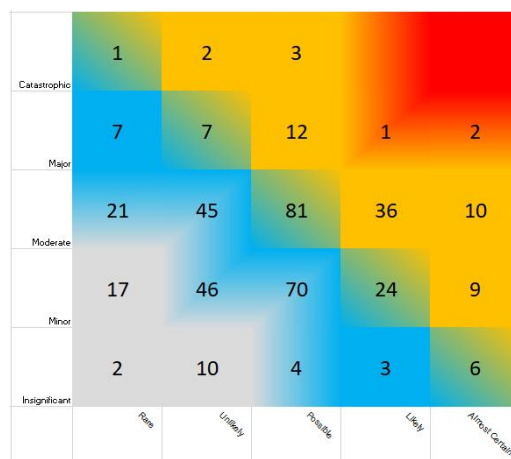
4 Discussion

The risk spread for Council is shown below and compared with the risk spread from the last 3 meetings.

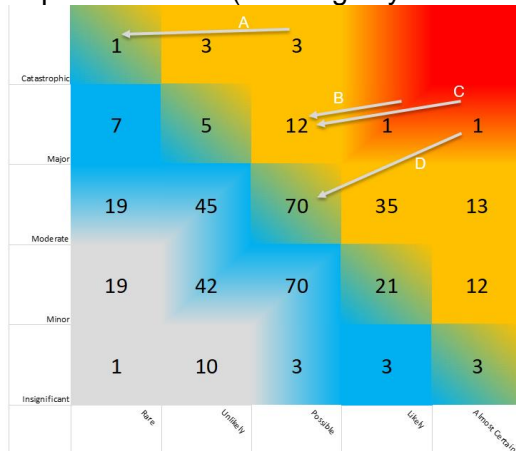
Current (March 2019)



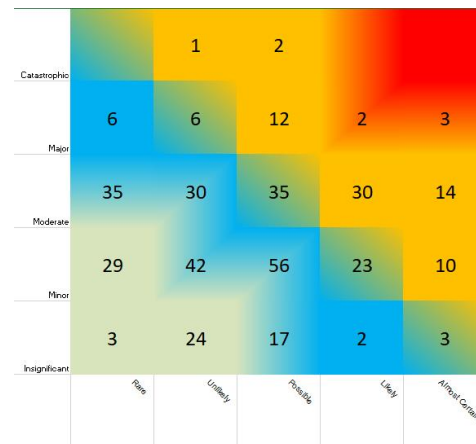
December 2018



September 2018 (showing key movement)



June 2018



In addition to the departmental risk registers the following areas that may present strategic risks are on the horizon and will be reported via issues and updates:

- Civic Centre development,
- NEC lighting upgrade in time for WRWC

Council also need to be aware of matters arising from NZ Audit relating to all Councils. The areas highlighted by the office of the auditor general suggest that Council's should be looking at:

- Collecting better information about critical assets to support better planning
- Recognising the challenge we face in managing the impacts of a changing climate
- Ensuring that the next LTP process is fit for purpose and aligns with the technological changes to community communication.

5 Significance and engagement

The decisions or matters of this Agenda do not trigger the significance criteria outlined in Council's Significance and Engagement Policy, and the public will be informed via Agenda publication on the website

5.4 Policy Register Update – March 2019

Meeting: Audit and Risk Committee
Date of meeting: 27 March 2019
Reporting officer: Emily Thompson (Audit and Risk Analyst)

1 Purpose

To update the status of the internal policy programme and the process of ongoing management of both internal and external policies.

2 Recommendation

That the Audit and Risk Committee notes the report.

3 Background

The Audit and Risk Committee has a responsibility to monitor the reviewing and updating of policies across Council. This includes both internal policies and external policies.

The policies are currently updated by the operational owner when policies are due for review. The work on Kete is now complete, and the new workflow process for managing policies is now available to staff. Due to other operational priorities, the roll out of the training has been delayed, therefore staff are currently working to ensure that we have the latest information in the policy register.

Staff continue to socialise the new processes and will be arranging training in the next few months. This will include a full and final recheck of current policy data.

This is being overseen by the Audit and Risk Analyst and the Strategy Team.

