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## Strategic Risk and Assurance Committee

### *Komiti Whakamauru Tuuraru*

### OPEN MINUTES

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Minutes of a meeting of the Strategic Risk and Assurance Committee held in the Council Chamber and via Audio Visual Link , Municipal Building, Garden Place, Hamilton on Wednesday 29 March 2023 at 9.33am.

#### PRESENT

**Chairperson** Ms Keiran Horne  
*Heamana*

**Deputy Chairperson** Mr Bruce Robertson  
*Heamana Tuarua*

**Members** Mayor Paula Southgate  
Deputy Mayor Angela O’Leary  
Cr Moko Tauariki  
Cr Kesh Naidoo-Rauf  
Cr Ewan Wilson

**In Attendance:** Cr Emma Pike  
Lance Vervoort - Chief Executive  
Murray Heke - General Manager Customer, Technology Transformation  
David Bryant - General Manager People and Organisational Performance  
Blair Bowcott - General Manager Growth  
Sean Murray - General Manager Venues, Tourism and Major Events  
Eeva-Liisa Wright - General Manager Infrastructure Operations  
Helen Paki - General Manager Community  
Tracey Musty - Finance Director  
Allan Lightbourne - Chief Information Officer  
Dan Finn - People, Safety and Wellness Manager  
Charlotte Catmur - Sustainability and Climate Change Manager  
Marie Snowball - Safety & Wellness Lead  
Julie Ambury - Enterprise Risk Lead  
Aaron Steele and Matt White - PricewaterhouseCoopers  
Stephen Walker - Audit NZ

**Governance Team:** Michelle Hawthorne - Governance and Assurance Manager  
Carmen Fookes - Senior Governance Advisor  
Chantal Jansen and Nicholas Hawtin - Governance Advisors

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*The Chair opened the meeting with a Karakia.*

**1. Apologies – *Tono aroha***

**Resolved:** (Ms Horne/ Cr Wilson)

That the apologies for absence from Cr Hamilton , Cr van Oosten and Deputy Mayor O’Leary, and for partial attendance from Cr Naidoo-Rauf are accepted.

**2. Confirmation of Agenda – *Whakatau raarangi take***

**Resolved:** (Ms Horne/Mr Robertson)

That the agenda is confirmed.

**3. Declarations of Interest – *Tauaakii whaipaaanga***

Cr Wilson declared a Conflict of Interest to Public Excluded Item C2 (Legal Risks - Committee Update). He did not take part in the discussion and vote on the matter.

**4. Public Forum – *AAtea korero***

Peter H Bos spoke to Item 8 (Risk Management Report). His presentation is attached to the minutes of the meeting as **Appendix 1**.

*Cr Naidoo-Rauf joined the meeting (09.39am) during the discussion of the above item. She was present when the matter was voted on.*

**5. Confirmation of the Strategic Risk and Assurance Committee Open Minutes -14 December 2022**

The Chair took the minutes as true and correct, noting the amendment of Item 5.

**Resolved:** (Ms Horne /Cr Wilson)

That the Strategic Risk and Assurance Committee confirm the Open Minutes of the Strategic Risk and Assurance Committee Meeting held on 14 December 2022 as a true and correct record, subject to the amendment to Item 5.

**6. Chief Executive Report**

The Chief executive spoke to the report addressing the effects and recovery of Cyclone Gabrielle. He highlighted key areas of health & safety, increased costs, roading infrastructure, the impact of Cyclone Gabrielle, and Council’s Future Fit programme. He noted updates on roading infrastructure as a result of Cyclone Gabrielle would be provided.

**Resolved:** (Ms Horne/ Mr Robertson)

That the Strategic Risk and Assurance Committee receives the report.

**7. Safety and Wellness Report - 1 November 2022 to 31 January 2023**

The People, Safety and Wellness Manager spoke to the report noting progress of key strategic activities aligned to risks, relationships, and resources. He gave a comprehensive overview on progress and included supplementary updates on wider activities, assurance, and successes. He responded to questions from Members on Governance Health And Safety Group terms of reference, in progress items, critical risk identification, the use of Ora for risk identification to support the business and staff and the next internal Audit review.

**Resolved:** (Ms Horne/ Mr Robertson)

- a) That the Strategic Risk and Assurance Committee receives this report; and
- b) That the Strategic Risk and Assurance Committee recommends that the Council receives the report.

