

Elected Member Briefing – 6 July 2017 – Topic List
(Starts at 9.30am in Committee Room 1)

Topic	Brief Description	HCC Contact / Presenter(s)	Time Req'd (mins)
Material Risk Workshop	Review of Council's Material Risks	David Bryant	150
LUNCH			60
District Plan	An overview of the formation of the DP including matters that were disputed, an understanding of processes to review aspects of a plan (time/methods), the differences between the policies, rules and methods.	Luke O'Dwyer	60
Waterworld renewals project and seismic upgrade	Update on the revised budget for the renewals project which now includes fire design and other additional items that have contingencies with the main project. A discussion about the options for seismic strengthening will also be included.	Debbie Lascelles Shane Drury Emily Botje	60
AFTERNOON TEA			15
Ruakura Growth Cell		Luke O'Dwyer	30

Material Risk Workshop

6 July 2017



Agenda

- Welcome
- Scene Setting
- Short Introduction on Risk Management
- Material Risk Identification
- Next Steps

Risk Definitions

Risk

- A risk is the effect of uncertainty on objectives.

Risk vs Issue

- A risk is something that **may** occur.
- An issue is something that **will, is, or has** occurred.

What is Risk Management?

- The purpose of Risk Management is to coordinate activities that direct and control Hamilton City Council with regard to risk.

Risk Management Process



Risk Management Process

Risk Identification

- This is the process of finding, recognising and describing risks.
- What risks could affect achievement of Council's objectives and strategies?
- What could cause / trigger a risk?



Risk Management Process

Risk Analysis and Evaluation



		CONSEQUENCE				
		Minor	Moderate	Serious	Major	Catastrophic
LIKELIHOOD	Almost certain	H	H	VH	E	E
	Likely	M	H	VH	VH	E
	Possible	L	M	H	VH	VH
	Unlikely	L	M	M	H	VH
	Rare	L	L	L	M	H

Risk Management Process

Risk Treatment

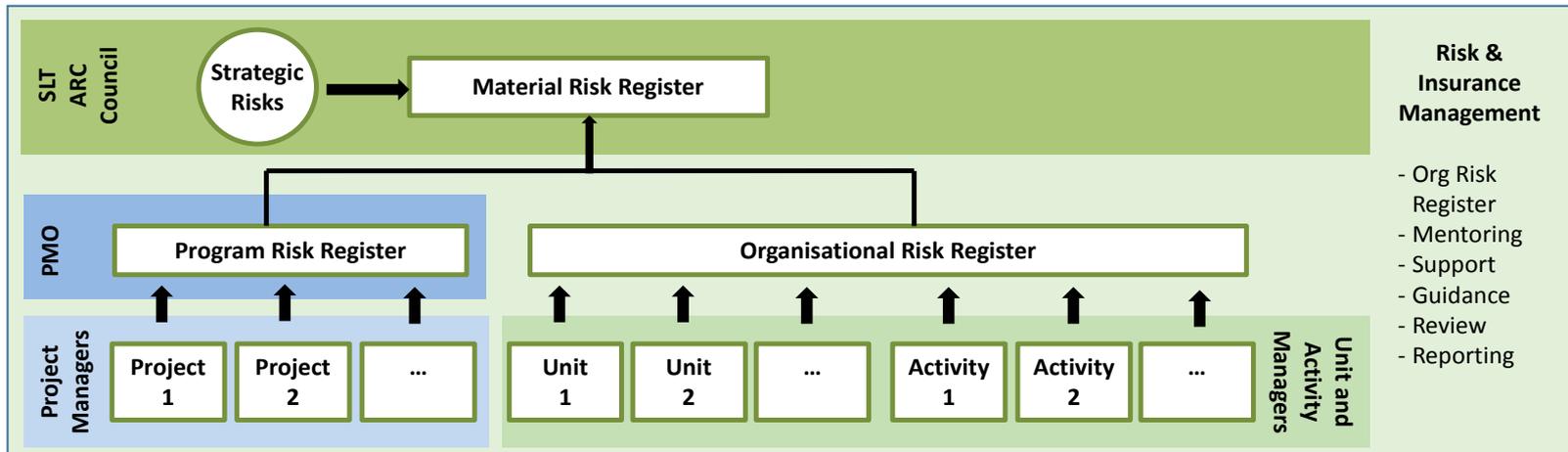
- The process to modify the risk. Risk treatments that deal with negative consequences are sometimes referred to as risk mitigations.
- The amount and type of risk that HCC is willing to pursue or retain in order to meet its strategic objectives.
- In determining Risk Treatment, Risk Appetite must also be considered to ensure the Residual Risk is an acceptable level of risk to HCC.

	ACTION REQUIRED FOR RISK	RISK REPORTING	
		Organisational Risks	Project Risks
E	<p>Extreme Risk – Immediate action required: Risk escalated as appropriate to the Audit & Risk Committee. Action plans and management responsibility specified with scrutiny required.</p> <p>Only the Chief Executive and/or Council/Audit and Risk Committee can accept this level of risk.</p>	<p>ARC (Quarterly)</p> <p>SLT (Monthly)</p>	<p>Council Finance Committee (Six Weekly)</p> <p>Programme Manager (Monthly)</p> <p>Project Sponsor (Monthly)</p>
VH	<p>Very High Risk – Senior Leadership Team advised. Action plans and management responsibility specified with periodic scrutiny required.</p> <p>The relevant GM, sponsor, risk manager and programme manager can accept this level of risk.</p>	<p>ARC (Quarterly)</p> <p>SLT (Monthly)</p>	<p>Council Finance Committee (Six Weekly)</p> <p>Programme Manager (Monthly)</p> <p>Project Sponsor (Monthly)</p>
H	<p>High Risk – Senior Leadership Team advised. Action plans and management responsibility specified with periodic scrutiny required.</p> <p>The relevant GM, sponsor, risk manager and programme manager can accept this level of risk.</p>	<p>SLT (Monthly)</p>	<p>Council Finance Committee (Six Weekly)</p> <p>Programme Manager (Monthly)</p> <p>Project Sponsor (Monthly)</p>
M	<p>Medium Risk – Management responsibility specified. Managed by specific monitoring and procedures.</p> <p>The relevant programme, unit manager or risk manager can accept this level of risk.</p>	<p>Wider Leadership Group (As required)</p>	<p>Program Manager (Monthly)</p>
L	<p>Low Risk – Manage by routine procedures. Unlikely to require specific application of resources.</p> <p>The relevant activity manager can accept this level of risk.</p>	<p>Wider Leadership Group (As required)</p>	<p>Program Manager (Monthly)</p>

Risk Management Process

Monitoring and reporting

- The various risk registers are used to monitor and review risks and their mitigations. A periodic update keeps the risks relevant and mitigations appropriate.



Material risks are reported:

- Monthly to Senior Leadership Team
- Quarterly to Audit & Risk Committee
- Annually to Council

Draft Material Risks

The following slides contain the draft material risks and triggers for discussion with Council

1. H&S – Workers

(includes contracted and volunteer workers)

Risk	Triggers
<p>Failure to create and maintain a safe environment for HCC workers resulting in a serious harm or fatal incident.</p>	<ul style="list-style-type: none">• H&S roles and responsibilities across the organisation not fully understood or accepted• Poor understanding of the H&S risks within the organisation• H&S management system ineffective or inefficient• Poor safety culture• Human error / inappropriate behaviours

2. H&S – Community

Risk	Triggers
<p>Failure to create and maintain a safe environment for the community resulting in a serious harm or fatal incident.</p>	<ul style="list-style-type: none">• Inadequate understanding of the scope of HCC's health and safety responsibilities towards the community• Poor understanding of the H&S risks within the Community• Failures in safety-in-design planning for our amenities and services provided to the community• Human error / inappropriate behaviours

3. Failure of Critical Assets

Risk	Triggers
<p>Incorrect investment (timing and/or amounts) results in the unexpected failure of critical assets (loss of service levels).</p>	<ul style="list-style-type: none">• Lack of focus on critical assets• Financial constraints• Inappropriate asset management maturity level for activity/poor asset management planning discipline• Not meeting and maintaining asset management maturity level• Governance and executive level decision making

4. Inadequate Civil Defence Response

Risk	Triggers
<p>Failure to respond adequately during a civil defence emergency results in undue harm to members of the community and delays in restoring the city to an operational standard.</p>	<ul style="list-style-type: none">• Poor response management and knowledge across HCC• Poor understanding of requirements to support Hamilton City in an event• Lack of experience with real life emergency situations• Turnover of trained staff