4 Discussion

The current policy register is attached, this was compiled from the Kete register and the previous spreadsheet view. It shows that Council has:

- 76 External policies
- 64 Internal Policies

There are a number of policies showing as overdue for review, this is partly due to the change in review timeframes that was introduced with the updated policy process. As part of this change, the default timeframe for review has been set to 3 years, previously it may have been 5 years or 10 years. This change is still being socialised with staff who own the documents to ensure it is appropriate for their policies.

5 Significance and engagement

The decisions or matters of this Agenda do not trigger the significance criteria outlined in Council's Significance and Engagement Policy, and the public will be informed via agenda publication on the website.

6 Attachment

Council Policy Status Report March 2019

Record Number	Policy Title	Main focus (Internal/External)	Owner Department	Department Manager	Last Review Date	Next Review Date	Links to WDC Bylaws	Associated Legislation (if applicable)	Legislative Review Period (if applicable)
POLICY0017	Alfresco Dining Policy (Policy017)	Policy External	Role - Manager - Health and Bylaws	Renier Mussle	13/02/2013	30/06/2017	Public Places Bylaw 2014, Hawkers, Mobile Shops, Stalls and Stalls Bylaw 2005	No associated legislation but linkages to three WDC Bylaws	No legislative review period
POLICY0018	Appointments to Council Organisations Policy (Policy018)	Policy External	Role - Manager - Democracy and Assurance	Tracey Schiebli	1/07/2003	30/06/2007		Local Government Act 2002: Section 58	No legislative review period
POLICY0019	Arts Culture and Heritage Policy (Policy019)	Policy External	Role - Manager - Community Development	Jonny Gritt	1/04/2009	30/03/2018			
POLICY0020	Backflow Prevention Policy and Code of Practice (Policy020)	Policy External	Role - Manager - Water Services	Andrew Venmore	1/06/2015	30/05/2020	Water Supply Bylaw	Health (Drinking Water) Amendment Act 2007	No legislative review period
POLICY0021	Board Venue Policy (Policy021)	Policy External	Shireen Munday	Shireen Munday	24/04/2013	23/04/2016		Racing Act 2003	3 yearly
POLICY0022	Building Over or near Public Sewers and stormwater Pipelines Policy (Policy022)	Policy External	Role - Manager - Waste and Drainage	Andrew Carvell	10/06/2015	9/05/2020			
POLICY0024	Bus shelters – Smoke free policy	Policy External	Roading	Jeffrey Devine	11/12/2013	1/05/2018			
POLICY0025	Camping Ground Exemption Policy (Policy025)	Policy External	Role - Manager - Health and Bylaws	Renier Mussle	1/11/2015	31/10/2018		Camping Ground Regulations 1985	No legislative review period
POLICY0026	Civic Honours Awards Policy (Policy026)	Policy External	Role - Manager - Community Development	Jonny Gritt	22/06/2016	21/06/2020			
POLICY0027	Class 4 Gambling Venue Policy	Policy External	Health & Bylaws	Renier Mussle	24/04/2013	1/09/2017		Gambling Act 2003	3 yearly
POLICY0028	Coastal Erosion Protection Policy (Policy028)	Policy External	Role - Manager - Parks and Recreation	Sue Hodge	9/09/2015	8/06/2019			
POLICY0030	Community Facilities - Operating and Maintenance Policy (Policy030)	Policy External	Role - Manager - Parks and Recreation	Sue Hodge	1/09/2015	29/06/2019			
POLICY0031	Community Funding Policy (Policy031)	Policy External	Role - Manager - Community Development	Jonny Gritt	27/05/2015	25/04/2021			
POLICY0032	Community Libraries - Services	Policy External	Role - Manager - Libraries	Paula Ulrich	27/05/2015	28/05/2020			
POLICY0033	Release of Confidential Items Policy (Policy033)	Policy External	Role - Manager - Democracy and Assurance	Tracey Schiebli		N/A		Local Government Official Information and Meetings Act 1987	No legislative review period
POLICY0034	Council Owned Sportsparks Playgrounds and Neighbourhood Reserves - Smoke Free Policy	Policy External	Role - Manager - Parks and Recreation	Sue Hodge	9/09/2015	8/06/2019			
POLICY0035	Dangerous Insanitary and Earthquake Prone Buildings Policy (Policy035)	Policy External	Role - Manager - Building Control	Paul Cook	1/12/2012	30/11/2017		Building Act 2004: Sections 131-132A	5 yearly