*Mayor Southgate joined the meeting (9.53am) during the above item. She was present when the item was voted on.*

**8. Risk Management Report**

The Enterprise Risk Lead spoke to the report noting no significant changes. The City Safe Unit Manager spoke to the direct impact of Cyclone Gabrielle and Hamilton City Council's support to Hawkes Bay. The Enterprise Risk Lead discussed the status of Hamilton City Council's nine strategic risks, three organisational risks and potentially significant emerging risks. She confirmed that Hamilton City Council's strategic and organisational risks have been reviewed over the last quarter and, where relevant, have been updated to reflect the changing risk environment. It was noted there may be the implications for risk assessment in relation to the impact of the North Island's severe weather events through January and February. She responded to questions from Members regarding the Cyclone Gabrielle response, supply chain availability, the totality of our responses, transition from response into recovery, infrastructure capacity, surface flooding, slip damage as major risks, notification process of risks to the public, the ability to meet risk compliance, safety and security in certain critical areas, governance personal and property security, CCTV cameras and remediation from contractors, the global risk landscape, bio diversity risks and the policy review.

**Resolved:** (Ms Horne /Mayor Southgate)

That the Strategic Risk and Assurance Committee receives the report.

**9. PwC - Internal Audit Update and Report**

PricewaterhouseCoopers staff spoke to the report highlighting Council's internal audit function that incorporated engagements and actions from PricewaterhouseCoopers (PwC) and Council's internal audit programme. He explained that the report was continually reviewed and updated according to the relevance of items. PricewaterhouseCoopers staff and the Finance Director responded to questions from Members regarding the number of internal audits, transactions that require further investigation, total amount of investigations to be closed off, purchases with no segregation of duties and the alignment of focus areas.

**Staff Action:** *Staff undertook to update members on the total amount of investigations to be closed off.*

**Resolved:** (Ms Horne/Cr Tauariki)

That the Strategic Risk and Assurance Committee receives the report.

**10. Organisational Improvement Report**

The Finance Director spoke to the report and noted the following items; Council's risk management programme, external and internal audit recommendations, completion times, audit risk categorisation and progression, timing of next audit round and the work program prioritisation. The Finance Director also responded to questions from members regarding business continuity management, contractor delivery capability, monitoring contractors service delivery, high rated delayed items and expected delayed timeframes.

**Resolved:** ( Ms Horne/ Mr Robertson )

That the Strategic Risk and Assurance Committee receives the report.

*Deputy Mayor O'Leary joined the meeting (10.47am) during the above item. She was not present when the item was voted on.*

**11. Annual Report 2023 Planning Update**

The Finance Director spoke to the report and noted the statutory deadline for finalisation of the annual report had reverted to 31 October 2023 and that the audit timeframes provided by Audit New Zealand would enable the Council to meet its statutory deadlines. Audit NZ staff outlined the context of their work plan and the challenges with capacity. The Finance Director explained that Audit NZ's clearance of other late audits and the sabbatical of the audit director until June 2023 would result in a delay in the finalisation of the audit planning document but the timeframes provided by Audit New Zealand had been incorporated into the finance planning timeframes to enable the Council to meet its statutory deadlines. The Finance Director and Audit NZ staff responded to questions from Members regarding timeframes for audit engagements, Audit NZ service alignment to service delivery, key importance of the risks and certainty around 3 Waters reforms, performance reporting, water quality, reporting on emissions targets, vendor priorities and the importance of Audit NZ to meet the full audit plan in June 2023, late information requests from Audit NZ and clarification on organisational requirements.

**Resolved:** (Ms Horne/Mr Robertson)

That the Strategic Risks and Assurance Committee receives the report.

**11. Audit NZ Final Management Report 30 June 2022**

The Finance Director spoke to the report and noted key points related to closed off items in the Audit NZ Final Management Report for 30 June 2022s. Two new recommendations from the final audit were emphasized and 12 prior recommendations were completed. Audit New Zealand staff spoke to the report and noted the process for practicality, and the expenditure systems in place. The Finance Director responded to questions from Members on the assignment of sensitive expenditure approvals to the relevant parties as per the Finance policy, updates of delegations changes, assets record keeping and expected timeframes for Audit New Zealand service delivery.

**Resolved:** (Ms Horne/Mr Robertson)

That the Strategic Risk and Assurance Committee receives the report.

**The meeting was adjourned at 11.26am to 11.40am**

**12. Compliance Reporting Update**

The Governance and Assurance Manager spoke to the report and noted that there are no protected disclosures or instances of fraud or corruption to report since the last Strategic Risk and Assurance Committee meeting. There is also no significant non-compliance with the Privacy Act 2020 to report since the last Strategic Risk and Assurance Committee meeting and took the report as read. No question were raised by Members.

**Resolved:** (Ms Horne /Mr Robertson )

That the Strategic Risk and Assurance Committee receives the report.