5. Cyber Attack

Risk	Triggers
<p>Inappropriate access and/or use of Council information or ratepayer data, or inability to operate Council systems due to a cyber-attack resulting in reputational, legal and financial damage and potentially loss of service continuity.</p>	<ul style="list-style-type: none">• Inadequate IT security environment• Staff not following IT security procedures• Targeted and potentially malicious exploitation of security vulnerabilities in operating systems or applications

6. Reputation of Hamilton

Risk	Triggers
<p>Lower than desired reputation of Hamilton contributes to sub-optimal economic and social outcomes for the city and its community.</p> <p>National reputation of Hamilton can mean:</p> <ul style="list-style-type: none">• Lack of investment in the city (e.g. Business decides to set up head office in Tauranga rather than Hamilton).• People don't want to move to Hamilton.• Hamiltonians don't feel proud of the place they live in.	<ul style="list-style-type: none">• Low awareness of positive changes in Hamilton City• Low awareness of Hamilton's potential role in national growth story• Events that result in negative media attention

7. Poor data, analysis and response

Risk	Triggers
<p>Inaccurate data, weak or incorrect analysis leading to inaccurate growth forecasts, financial modelling and untimely responses to trends resulting in inappropriate levels of investment in public assets.</p>	<ul style="list-style-type: none">• Inadequate modelling and scenario planning• Inadequate data inputs• Poor cross-organisational sharing of data• Inadequate access to analytical skills

8. Failure of BCP

Risk	Triggers
<p>Failure to respond effectively to major business interruptions due to poor business continuity planning or response capabilities.</p>	<ul style="list-style-type: none">• Business Continuity Management framework not established, implemented or communicated within organisation• Business Continuity Plans are untested, inadequate, not communicated effectively, or are not up to date

9. Financial Strategy Failures

Risk	Triggers
<p>Council financials are not suitably robust to meet the pressures of a growing city.</p>	<ul style="list-style-type: none">• Growth• Promises to community e.g. strategies and plans• Declining levels of service• Increasing costs• Civil defence event• Poor measurement of financial performance

10. Failure to respond to the views of the community

Risk	Triggers

Next Steps

- Staff will prepare a Risk Analysis and Evaluation of the identified Material Risks from this Workshop.
- Present to Audit & Risk Committee for review and monitoring.

Partly Operative District Plan

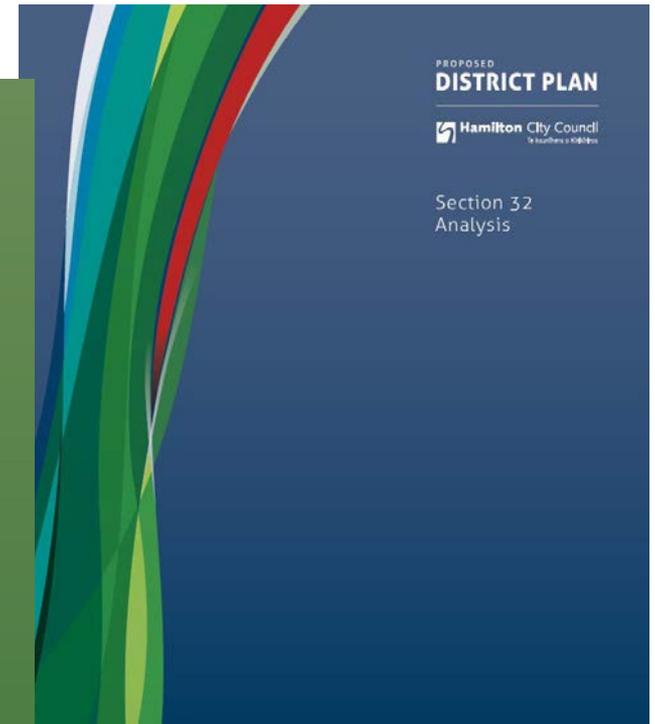
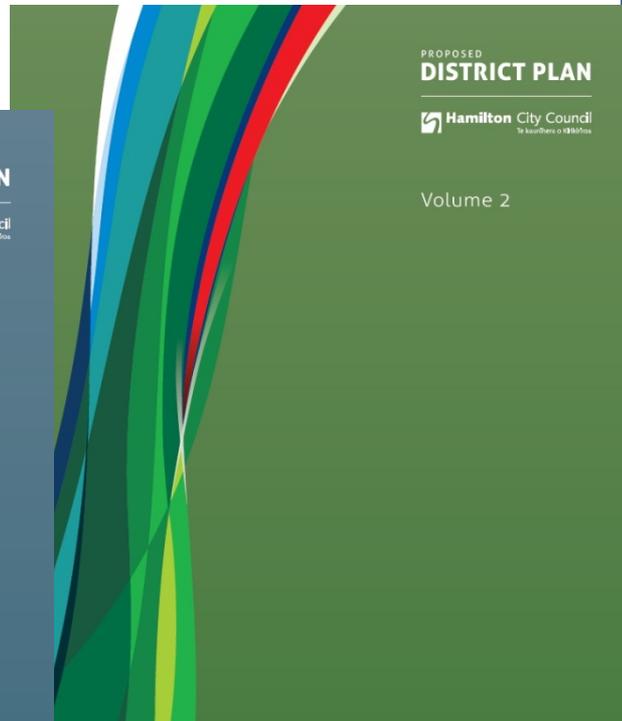
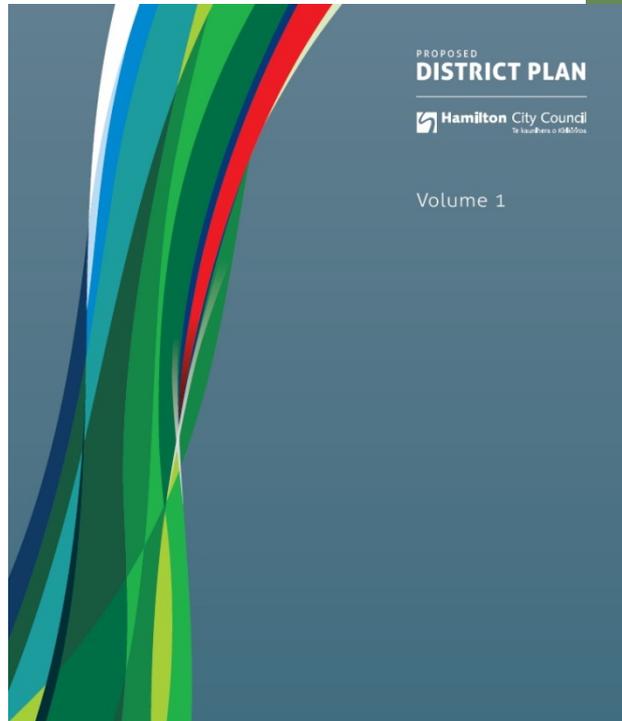
Council Briefing 6 July 2017



Objective for Today

- What is a district plan
- Why we developed the new plan
- How we did this
- What is different about the plan
- Statutory process
- How is it working, and being implemented
- Future changes and amendments