POLICY0036	Development Contributions Policy (Policy036)	Policy External	Role - Manager - RMA Consents	Murray McDonald	24/06/2015	23/06/2018		Local Government Act: Sections 102 and 106	3 yearly
POLICY0037	Disposal of Crown Owned Reserves where Management is Vested in Council (Policy037)	Policy External	Role - Manager - Parks and Recreation	Sue Hodge	1/10/2015	30/09/2018			
POLICY0038	Dog Management Policy (Policy038)	Policy External	Role - Manager - Health and Bylaws	Renier Mussle	1/03/2013	27/02/2023	Dog Management Bylaw 2013	Dog Control Act 1996	10 yearly (maximum)
POLICY0039	File Control Recovery (Policy039)	Policy External	Role - Manager - Infrastructure Development	Alison Thompson	9/09/2015	8/08/2020	Fires In the Open Air Bylaw 2015	Forest and Rural Fires Act 1977	No legislative review period
POLICY0040	Forests - Recreational Use Policy (Policy040)	Policy External	Role - Manager - Parks and Recreation	Sue Hodge	1/08/2015	1/07/2019	Public Places Bylaw 2014, Hawkers, Mobile Shops, Stalls and Stalls Bylaw 2005		
POLICY0041	Fraud and Whistleblowing Policy (Policy041)	Policy External	Role - Audit and Risk Analyst	Tracey Schiebli	12/03/2018	12/03/2021			
POLICY0044	Leases - Parks and Recreation Policy (Policy044)	Policy External	Role - Manager - Parks and Recreation	Sue Hodge	22/03/1999	1/07/2019			
POLICY0045	Leasing Sportsfields to Clubs Policy (Policy045)	Policy External	Role - Manager - Parks and Recreation	Sue Hodge	1/08/2015	31/07/2019			
POLICY0048	Liquor Licensing Policy (Policy048)	Policy External	Role - Manager - Health and Bylaws	Renier Mussle	1/01/2014	31/12/2019		Made under Sale of Liquor Act 1989 now Sale and Supply of Alcohol Act 2012	Review period is 6 years for Local Alcohol Policy once it has passed through provisional stage and operative.
POLICY0049	On Road Parking Restrictions Policy (Policy049)	Policy External	Role - Manager - Roading	Jeffrey Devine	1/11/2015	30/10/2020			
POLICY0050	Pensioner Housing Policy (Policy050)	Policy External	Role - Manager - Community Development	Jonny Gritt	25/03/2015	24/03/2017		Residential Tenancies Act 1986	No legislative review period
POLICY0051	Performance Bond Policy (Policy051)	Policy External	Role - Manager - RMA Consents	Murray McDonald	1/08/2015	31/07/2018		Resource Management Act 1991	No legislative review period
POLICY0052	Policy for Undertaking Enforcement Action under the Building Act 2004 (Policy052)	Policy External	Role - Manager - Building Control	Paul Cook	1/06/2015	1/06/2018		Building Act 2004: Sections 85,86,100-110,116B,128A,168,199,225,364,365,367,368,369371D,379 and 380.	No legislative review period
POLICY0053	Policy for Variations and Plan Changes (Policy053)	Policy External	Role - Manager - District Plan	Melissa McGrath	11/03/2015	1/03/2018		Resource Management Act 1991	No legislative review period
POLICY0054	Policy on Elected Members Allowances and Recovery of Expenses (Policy054)	Policy External	Role - Manager - Democracy and Assurance	Tracey Schiebli	31/08/2018	30/08/2021		Local Government Act 2002: Schedule 7, clause 6	No legislative review period
POLICY0056	Pressure Sewer Policy (Policy056)	Policy External	Role - Manager - Waste and Drainage	Andrew Carvell	1/05/2012	30/04/2018			
POLICY0057	Private-Charitable Organisations - Transfer of Title (Policy057)	Policy External	Role - Manager - Parks and Recreation	Sue Hodge	1/08/2015	1/07/2019			
POLICY0058	Property - Sale of Reserve Land Policy (Policy058)	Policy External	Role - Manager - Parks and Recreation	Sue Hodge	9/09/2015	1/07/2019		Under review	
POLICY0059	Retirement Villages Policy (Policy059)	Policy External	Role - Manager - Community Development	Jonny Gritt	1/08/2015	31/07/2017			
POLICY0060	Revenue and Financing Policy (Policy060)	Policy External	Role - Manager - Finance	Delyse Henwood	1/07/2015	30/06/2018		Local Government Act 2002: Section 102 (2)	No legislative review period
POLICY0061	River Management Policy (Policy061)	Policy External	Role - Manager - Waste and Drainage	Andrew Carvell	1/05/2015	30/04/2018			

