



WHAKATĀNE DISTRICT COUNCIL

Information Pack for External Appointments to the Risk and Assurance Committee

AUGUST 2021

whakatane.govt.nz



1. Independent Appointee to the Risk and Assurance Committee

The Whakatāne District Council is seeking a person with the skills and experience required to lead and enhance its governance, performance and accountability.

The appointee will join, as Chairperson, the Council's Risk and Assurance Committee, which ensures that the organisation's enterprise risk management, internal control and financial management practices, frameworks, work programmes and processes are robust and appropriate to safeguard its financial and non-financial assets.

The Risk and Assurance Committee consists of the Mayor, three Councillors, an independent Chairperson, plus one external appointee. A selection panel comprised of the Mayor, Deputy Mayor and Chief Executive will assess expressions of interest, appoint the external Chairperson, and negotiate remuneration.

The term of appointment is for the remainder of the Council's 2019-22 triennium, with the ability to reappoint.

2. Meetings

The Risk and Assurance Committee is scheduled to meet approximately five times a year. Meeting durations are approximately 2 hours. The meeting dates scheduled for the remainder of 2021 are 7 October and 2 December. Meeting dates for 2022 will be confirmed at the beginning of that calendar year.

3. Skills and Experience Required

The Risk and Assurance Committee, based on the recommendations of the Office of the Auditor General, is seeking an independent Chairperson with experience in:

- Broad governance, assurance and enterprise risk management disciplines;
- Finance and accounting, including financial reporting;
- Internal controls and assurance frameworks, including understanding of the roles of internal and external audit;
- Knowledge of the local governance sector; and
- Other attributes specifically relevant to local government, such as legal or information technology experience; and
- Chairing and leading complex work programmes.

The successful appointee should demonstrate experience in leading Risk and Assurance in the Governance arena and bring the following skill set:

- The ability to act independently and objectively;
- The ability to work constructively with the Mayor, Elected Members and the Chief Executive to achieve organisational performance;
- An appreciation of the public entity's culture and values, and a determination to uphold these;
- A proactive approach to advising the governing body and Chief Executive of matters that require further attention;
- Business acumen and an understanding of up-to-date Risk and Assurance and related context;
- Appropriate diligence, time, effort and commitment;
- Outstanding written and oral communication skills.

4. Delegations to the Risk and Assurance Committee

The purpose of the Risk and Assurance Committee is to oversee the effectiveness of Council's risk management, internal control environment, legal responsibilities, statutory compliance and external auditing processes. Specifically the Committee will:

- (a) Oversee the effectiveness and appropriateness of the risk management framework, including but not limited to Council's Risk Policy and Corporate Risk Register;
- (b) Advise the Council on matters of risk and risk appetite;
- (c) Ensure that the organisation has appropriate internal control systems in place;
- (d) Monitor Council's external and internal audit processes related to the Annual Report and the resolution of any issues raised;
- (e) Monitor Council's compliance with applicable laws, regulations, standards and associated government policies;
- (f) Maintain oversight of legal proceedings involving Council;
- (g) Provide oversight of Council's treasury function as a risk management tool;
- (h) Assist in any investigations of fraudulent or inappropriate activity if required;
- (i) In accordance with the Council's fraud policy, ensure that investigations are thorough and complete, and take appropriate action to administer requirements of policy and process related to a response;
- (j) Provide advice on any audit, risk, financial and integrity matters as requested by Council or any of its Committees, and arising through the Long Term Plan development and subsequent amendments. This includes the financial and infrastructure strategies.
- (k) Provide advice on audit, risk and integrity matters related to CCOs and CCTOs and as requested by Council or its Committees;

- (l) Provide advice on audit and risk matters as requested by Council, in the development of the Annual Report of the Council, the Half Year and Full Year Annual Report of the Whakatāne Airport;
- (m) Ensure the adequacy, integrity and reliability of the external financial reporting process of Council;
- (n) Resulting from the external auditor’s letters and recommendations, review, and identify the level of acceptable risk.
- (o) Recommend to the Office of the Auditor General the decision either to publicly tender the external audit or to continue with the existing provider for a further three-year term;
- (p) Where required, request expert advice through the Chief Executive where necessary;
- (q) Review the integrity and appropriateness of external reporting, reporting to Committees and accountability arrangements.