Why we develop a plan



What is a District Plan

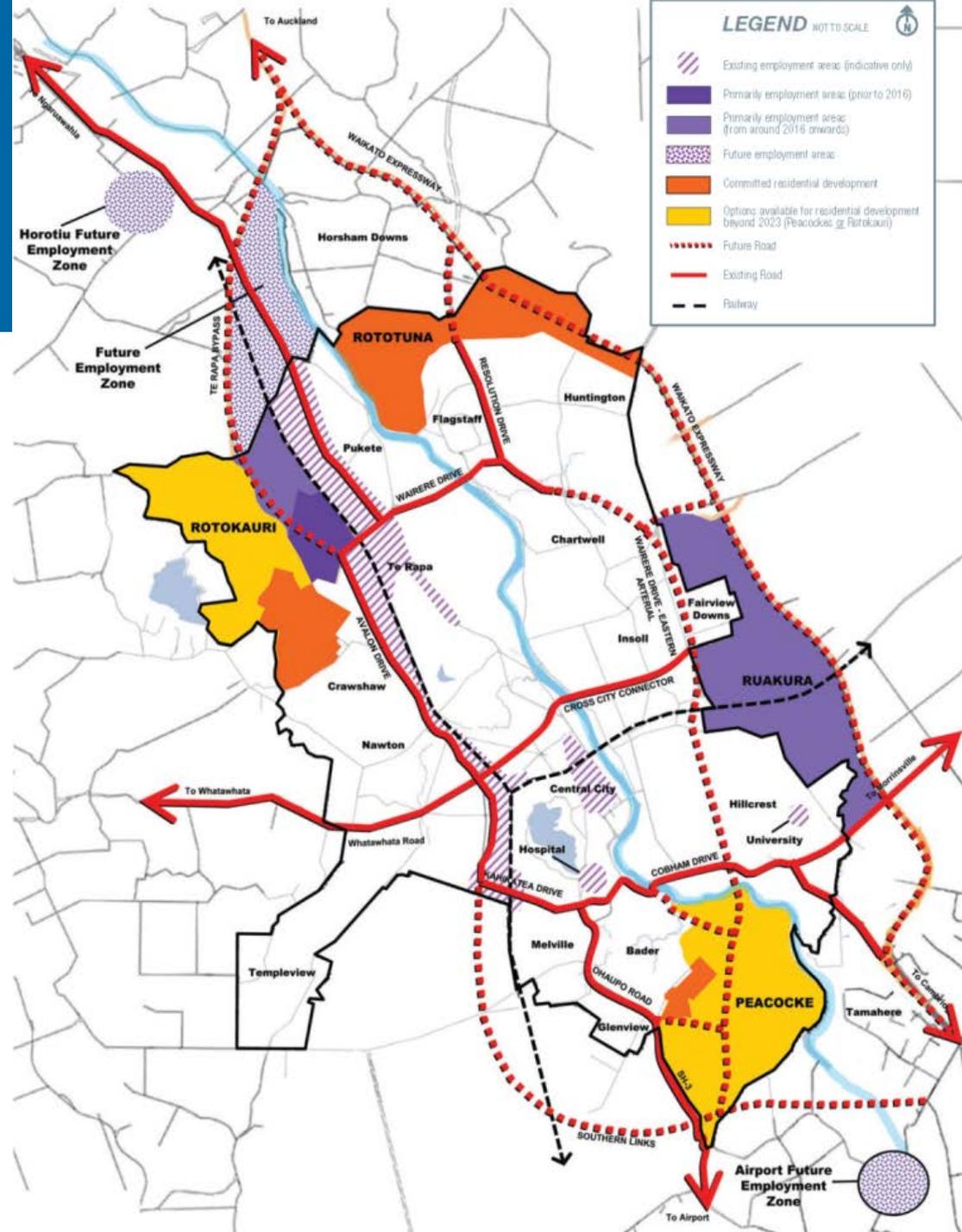
- Mandatory requirement under the RMA for all territorial authorities
- The purpose of a district plan is to ensure that there is sufficient development capacity in respect of housing and business land to meet the expected demands of the district and to control any actual or potential effects of the use, development, or protection of land
- Achieved through the implementation of objectives, policies and methods

Why develop a plan?

- Big decision – multi year, multi Council commitment
- 10 year requirement under RMA for review
- Coherent approach rather than individual plan changes
- Changes in policy landscape
- Responding to emerging issues not addressed under the previous planning framework

Anchoring HUGS

- Growth identified in HUGS / Access Hamilton for future growth
- Te Rapa North & Ruakura identified but not transferred until July 2011



How we developed the plan



Key Drivers

- Strategy framework alignment
- Urban design as a key concept
- Outcome certainty
- User friendly
- Legally robust
- Best practice
- Evidence based
- Lots on engagement and consultation

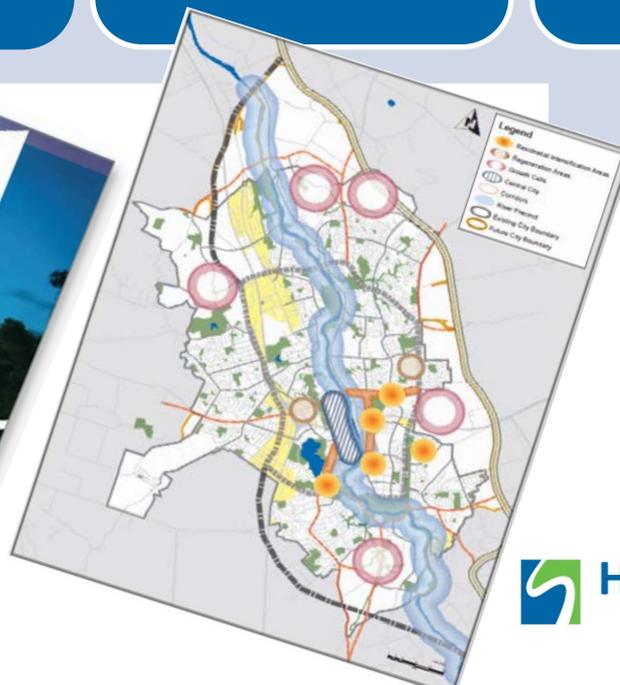
Statutory Process

Identification
of Issues 2010

Identification
of Outcomes &
Options 2011

Drafting of
Plan 2011 /
2012

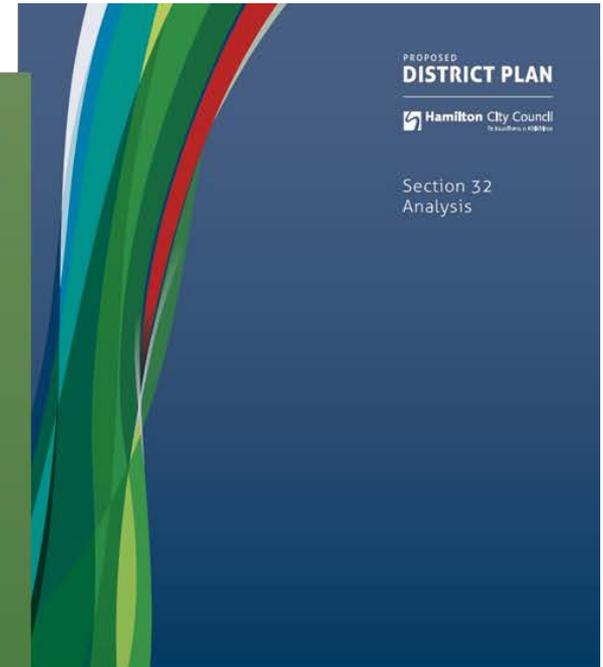
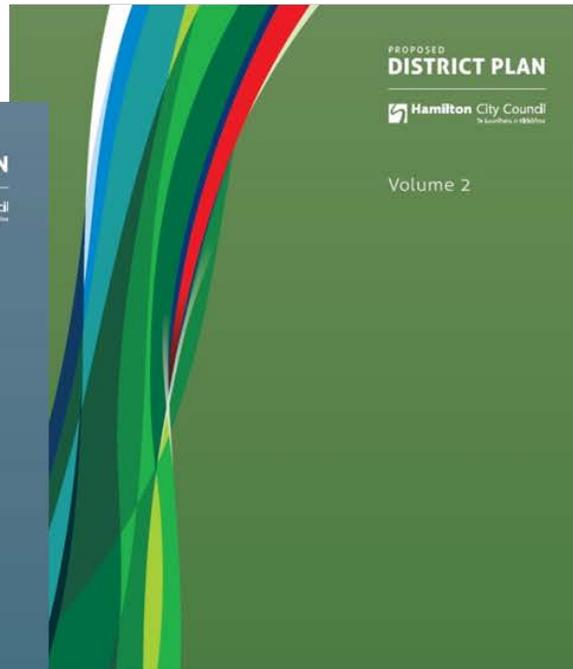
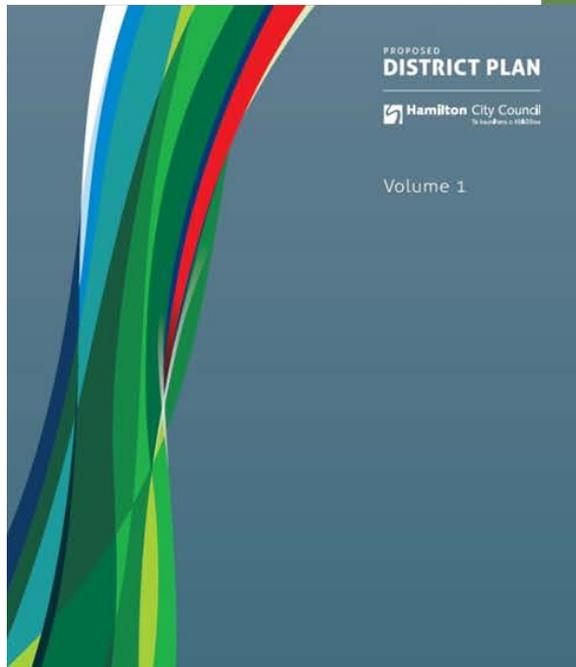
Statutory
Process 2012 -
2017