Record Number	Policy Title	Main focus (Internal/External)	Owner Department	Department Manager	Last Review Date	Next Review Date	Links to WDC Bylaws	Associated Legislation (if applicable)	Legislative Review Period (if applicable)
POLICY0063	Road Encroachment Licenses for Permanent Structures (Policy063)	Policy External	Role - Manager - Roading	Jeffrey Devine	1/11/2015	1/11/2020			
POLICY0064	Road Naming Policy (Policy064)	Policy External	Role - Manager - RMA Consents	Murray McDonald	1/09/2015	31/08/2018		Local Government Act	No legislative review period
POLICY0065	Rural Fire Policy (Policy065)	Policy External	Role - Manager - Infrastructure Development	Alison Thompson	11/11/2015	10/10/2020	Fires In the Open Air Bylaw 2015	Forest and Rural Fires Act 1977	No legislative review period
POLICY0066	Service Connections - Water Policy (Policy066)	Policy External	Role - Manager - Water Services	Andrew Venmore	1/11/2015	30/10/2020			
POLICY0067	Spray Use Policy (Policy067)	Policy External	Role - Manager - Parks and Recreation	Sue Hodge	1/02/2016	1/09/2019			
POLICY0069	Strategic Seal Extension Policy (Policy069)	Policy External	Role - Manager - Roading	Jeffrey Devine	1/11/2015	30/10/2020			
POLICY0070	Structures on Coastal Reserves (Policy070)	Policy External	Role - Manager - Parks and Recreation	Sue Hodge	31/03/2014	29/06/2019	Public Places Bylaw 2014		
POLICY0071	Town Basin Control of Activities Policy (Policy071)	Policy External	Role - Manager - Venues and Events WHANGAREI	Carina De Graff	1/03/2015	28/02/2018	Public Places Bylaw 2014, Hawkers, Mobile Shops, Stands and Stalls Bylaw 2005		
POLICY0072	Traffic Constraints Policy (Slow Streets) (Policy072)	Policy External	Role - Manager - Roading	Jeffrey Devine	1/11/2015	30/10/2020			
POLICY0073	Tree Policy (Policy073)	Policy External	Role - Manager - Parks and Recreation	Sue Hodge	31/07/1991	1/07/2019			
POLICY0074	Uncompleted Works Bonds Policy (Policy074)	Policy External	Role - Manager - RMA Consents	Murray McDonald	1/02/2016	31/01/2019		Resource Management Act 1991	No legislative review period
POLICY0075	Water Conservation Policy (Policy075)	Policy External	Role - Manager - Water Services	Andrew Venmore	1/10/2015	29/09/2020			
POLICY0076	Water Revenue Policy (Policy076)	Policy External	Role - Manager - Water Services	Andrew Venmore	1/05/2015	30/04/2018		Local Government (Rating) Act 2002	No legislative review period
POLICY0077	Youth Policy (Policy077)	Policy External	Role - Manager - Community Development	Jonny Gritt	8/02/2017	8/02/2020			
POLICY0078	Property Policy (Policy078)	Policy External	Role - Commercial Portfolio Manager	Mike Hibbert	1/03/2016	1/03/2019			
POLICY0079	Psychoactive Substances Policy (Policy079)	Policy External	Role - Manager - Community Development	Jonny Gritt	1/06/2014	31/05/2019		Psychoactive Substances Act	5 Yearly
POLICY0080	Rates Remission and Postponement Policy Including Maori Freehold Land (Policy080)	Policy External	Role - Manager - Revenue	Alison Purchaux	28/06/2018	27/06/2021		Local Government Act 2002: Sections 102 (3) and 108	Annually
POLICY0081	Significance and Engagement Policy (Policy081)	Policy External	Role - Manager - Democracy and Assurance	Tracey Schiebli	28/09/2017	27/09/2020		Local Government Act 2002: Section 76AA	No legislative review period
POLICY0082	Accessibility Policy (Policy082)	Policy External	Role - Manager - Community Development	Jonny Gritt	1/11/2014	31/10/2019			
POLICY0086	Procurement Policy (Policy086)	Policy External	Role - Manager - Business Support	TBA - Business Suppport Manager	25/10/2018	24/10/2021			
POLICY0087	Tax Governance Framework (Policy087)	Policy External	Role - Manager - Finance	Delyse Henwood	1/12/2014	1/11/2019			
POLICY0088	Treasury Risk Management Policy - Including Liability and Investment Policy (Policy088)	Policy External	Role - Manager - Finance	Delyse Henwood	2/04/2015	23/04/2018		Local Government Act 2002: Section 102 (2), 104 and 105	3 yearly