*Cr Ewan re-joined the meeting (11.43am) at the conclusion of the above item. He was not present when the above item was voted on.*

**13. Update on climate change disclosure reporting**

The Sustainability and Climate Change Manager spoke to the report and noted delays in reporting the full programme because of funding constraints and limited budget and that a full data analysis would be presented in the Long-Term Plan. It was explained that the Task Force for Climate-related Financial Disclosure (TCFD) was established to provide recommendations on how companies could provide information on their climate risk to inform capital allocation, which could then be used to communicate the integration of climate change into their organisations. Hamilton City Council had scheduled their first voluntary climate change disclosure for 2022-23 and external experts were required for the development of the first disclosure statement. However, as part of the 2023-24 Annual Plan, the external consultants funding for the climate change disclosures programme had been removed and the climate change disclosure would be delayed. The Sustainability and Climate Change Manager responded to questions from Members regarding possible opportunities in terms of sharing resources, climate change works underway, learning from other Councils' climate change approaches, the mitigation of climate change, savings and costs relating to report delays and funding and debt market accountability.

**Resolved:** (Ms Horne/Cr Tauariki)

That the Strategic Risk and Assurance Committee:

- a) receives the reports; and
- b) notes the delay to the climate change disclosure reporting programme.

**14. Resolution to Exclude the Public**

**Resolved:** (Ms Horne /Deputy Mayor O'Leary)

**Section 48, Local Government Official Information and Meetings Act 1987**

The following motion is submitted for consideration:

That the public be excluded from the following parts of the proceedings of this meeting, namely consideration of the public excluded agenda.

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 follows.

General subject of each matter to be considered	Reasons for passing this resolution in relation to each matter	Ground(s) under section 48(1) for the passing of this resolution
C1. Confirmation of the Strategic Risk and Assurance Committee Public Excluded Minutes - 14 December 2022	) Good reason to withhold ) information exists under ) Section 7 Local Government ) Official Information and ) Meetings Act 1987	Section 48(1)(a)
C2. Organisational Improvement Register - Public Excluded	)	
C3. Legal Risks - Committee Update		
C4. SR4 Loss of Information or Access to Systems and Services		

This resolution is made in reliance on section 48(1)(a) of the Local Government Official Information and Meetings Act 1987 and the particular interest or interests protected by Section 6 or Section 7 of that Act which would be prejudiced by the holding of the whole or relevant part of the proceedings of the meeting in public, as follows:

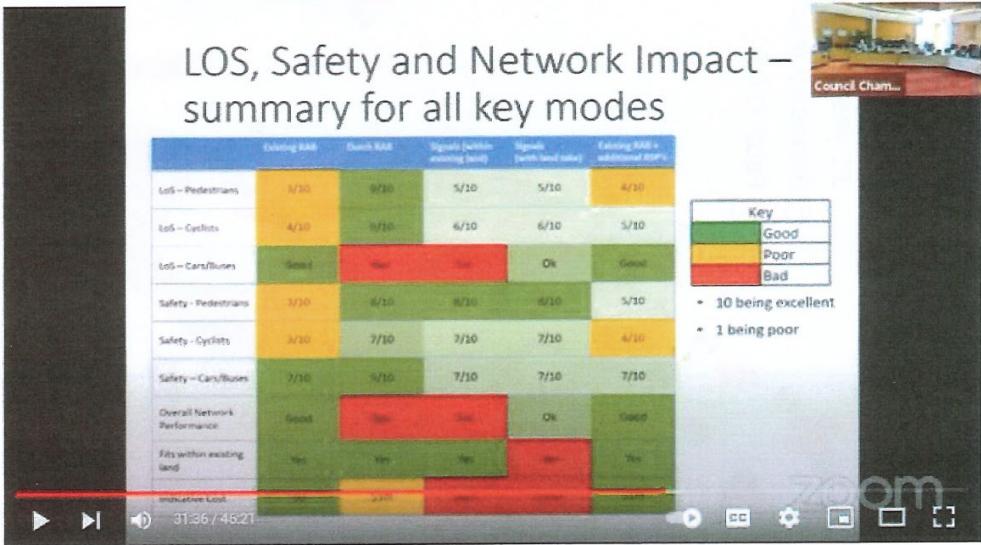
Item C1.	to prevent the disclosure or use of official information for improper gain or improper advantage	Section 7 (2) (j)
Item C2.	to prevent the disclosure or use of official information for improper gain or improper advantage	Section 7 (2) (j)
Item C3.	to maintain legal professional privilege	Section 7 (2) (g)
Item C4.	to protect information which is subject to an obligation of confidence where disclosure would likely damage the public interest	Section 7 (2) (c) (ii) Section 7 (2) (h)
	to enable Council to carry out commercial activities without disadvantage	Section 7 (2) (j)
	to prevent the disclosure or use of official information for improper gain or improper advantage	

*The Chair closed the meeting with a Karakia.*

**The meeting went into a public excluded session at 11.52am.**

**The meeting was declared closed at 12.47 pm.**

Appendix 1:



Elected Member Briefing - 26 November 2021



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