Elected member, Iwi, key stakeholder and community involvement

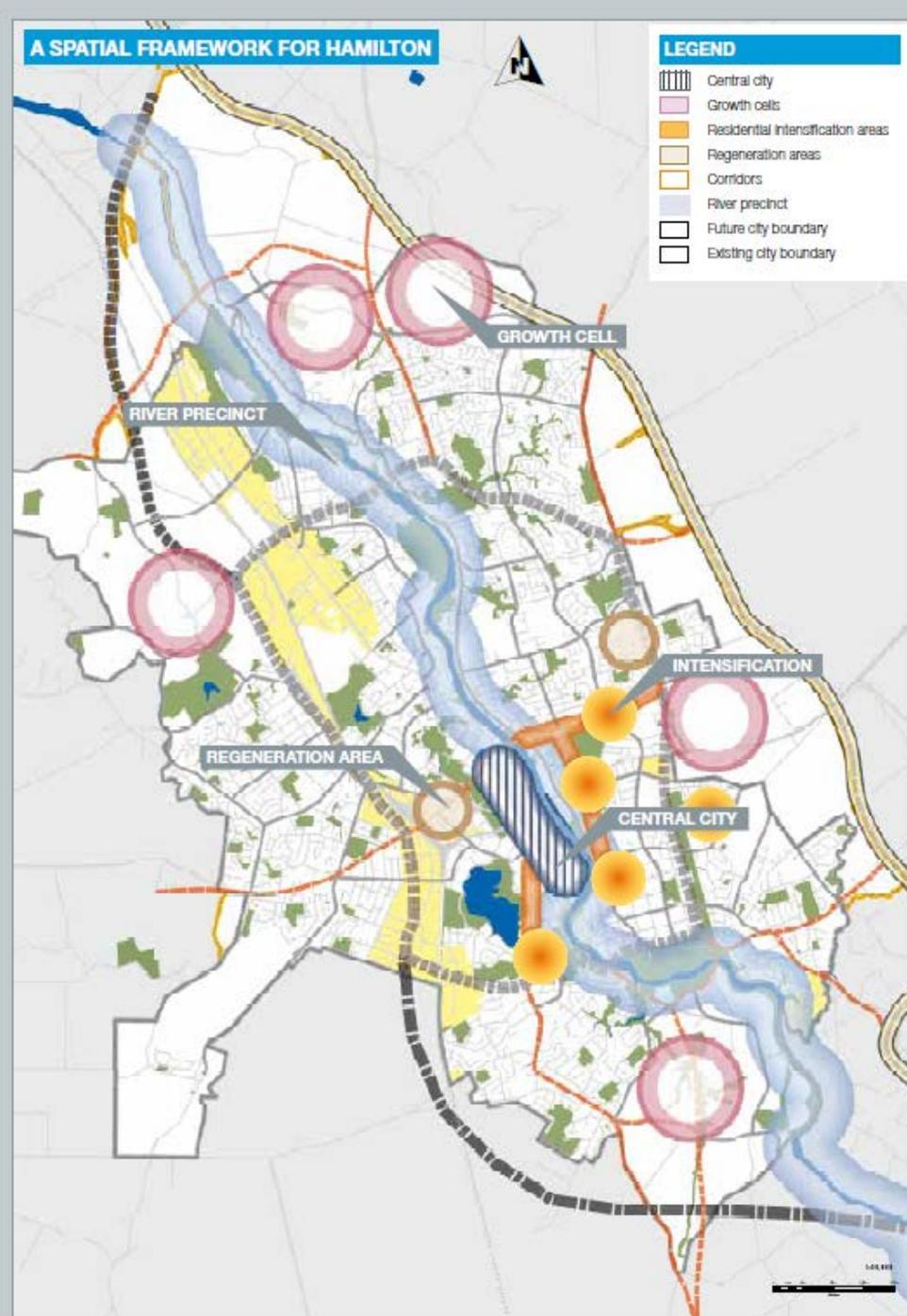


What's Different About the Plan?



Spatial framework?

- Long Term “Spatial Framework” guiding the District Plan (30 years looking ahead)



Strategic outcomes

Spatial Framework has generated strategic objectives which establish the plan vision

- Towards a compact & sustainable city
- City wide urban design approach
- Central city, business & industry (centres based)
- Residential
- The Waikato River
- Tangata Whenua
- Character & heritage
- Natural environment
- Resource efficiency
- Integrate land use, transport and infrastructure

- Tangata Whenua
 - Resource management priorities are developed in partnership with Tangata Whenua
 - Te Ture Whaimana o Te Awa o Waikato – The Vision & Strategy for the Waikato River is embedded in the plan

What's different cont'd

Towards a Compact and Sustainable City – mainly through enabling infill and other measures

What's different cont'd – urban design

Seeking to achieve good urban design outcomes through new design guides and assessment criteria



Incentivising urban design

- Limiting need for neighbours consents and notifications to promote efficiency
- Balanced by greater attention to urban design to achieve quality built outcomes

What's different cont'd

Business and Central City



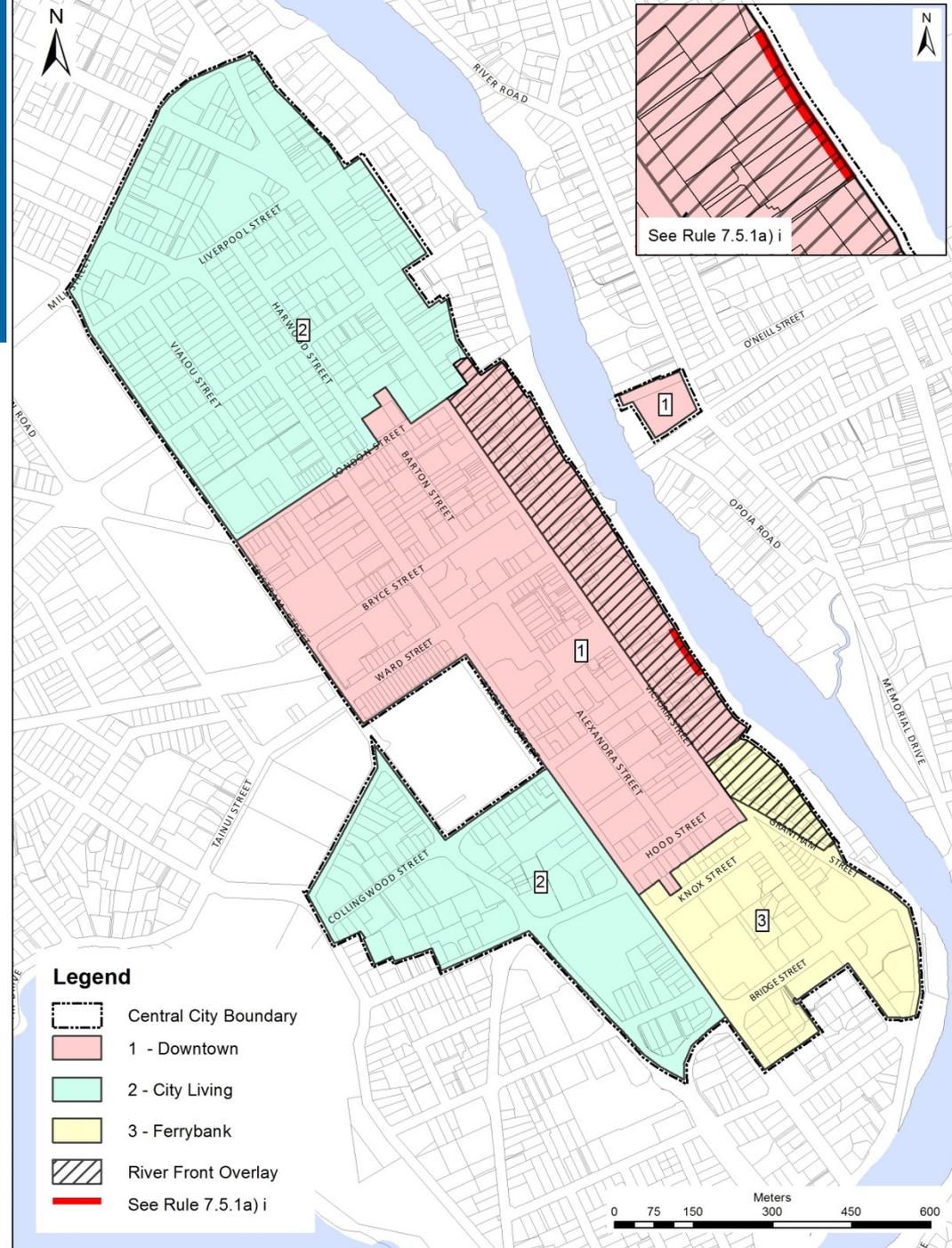
Business centres

- We have introduced a business centres hierarchy with the Central City at the top in accordance with the RPS
 - Central city
 - Sub-regional centres
 - Suburban centres
 - Neighbourhood centres
 - Industrial land for industrial uses