POLICY0089	Fees Policy - Tree Protection - District Plan (Policy089)	Policy External	Role - Manager - District Plan	Melissa McGrath	1/04/2015	31/03/2018		District Plan under the RMA	No legislative review period
POLICY0124	Road Closure Policy for Motor Vehicle Events (Policy124)	Policy External	Role - Manager - Venues and Events WHANGAREI	Carina De Graff	1/08/2016	1/08/2019	Public Places Bylaw 2014		
POLICY0129	Stabilisation Systems for Land Development (Policy129)	Policy External	Role - General Manager - Infrastructure	Simon Weston	1/04/2018	31/05/2021			
POLICY0131	Asset Management Policy (Policy131)	Policy External	Role - General Manager - Infrastructure	Alison Thompson	9/12/2016	9/12/2019			
POLICY0132	Business Continuity Management Policy (Policy132)	Policy External	Role - Audit and Risk Analyst	Emily Thompson	1/04/2018	31/05/2021			
POLICY0133	Whangarei Living Roof Guide (Policy133)	Policy External	Role - Manager - Strategy	Tony Horton	25/08/2017	24/08/2022			
POLICY0135	Class 4 Gambling Venues Policy (Policy135)	Policy External	Role - Manager - Health and Bylaws	Renier Mussle	24/04/2013	23/04/2016			
POLICY0136	Development Contributions Policy (Policy136)	Policy External	Role - Manager - Revenue	Alison Purchaux	1/07/2015	30/06/2018			
POLICY0138	Smoke Free District (Policy138)	Policy External	Role - Manager - Strategy	Tony Horton	25/10/2018	24/10/2021			
POLICY0139	Easter Sunday Shop Trading Policy (Policy139)	Policy External	Role - Strategic Planner	Tony Horton	21/02/2019	20/02/2024			
POLICY0150	Delegations Policy (Policy150)	Policy External	Role - Audit and Risk Analyst	Emily Thompson	29/11/2018	28/11/2021			
POLICY0181	Community Gardens Policy (Policy181)	Policy External	Role - Manager - Parks and Recreation	Sue Hodge	31/05/2018	30/05/2023			
POLICY0002	Staff Moves, Additions and Changes Policy (Policy002)	Policy Internal	Role - Manager - ICT	Ian Fernandes	1/10/2014	30/09/2016			
POLICY0003	Electronic Transmission and Transaction Policy (Policy003)	Policy Internal	Role - Manager - ICT	Ian Fernandes	1/10/2014	30/09/2016			
POLICY0005	Equipment Purchases and BYOD Policy (Policy005)	Policy Internal	Role - ECM Administrator	Role - ECM Administrator	1/10/2014	30/09/2016			
POLICY0006	Data and Information Compliance Policy (Policy006)	Policy Internal	Role - Manager - ICT	Ian Fernandes	1/10/2014	30/09/2016			
POLICY0007	Asset Refresh Policy (Policy007)	Policy Internal	Role - Manager - ICT	Ian Fernandes	1/10/2014	30/09/2016			
POLICY0008	IT Access Control Policy (Policy008)	Policy Internal	Role - Manager - ICT	Ian Fernandes	1/10/2014	30/09/2016			
POLICY0012	Crime and Incident Policy (Policy012)	Policy Internal	Role - Manager - ICT	Ian Fernandes	1/10/2014	30/09/2016			
POLICY0013	Software Procurement and Changes Policy (Policy013)	Policy Internal	Role - Manager - ICT	Ian Fernandes	1/10/2014	30/09/2016			
POLICY0014	IT Infrastructure On-Call (Policy014)	Policy Internal	Role - Manager - ICT	Ian Fernandes	1/10/2014	30/09/2016			
POLICY0015	Contractor Engagement and Exit Policy (Policy015)	Policy Internal	Role - Manager - ICT	Ian Fernandes	1/10/2014	30/09/2016			
POLICY0016	All ICT System Acceptable Use Policy (Policy016)	Policy Internal	Role - Manager - ICT	Ian Fernandes	1/10/2014	30/09/2016			
POLICY0042	Independent Qualified Persons Policy (Policy042)	Policy Internal	Role - Manager - Building Control	Paul Cook	1/07/2015	1/07/2019		Building Act 2004: Sections 7, 108,109 and 110	No legislative review period
POLICY0046	Liability for Damage Caused by Manhole Covers and Footpaths	Policy Internal	Roading	Jeffrey Devine	15/09/2016	1/09/2021			
POLICY0083	Leave Policy (Policy083)	Policy Internal	Role - Business Partner - People & Capability	Jenny Antunovich	1/08/2015	31/07/2018			
POLICY0084	Preventing and Responding to Unreasonable Behaviours in the Workplace Policy (Policy084)	Policy Internal	Role - Business Partner - People & Capability	Jenny Antunovich	1/02/2015	31/01/2018			

