

Audit and Risk Committee Forward Work Programme

2018	Feb	May	August	September	December
Focus Areas – Deep Dive	<ul style="list-style-type: none"> Procurement and Supplier Management - Core Risk #15 	<ul style="list-style-type: none"> Americas Cup Governance Insurance renewal 	None	<ul style="list-style-type: none"> Group Risk and mitigations Cyber Risk #2 (High) Insurance - Future Transfer of Risk Alternatives 	<ul style="list-style-type: none"> Fit for purpose infrastructure and community assets #5 (Moderate)
Risk	<ul style="list-style-type: none"> Update on Champions Programme CCO Risk 	<ul style="list-style-type: none"> Do it Right Compliance Programme Report on Focus areas from Audit findings Legal Risk report CCO Risk 		<ul style="list-style-type: none"> CCO Risk 	<ul style="list-style-type: none"> Report on Risk Maturity Legal Risk report CCO Risk
Internal Audit	<ul style="list-style-type: none"> Treaty Audit Monitoring 		<ul style="list-style-type: none"> IA Year in Review IA three-year strategy update 2018/2019 Audit Plan Business Plan 2018/2019 	<ul style="list-style-type: none"> Treaty Audit Monitoring 	<ul style="list-style-type: none"> Fraud and Integrity Strategy update IA six-month report
Insurance	<ul style="list-style-type: none"> Insurance Risk Profiling for June Renewal 	<ul style="list-style-type: none"> Report on insurance renewal programme Business Plan 2018-2019 		<ul style="list-style-type: none"> Insurance and Claims Management Update 	
Annual Report		<ul style="list-style-type: none"> NZX Announcement 2018 / Annual Report 2018 update for committee Interim management report 2018 	<ul style="list-style-type: none"> NZX Announcement 2018 / Annual Report 2018 update for committee 	<ul style="list-style-type: none"> 2018 Annual Report 	<ul style="list-style-type: none"> Final Audit NZ management report 30 June 2018 2019 Arrangements (Audit Plan)
Interim financial Statements	<ul style="list-style-type: none"> December 2017 Interim Financial Statements NZX Announcement Clearance 	<ul style="list-style-type: none"> Review engagement management report December 2017 			<ul style="list-style-type: none"> Review arrangements December 2018 December 2018 NZX announcement Update Proforma interim financial statements and accounting policies
Long-term Plan 2018-2028 / Annual Plan	<ul style="list-style-type: none"> 2018-2028 Consultation Document (Final) 	<ul style="list-style-type: none"> Long-term Plan 2018-2028 Management Report Long-term Plan 2018-2028 progress 			<ul style="list-style-type: none"> Update on 2019/2020 Annual Plan Consultation Document
Regular Update Reports	<ul style="list-style-type: none"> Committee workplan Risk Internal Audit 	<ul style="list-style-type: none"> Committee workplan Risk Internal Audit 	<ul style="list-style-type: none"> Committee workplan Internal Audit 	<ul style="list-style-type: none"> Committee workplan Risk 	<ul style="list-style-type: none"> Committee workplan Risk Internal Audit

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	<ul style="list-style-type: none"> • Health and safety 	<ul style="list-style-type: none"> • Health and safety 	<ul style="list-style-type: none"> • Health and safety 		<ul style="list-style-type: none"> • Health and safety
Other	<ul style="list-style-type: none"> • OAG report (if applicable) 	<ul style="list-style-type: none"> • OAG report (if applicable) 	<ul style="list-style-type: none"> • OAG report (if applicable) 	<ul style="list-style-type: none"> • City Rail Link Risk – role of the Audit and Risk Committee • OAG report (if applicable) 	<ul style="list-style-type: none"> • OAG report (if applicable) • Annual Report on Committee's performance

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Focus Areas – Deep Dive	<ul style="list-style-type: none"> • Crown reforms #4 (Moderate) • City Rail Link Project Investor Risk Profile 	<ul style="list-style-type: none"> • Crown Reforms #4 (Moderate) • Programme and project delivery #9 (Moderate) 	<ul style="list-style-type: none"> • Climate Change #3 (Moderate) 	<ul style="list-style-type: none"> • 	<ul style="list-style-type: none"> • Service delivery #7 (Moderate)
Risk	<ul style="list-style-type: none"> • Refreshed risk strategy and plan 2019-2020 • Project risk reporting • Risk and Insurance Update including annual review of Council's top risks • CCO Risk 	<ul style="list-style-type: none"> • Refreshed risk framework, including risk matrix / risk appetite • Refreshed risk strategy and plan 2019-2020 • Update on Risk Maturity Action Plan • Review against targets • Business Plan 2019-2020 • Legal Risk report • CCO Risk 	<ul style="list-style-type: none"> • CCO Risk 		<ul style="list-style-type: none"> • Update Report on Risk Maturity Action Plan • Legal Risk report • CCO Risk
Internal Audit	<ul style="list-style-type: none"> • Treaty Audit Monitoring • Update on building and resource consent audits • Appointment of new appointed auditor and second audit director 	<ul style="list-style-type: none"> • IA Year in Review • IA three-year strategy update • 2019/2020 Audit Plan Business Plan 2019/2020 • Update on building and resource consent audits 	<ul style="list-style-type: none"> • Treaty Audit Monitoring 		<ul style="list-style-type: none"> • Fraud and Integrity Strategy update • IA six-month report
Insurance	<ul style="list-style-type: none"> • Insurance risk profiling • Indicative insurance procurement strategy 	<ul style="list-style-type: none"> • Business Plan 2019-2020 • Report on Insurance renewal programme 	<ul style="list-style-type: none"> • Update to Committee post placement of Insurance Programme 		
Annual Report		<ul style="list-style-type: none"> • NZX Announcement 2019 / Annual Report 2019 update for committee • Proforma annual report 2019 (financial statements and accounting policies) • Interim management report 2019 	<ul style="list-style-type: none"> • NZX Announcement 2019 / Annual Report 2019 update for committee 	<ul style="list-style-type: none"> • 2019 Annual Report 	<ul style="list-style-type: none"> • 2020 Arrangements
Interim financial Statements	<ul style="list-style-type: none"> • December 2018 Interim Financial Statements • NZX Announcement Clearance 	<ul style="list-style-type: none"> • Review engagement management report December 2018 			<ul style="list-style-type: none"> • Review arrangements December 2019 • December 2019 NZX announcement Update