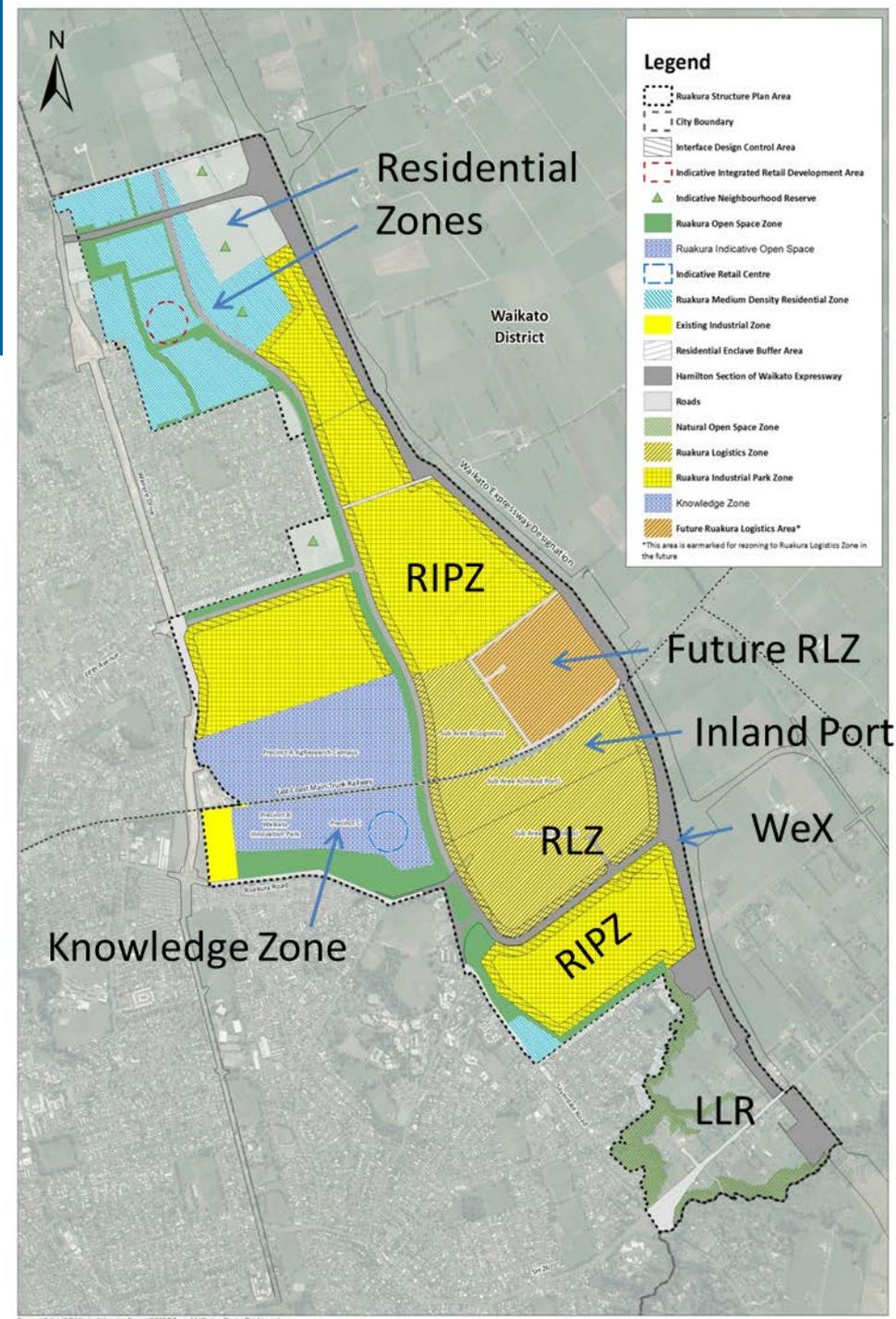
Central City

Central City Precincts



New growth areas

New comprehensive planned growth cell covering residential, inland port & logistics, knowledge zone & supporting infrastructure



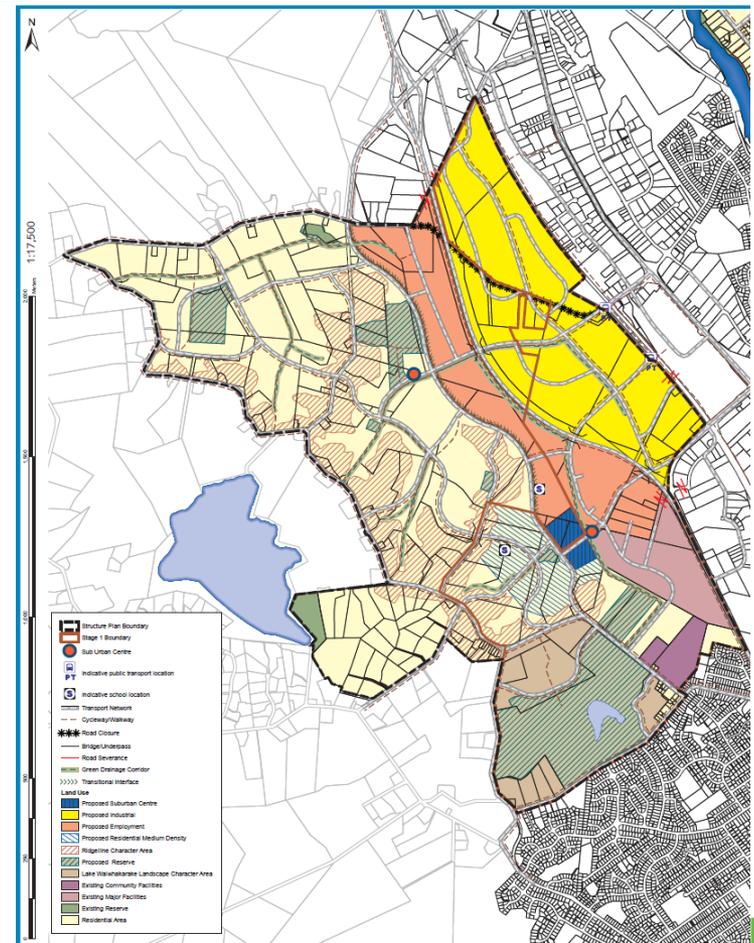
Existing residential amenity



- Residential suburbs set aside for residential purposes
 - controls on non-residential development
 - no new intensification areas proposed
 - existing special character and heritage areas maintained eg Hayes Paddock, Frankton Village

New residential growth cells

- New residential areas (Rototuna, Rotokauri, Peacocke, Ruakura) structure planned to deliver a wide range of living choices



Infrastructure management

Managing Three Waters

District Plan includes

- Integrated Catchment Management Plans
- Water Impact Assessments
- Permeability standards
- Permitted activity rules - water sensitive techniques