Record Number	Policy Title	Main focus (Internal/External)	Owner Department	Department Manager	Last Review Date	Next Review Date	Links to WDC Bylaws	Associated Legislation (if applicable)	Legislative Review Period (if applicable)
POLICY0085	Pain and Discomfort Policy (Policy085)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	24/03/2017	24/03/2019			
POLICY0090	Property, Plant and Equipment Capitalisation Policy (Policy090)	Policy Internal	Role - Manager - Finance	Delyse Henwood	31/07/2016	30/07/2019			
POLICY0091	Visitor Policy (Policy091)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/09/2016	30/08/2019			
POLICY0092	Contractor Health and Safety Management Policy (Policy092)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	24/03/2017	24/03/2019			
POLICY0093	First Aid Policy (Policy093)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	17/05/2017	17/05/2019			
POLICY0094	Worker Participation Policy (Policy094)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/09/2016	1/09/2018			
POLICY0095	Working Alone Policy (Policy095)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/09/2016	1/09/2019			
POLICY0096	Eye Care and Protection Policy (Policy096)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/11/2018	31/10/2020			
POLICY0097	Accident and Incident Management Policy (Policy097)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	24/03/2017	23/03/2020			
POLICY0098	Emergency Management Policy (Policy098)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/10/2016	1/10/2019			
POLICY0099	Health and Safety Policy (Policy099)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/09/2016	1/09/2017			
POLICY0100	Asbestos Management Policy (Policy100)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/10/2016	1/10/2017			
POLICY0101	Volunteer Health and Safety Policy (Policy101)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/09/2016	1/09/2017			
POLICY0102	Fatigue Prevention Policy (Policy102)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/09/2016	1/09/2018			
POLICY0103	Healthy Choices Policy (Policy103)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/09/2016	1/09/2018			
POLICY0104	Workplace Hazard and Risk Management Policy (Policy104)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/10/2016	1/10/2018			
POLICY0105	Smoke-Free Workplace Policy (Policy105)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/10/2016	1/10/2018			
POLICY0106	Workplace Drug and Alcohol Policy (Policy106)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/04/2016	1/04/2018			
POLICY0107	Occupational Health Monitoring Policy (Policy107)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/09/2016	1/09/2018			
POLICY0108	Rehabilitation Policy (Policy108)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/09/2016	1/09/2018			
POLICY0109	Personal Protective Equipment Policy (Policy109)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/09/2016	1/09/2019			
POLICY0109	Personal Protective Equipment Policy (Policy109)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/09/2016	1/09/2018			
POLICY0110	Workplace Security Policy (Policy110)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	24/03/2017	24/03/2019			
POLICY0111	Auditing, Monitoring, Planning and Review Policy (Policy111)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	22/02/2017	22/02/2020			