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					<ul style="list-style-type: none"> Proforma interim financial statements and accounting policies
Long-term Plan 2018-2028 / Annual Plan	2019/2020 Annual Plan (draft CD final for clearance – Special meeting in early Feb (proposed 1 February)	2019/2020 Annual Plan (final) – Special meeting in April proposed 29 April)			<ul style="list-style-type: none"> 2020/21 Annual Plan (draft)
Regular Update Reports	<ul style="list-style-type: none"> Committee workplan Risk Internal Audit Health and safety 	<ul style="list-style-type: none"> Committee workplan Risk Internal Audit Health and safety 	<ul style="list-style-type: none"> Committee workplan Risk Internal Audit Health and safety 	<ul style="list-style-type: none"> Committee workplan 	<ul style="list-style-type: none"> Committee workplan Risk Internal Audit Health and safety
Other	<ul style="list-style-type: none"> OAG report (if applicable) 	<ul style="list-style-type: none"> OAG report (if applicable) 	<ul style="list-style-type: none"> OAG report (if applicable) 	<ul style="list-style-type: none"> OAG report (if applicable) Annual Report on committee’s performance 	<ul style="list-style-type: none"> OAG report (if applicable)

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Focus Areas – Deep Dive	<ul style="list-style-type: none"> Water quality #8(High) 	<ul style="list-style-type: none"> Consent Processing 	<ul style="list-style-type: none"> Health, Safety and Wellbeing #1 (High) 		
Risk	<ul style="list-style-type: none"> CCO Risk 	<ul style="list-style-type: none"> Review against targets Business Plan 2020-2021 Legal Risk report CCO Risk 	<ul style="list-style-type: none"> CCO Risk 		<ul style="list-style-type: none"> Report on Risk Maturity Legal Risk report CCO Risk
Internal Audit	<ul style="list-style-type: none"> Treaty Audit Monitoring 	<ul style="list-style-type: none"> IA Year in Review IA three-year strategy update 2020/2021 Audit Plan Business Plan 2020/2021 	<ul style="list-style-type: none"> Treaty Audit Monitoring 		<ul style="list-style-type: none"> Fraud and Integrity Strategy update IA six-month report
Insurance	<ul style="list-style-type: none"> Insurance risk profiling 	<ul style="list-style-type: none"> Business Plan 2020-2021 Report on Insurance renewal programme 	<ul style="list-style-type: none"> Update to Committee post placement of Insurance Programme 		
Annual Report		<ul style="list-style-type: none"> NZX Announcement 2020 / Annual Report 2020 update for committee Interim management report 2020 Proforma Annual Report 2020 (financial statements and accounting policies) 	<ul style="list-style-type: none"> NZX Announcement 2020/ Annual Report 2020 update for committee 	<ul style="list-style-type: none"> 2020 Annual Report 	<ul style="list-style-type: none"> 2021 Arrangements
Interim financial Statements	<ul style="list-style-type: none"> December 2019 Interim Financial Statements NZX Announcement Clearance 	<ul style="list-style-type: none"> Review engagement management report December 2019 			<ul style="list-style-type: none"> Review arrangements December 2020 December 2020 NZX announcement Update Proforma interim financial statements and accounting policies
Long-term Plan 2018-2028 / Annual Plan					<ul style="list-style-type: none"> 2021/22 Annual Plan (draft)
Regular Update Reports	<ul style="list-style-type: none"> Committee workplan Risk Internal Audit 	<ul style="list-style-type: none"> Committee workplan Risk Internal Audit 	<ul style="list-style-type: none"> Committee workplan Risk Internal Audit 	<ul style="list-style-type: none"> Committee workplan 	<ul style="list-style-type: none"> Committee workplan Risk Internal Audit

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Other	<ul style="list-style-type: none"> • OAG report (if applicable) 	<ul style="list-style-type: none"> • OAG report (if applicable) 	<ul style="list-style-type: none"> • OAG report (if applicable) 	<ul style="list-style-type: none"> • OAG report (if applicable) • Annual Report on committee's performance 	<ul style="list-style-type: none"> • OAG report (if applicable)