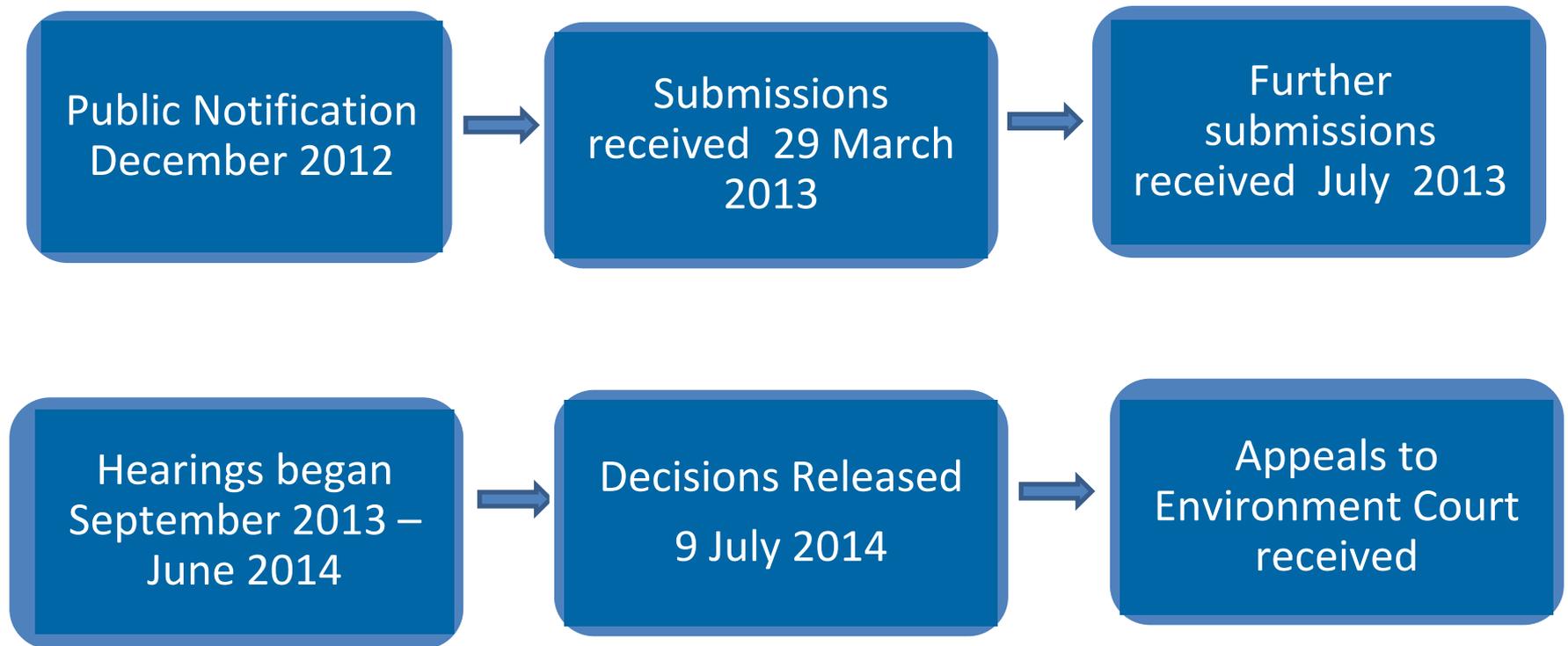


Transport

- Integrated Land Use, Transport and Infrastructure



Formal submissions and hearings



Appointment of Commissioners

- Appointment made by Council – independent, robust process, allowing elected members to maintain participation if desired
- To hear all submissions and evidence including section 42A reports – innovative process to enable hearings to be expedited as rapidly as possible
- Delegated to make all decisions

What the Process Involved (1)

- 47 reports from staff (6,722 pages)
- 59 hearing days beginning mid September and ending mid June 2014
- 706 pieces of evidence presented or tabled (total of 10,687 pages)
- Issued three directions related to hearing processes and provision of further information
- Where formal responses required to our questions, were placed on the web-site in interest of transparency/natural justice

What the Process Involved (2)

- Sections 41, & 41A-C of the RMA, and the Commissions of Enquiry Act 1908, provided broad powers to conduct hearings
- Some instances reconvened hearings - additional information as a result of directions
- Heard from a range of people (lay to technical experts)
- Site visits undertaken to more fully understand context of issues

Key Issues PDP Submissions

- Centres hierarchy
- Urban design - central city, business and industrial zones
- Opoia (Central City), Frankton, Temple View
- Assessment criteria
- Residential zones - fencing, doors
- Industrial land - (land for industrial purposes)

Decision framework under the RMA

- Requirement to consider submissions, evidence in support/opposition, section 42A reports and documentation tabled at hearings - prescriptive
- Document hierarchy: Part 2- RMA, NPS, RPS, Regional Plans
- Couldn't consider anything not provided through hearing process - prescriptive process based on legislation and case law

Decisions RMA - Submission Scope

- Limited to responding to submissions & relief sought by submitters, and any changes can only occur as being reasonably within the scope of the submission
- Further submissions can only support or oppose the original submission- cannot extend scope of original submission

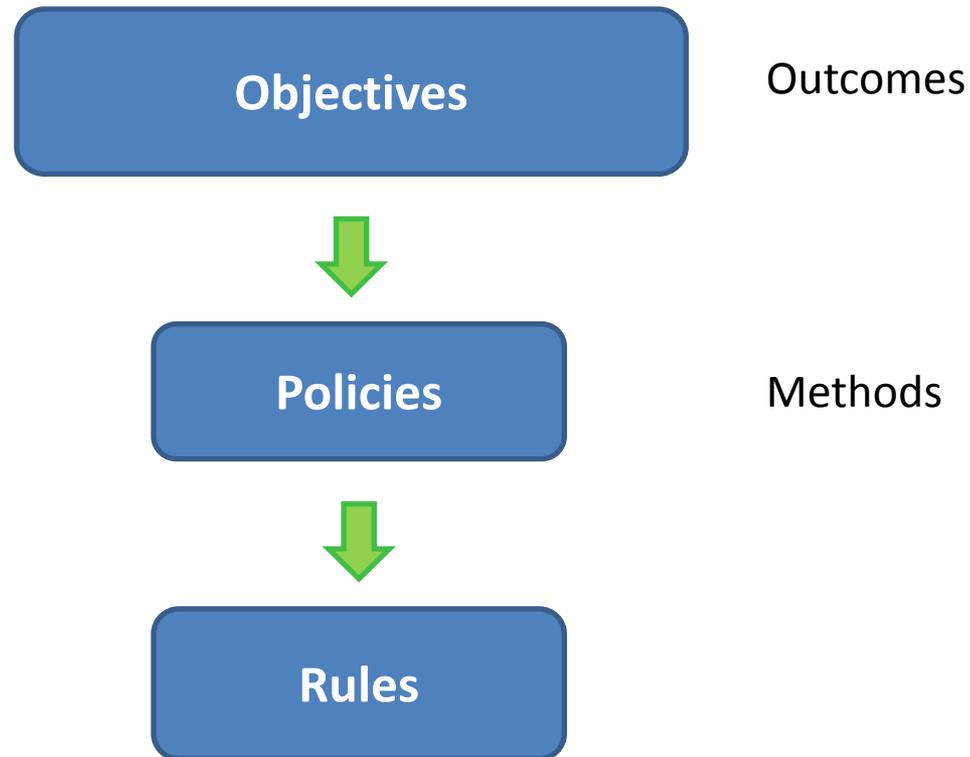
Decisions Released

- Decisions released 9th July 2014
- Largely supported staff recommendations
- Appeals to the Environment Court received along with 274 Notices

Implementation

- Public developer meetings held
- Property Council meetings
 - Guidance provided how to read the plan