POLICY0113	Health and Safety Training, Supervision and Information Policy (Policy113)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/04/2016	1/04/2018			
POLICY0114	Confined Space Entry Policy (Policy114)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	7/09/2018	6/09/2020			
POLICY0115	Health and Safety Responsibilities Policy (Policy115)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	22/02/2016	21/02/2019			
POLICY0116	Travel Policy (Policy116)	Policy Internal	Role - Procurement and Contract Support Officer	TBA - Business Support Manager	24/02/2016	24/02/2019			
POLICY0119	Sensitive Expenditure Policy (Policy119)	Policy Internal	Role - Procurement and Contract Support Officer	TBA - Business Support Manager	27/07/2016	27/07/2019			
POLICY0121	Disciplinary Policy (Policy121)	Policy Internal	Role - Business Partner - People & Capability	Jenny Antunovich	1/05/2016	1/05/2019			
POLICY0122	Property, Plant and Equipment Disposal Policy (Policy122)	Policy Internal	Role - Manager - Finance	Delyse Henwood	31/07/2015	30/07/2016			
POLICY0125	Electrical Equipment - Test and Tag Policy (Policy125)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/10/2016	1/10/2018			
POLICY0126	Sun Safety Policy (Policy126)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/10/2016	1/10/2018			
POLICY0127	Hazardous Substances in the Workplace Policy (Policy127)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	18/09/2017	18/09/2019			
POLICY0128	Work At Heights Policy (Policy128)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/10/2016	1/10/2018			
POLICY0137	Lockout and Equipment Isolation Policy (Policy137)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/09/2016	31/08/2019			
POLICY0140	Employee Assistance Programme Policy (Policy140)	Policy Internal	Role - Business Partner - People & Capability	Jenny Antunovich	1/01/2019	31/12/2021			
POLICY0141	Fleet Management Policy (Policy141)	Policy Internal	Role - Procurement and Contract Support Officer	TBA - Business Support Manager	1/09/2012	31/08/2015			
POLICY0142	Employee Code of Conduct Policy (Policy142)	Policy Internal	Role - Business Partner - People & Capability	Jenny Antunovich	31/01/2016	30/01/2019			
POLICY0143	Flexible Working Policy (Policy143)	Policy Internal	Role - Business Partner - People & Capability	Jenny Antunovich	1/03/2015	30/04/2018			
POLICY0144	Higher Duties Policy (Policy144)	Policy Internal	Role - Business Partner - People & Capability	Jenny Antunovich	1/12/2014	30/11/2017			
POLICY0145	Recruitment Referral Policy (Policy145)	Policy Internal	Role - Business Partner - People & Capability	Jenny Antunovich	1/12/2010	30/11/2013			
POLICY0146	Service Recognition Policy (Policy146)	Policy Internal	Role - Business Partner - People & Capability	Jenny Antunovich	1/10/2015	30/09/2018			
POLICY0147	Support for Fitness Activities Policy (Policy147)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/12/2010	30/11/2015			
POLICY0148	Staff Purchasing Policy (Policy148)	Policy Internal	Role - Procurement and Contract Support Officer	TBA - Business Support Manager	1/02/2015	31/01/2018			
POLICY0176	Workplace Noise Exposure Policy (Policy176)	Policy Internal	Role - Health and Safety Manager	Desarae Williams	1/12/2018	30/11/2020			