Powers

- (a) All powers necessary to perform the Committee’s responsibilities, except:
 - (i) powers that the Council cannot delegate or has retained to itself
 - (ii) where the Committee’s responsibility is limited to making a recommendation only
- (b) Power to establish subcommittees to address particular issues.
- (c) The Committee has no decision-making powers but can recommend and advise.



5. Expressions of Interest

Expressions of interest should be made in writing before 5.00 pm on Friday, 3 September 2021 and addressed to the Chief Executive, Whakatāne District Council, Private Bag 1002, Whakatāne 3158 or emailed to cindy.butt@whakatane.govt.nz.

Any enquiries contact Cindy Butt, Manager Governance Services, phone (07) 306 0500.

6. Council Committee Appointment Form

Please complete the Appointment Form attached and include within your Expression of Interest.

7. Office of the Auditor General - Resources

The Office of the Auditor General (OAG) has created a series of resources on its website, titled “Are you making the most of audit committees?” (<http://www.oag.govt.nz/our-work/audit-committees>)

The OAG states that all organisations need good governance arrangements and practices to continuously improve and to manage risk. The OAG also states that Audit committees can help governors test and challenge new ideas, as well as business-as-usual operations, to ensure that the entity is improving and meeting expectations.

The OAG has created resources for sharing experiences, tips, tools and other insights into making audit committees effective. This material is grouped in five parts:

- i. [Why have an audit committee?](#)
- ii. [Principles that help an audit committee add value](#)
- iii. [Know your environment: Issues, challenges, and risks commonly being experienced](#)
- iv. [What works: Tools and tips for making the most of audit committees](#)
- v. [Experiences to share](#)

Please indicate the Committee, Panel, Advisory Board or Group in which you are expressing an interest of appointment.			
<i>Risk and Assurance Committee – Independent Chairperson</i>			
PERSONAL DETAILS			
Full name			
Address			
Phone number			
Cell-phone number			
Email address			
LEGAL ENTITLEMENT			
1	Are you legally entitled to work in New Zealand?		
Yes		No	
If you answered "No" you will not be entitled to hold a position of appointment unless your status is altered with NZ Immigration.			
2	Are you currently under investigation by a professional body OR have you ever been the subject of a profession disciplinary enquiry by a professional body?		
Yes		No	
If you answered "yes" to the question above relating to investigations please provide details below:			
3	In accordance with the Clean Slate Act, do you have any previous or pending criminal, or other, charges or convictions (including drink or drug related driving convictions)?		
Yes		No	
If you answered "yes" to the Convictions question above, please provide details below:			
HEALTH			
4	Have you had or do you currently have any health concerns that might impact on your ability to carry out the duties of the appointment?		
Yes		No	
If you answered "yes" to the Health question above, please provide details below:			
GENERAL QUESTIONS			
5	Please indicate if you have entered into bankruptcy or any material accommodation with creditors?		
Yes		No	
If you answered "Yes" to the question above please provide details below:			

6	Please indicate, by name, if you have a relative, close friend or household member currently employed by the Whakatane District Council or who is in a position that could possibly create a conflict of interest if you were appointed.		
7	Please provide the names and contact details of at least two work related referees:		
8	Please list your attributes and skills relevant to the Committee or Group you are expressing interest in.		
9	Following the interview process; do you consent to the Whakatane District Council seeking verbal or written information on a confidential basis about you from the referees stated above or from within your CV for the purposes of ascertaining your suitability for this position?		
Yes		No	
DECLARATION			
I consent to the Whakatane District Council obtaining confidential, verbal or written information about me from my nominated referees or the author of any written reference or statement of service that I have provided for the purpose of assessing my suitability for this position. I declare that the information I have supplied in this application (and other supporting information including the attached CV) is true to the best of my knowledge. I accept that false declaration or failure to disclose relevant information could result in immediate dismissal from the appointed position. By stating your name below means you agree to this above declaration.			
Yes		No	
Signed			
Date			