Implementation cont'd



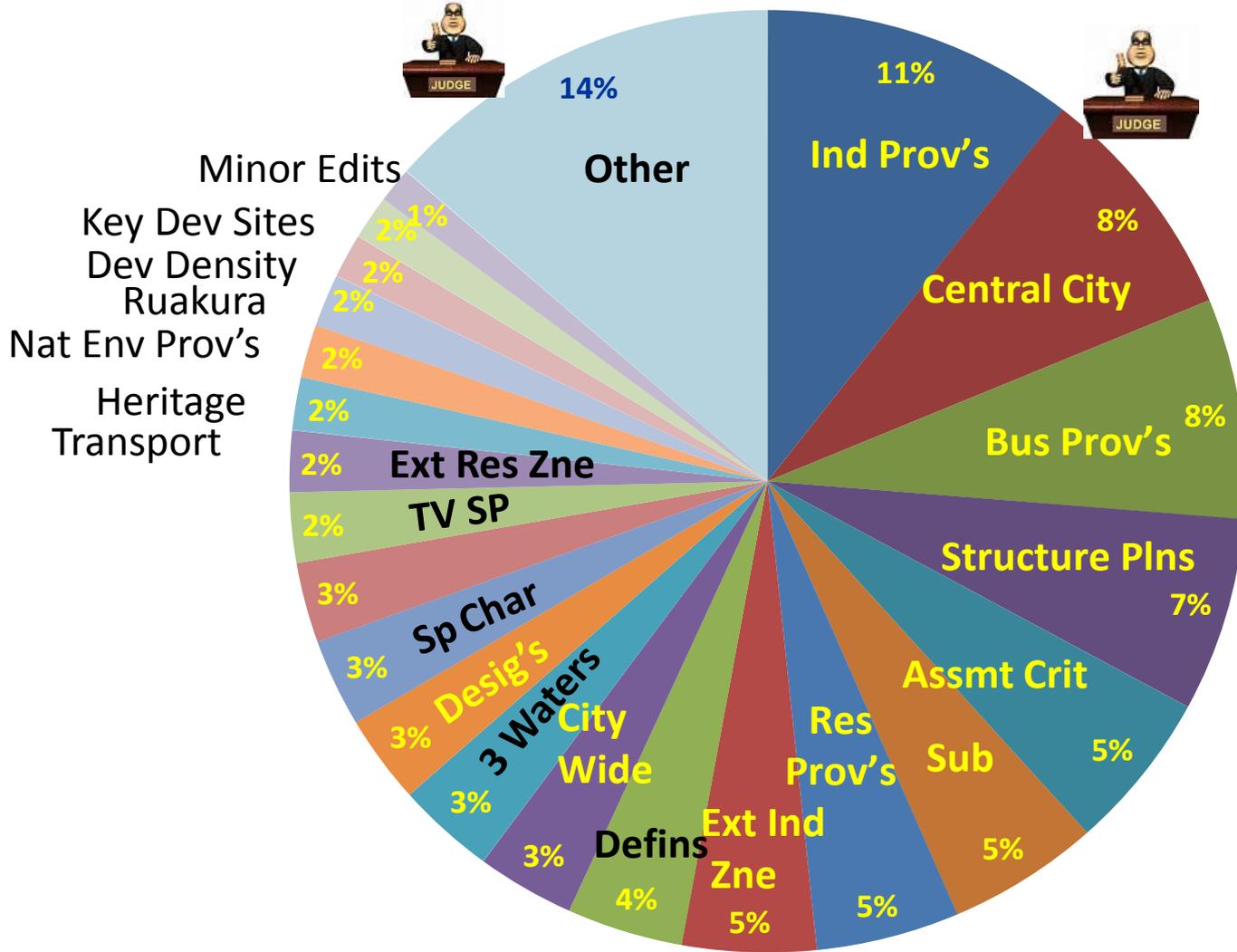
Appeals to Environment Court (1)

- 45 appeals received
- 357 appeal points
- Appeals on 3.7% of original submissions
- 172 - 274 notices received
- Environment Court process
- Regular reporting to the Court

Appeals to Environment Court (2)

- Involved many parties
- Settlement approach
 - Agree  negotiate  or go to Hearing 
- PDP Appeals Sub-committee of Council provided direction, along with Council

Hamilton City Proposed District Plan - Topics of Appeal Points



Mediation and appeal management

- Detailed & complex negotiations with appellants
- 5 appeals withdrawn
- 37 consent orders granted by the Court
- 4 Court Hearings with determinations all favourable to Council

Court Hearings

- Court Hearings included:
 - Residential Intensification Zone sought to become Central City Zone on the corner of Victoria & Boundary Sts with removal of natural hazard overlay
 - Rezoning of Waikato Community Trust Site in London St to Central City & strengthening of heritage provisions

Court Hearings cont'd

- Industrial provisions at Te Rapa & providing for residential development
- Industrial zoning sought to be rezoned business in Greenwood St

Recognised Nationally by NZPI

- Adopting a comprehensive consultation and engagement process
- Technology and systems innovation
- Planning policy innovations
- Time & efficiency savings; robust & inclusive process; positive feedback & recognition; delivering good planning outcomes; certainty of process & policy direction

Ongoing implementation

- Training for PGU has happened at various stages of the project
- Practice Notes have been prepared for PGU on some matters
- Design guides on duplexes, apartments, IRD's, heritage and character
- Ongoing consent clinics and implementing RMA reform

How it is being implemented

- Provides flexibility through the use of RD applications which don't default to more restrictive activity status – focus is on outcomes rather than technical compliance
- Pre- application are used to work through with the applicant issues
- Voluntary use of the urban design panel provides additional free expert peer review

Future Changes

- Keeping track of changes that need to be undertaken to update plan or where matters are not working well through REEP project
- RMA reforms will require review of some matters e.g.: Hazardous Facilities, NPS UDC
- Plan Changes being worked on
 - Temple View Boundary Adjustment
 - Te Awa Lakes
 - Te Rapa Racecourse
 - Transpower

Ruakura

Briefing to Council 6 July 2017



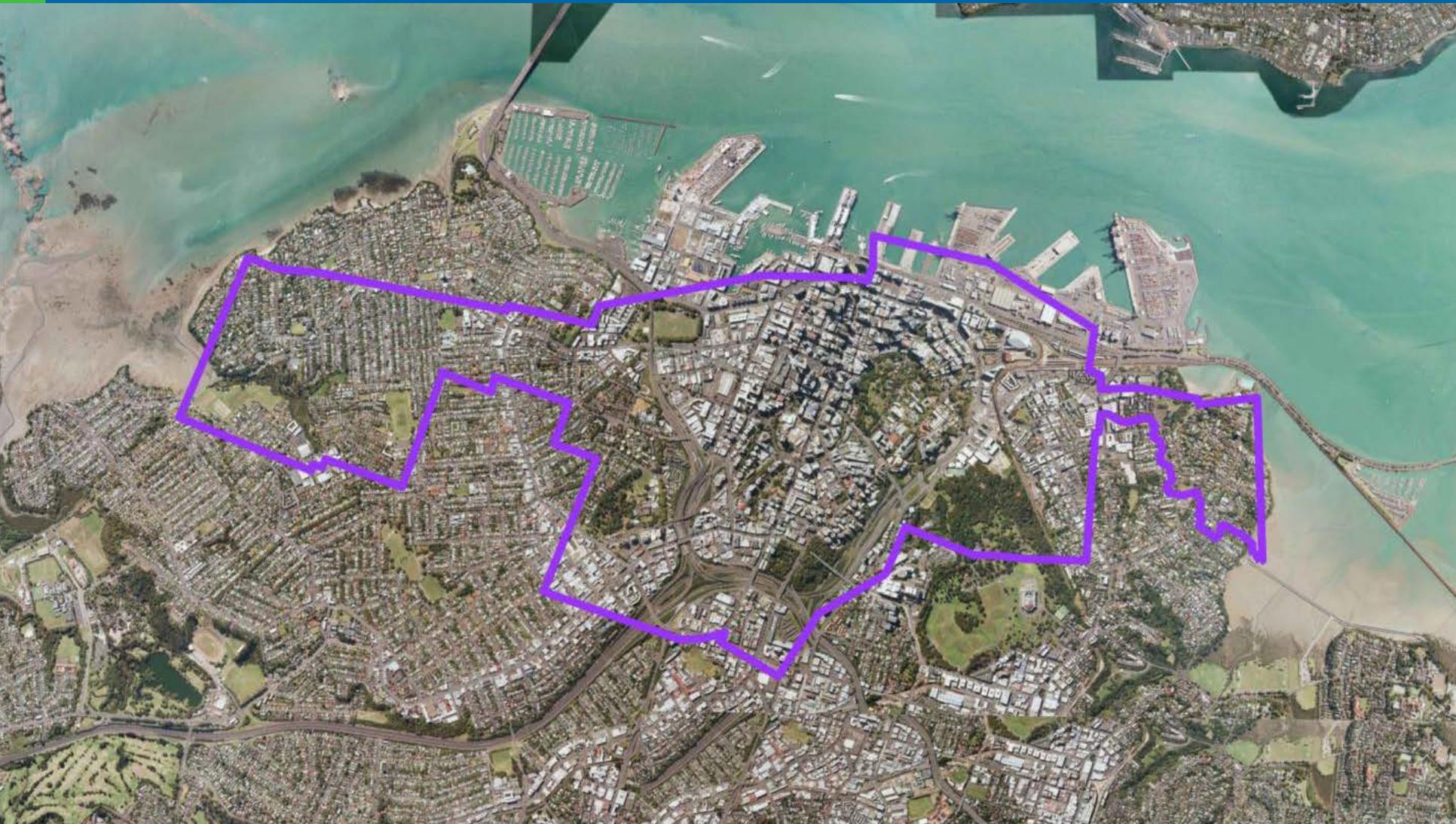
Key Objectives for today

- To provide background on the development of Ruakura
- To provide an update on the plan change process