5.5 Terms of Reference Review Outcomes

Meeting: Audit and Risk Committee
Date of meeting: 27 March 2019
Reporting officer: Emily Thompson (Audit and Risk Analyst)

1 Purpose

To update the committee on the outcomes from the terms of reference review completed by Philip Jones (Independent advisor to the Committee) in September 2018.

2 Recommendation

That the Audit and Risk Committee notes the report.

3 Background

A session was held on Tuesday 25th September in the Council Chambers to review the current terms of reference for the Audit and Risk Committee.

The session was facilitated by Philip Jones and was attended by members of the Audit and Risk Committee. No staff were present during the discussions for this session.

This report details the outcomes and future work from the review.

4 Outcomes and Actions

Discussion during the session considered the current coverage of project risks within the Audit and Risk Committee. It was recognised by the committee that project risks are covered in other committees, and that Council wish to reduce duplication of information.

Actions:

Staff presented to the Audit and Risk Committee in December 2018 on how infrastructure manage major project risk, to provide assurance to the committee that staff are managing the project risks as part of Council's standard project management activities.

Discussion around the wording of the current terms of reference. The following minor alterations have been suggested:

- A request to change the number of meetings to "*at least 4*". This will allow other meetings to be held when required.

- Discussion of committee structure i.e. audit and risk oversight through a subcommittee or change the finance strategy committee.

Actions:

These will be held over until the full review of committee terms of reference occurs at the start of the new triennium (end 2019).

5 Significance and engagement

The decisions or matters of this Agenda do not trigger the significance criteria outlined in Council's Significance and Engagement Policy, and the public will be informed via agenda publication on the website.

5.6 Procurement Policy Report – March 2019

Meeting: Audit and Risk Committee
Date of meeting: 27 March 2019
Reporting officer: Emily Thompson (Audit and Risk Analyst)

1 Purpose

To update Council on the implementation of the procurement policy and tracing exceptions to the procurement policy

2 Recommendation

That the Audit and Risk Committee note the report.

3 Background

The procurement policy was adopted in October 2018. The policy states that “The Business Support Manager will report on policy adherence to the Audit and Risk committee”. This report is to initiate that reporting.

4 Discussion

At this stage the procurement policy has been rolled out and work continues to develop the tool kit for staff to use. This will be updated via the operational report to the Finance and Corporate Committee.

While there is currently no Business Support Manager in the role, and the policy has not yet been in place six months, staff have been establishing processes to enable regular reporting to this committee.

A further update will be provided to this committee in six months (September 2019).

5 Significance and engagement

The decisions or matters of this Agenda do not trigger the significance criteria outlined in Council’s Significance and Engagement Policy, and the public will be informed via agenda publication on the website.

RESOLUTION TO EXCLUDE THE PUBLIC

That the public be excluded from the following parts of proceedings of this meeting.

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:

1.	The making available of information would be likely to unreasonably prejudice the commercial position of persons who are the subject of the information. {Section 7(2)(c)}
2.	To enable the council (the committee) to carry on without prejudice or disadvantage commercial negotiations. {(Section 7(2)(i))}.
3.	To protect the privacy of natural persons. {Section 7(2)(a)}.
4.	Publicity prior to successful prosecution of the individuals named would be contrary to the laws of natural justice and may constitute contempt of court. {Section 48(1)(b)}.
5.	To protect information which is the subject to an obligation of confidence, the publication of such information would be likely to prejudice the supply of information from the same source and it is in the public interest that such information should continue to be supplied. {Section 7(2)(c)(i)}.
6.	In order to maintain legal professional privilege. {Section 2(g)}.
7.	To enable the council to carry on without prejudice or disadvantage, negotiations {Section 7(2)(i)}.

Resolution to allow members of the public to remain

If the council/committee wishes members of the public to remain during discussion of confidential items the following additional recommendation will need to be passed:

Move/Second

"That _____ be permitted to remain at this meeting, after the public has been excluded, because of his/her/their knowledge of Item _____.

This knowledge, which will be of assistance in relation to the matter to be discussed, is relevant to that matter because _____.

Note:

Every resolution to exclude the public shall be put at a time when the meeting is open to the public.