Background

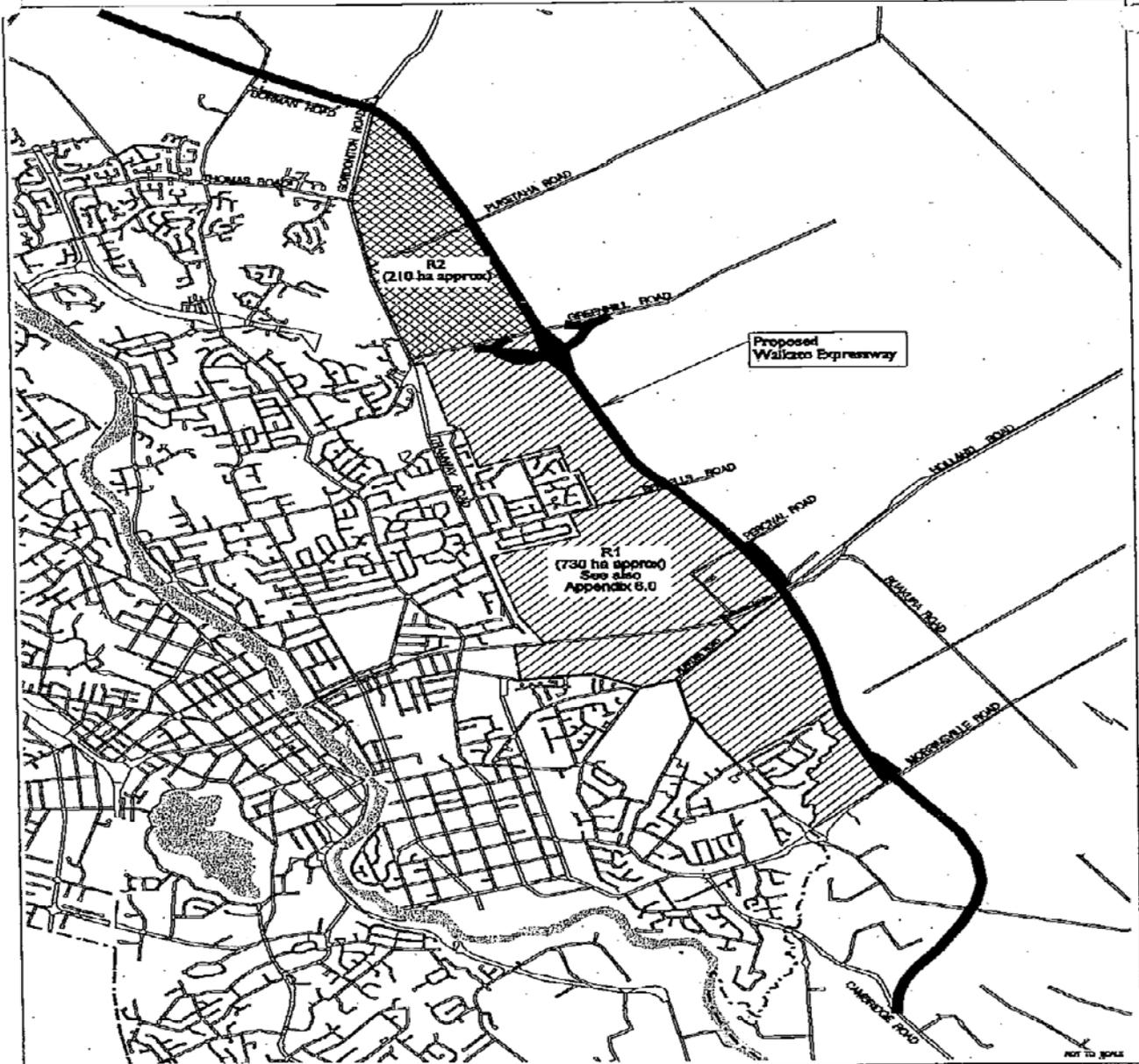
- History of Urbanisation
- Structure Planning
- Proposed District Plan (PDP)
- Board of Inquiry Process (BOI)
- Variation Process
- Overview of the Variation
- Appeals Process
- Specific Topics

Comparison of Scale to Auckland CBD



Strategic Agreement

- Hamilton city boundaries fixed in 1989
- Strategic agreement with Waikato DC in 2005
- Agreement identified land at Ruakura to be transferred



Hamilton City Long Term Growth Area

Appendix 2.0



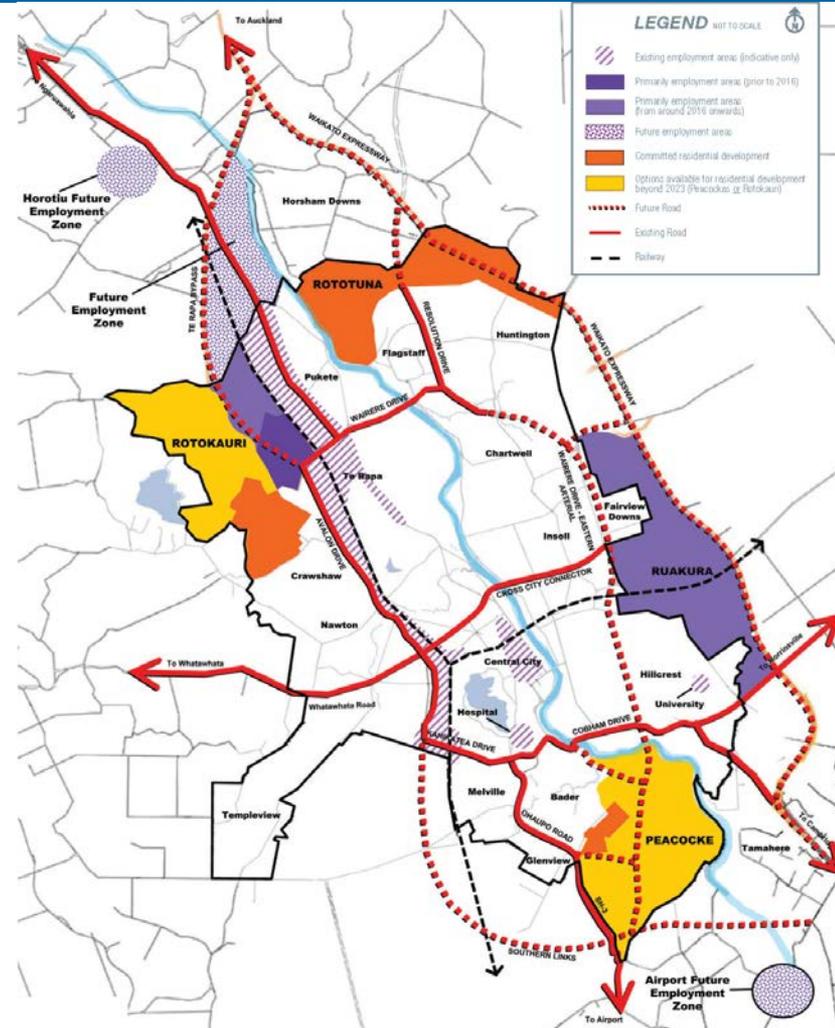
Future Proof Sub-Regional Strategy

- WRC and Future Proof Sub-Regional Planning group developed a strategic planning framework to manage future urban growth
- The Sub-Regional Growth Strategy 2009 identified Ruakura for employment



Hamilton Urban Growth Strategy (HUGS)

- HUGS completed in 2009 - provides strategic blueprint for the City
- Established long term growth settings for Hamilton including Ruakura as a new employment location



Waikato Regional Policy Statement (WRPS)

- Notified in Nov 2010
- Future Proof Strategy & HUGS anchored into formal RMA processes
- WRPS operative 20 May 2016

Structure Planning

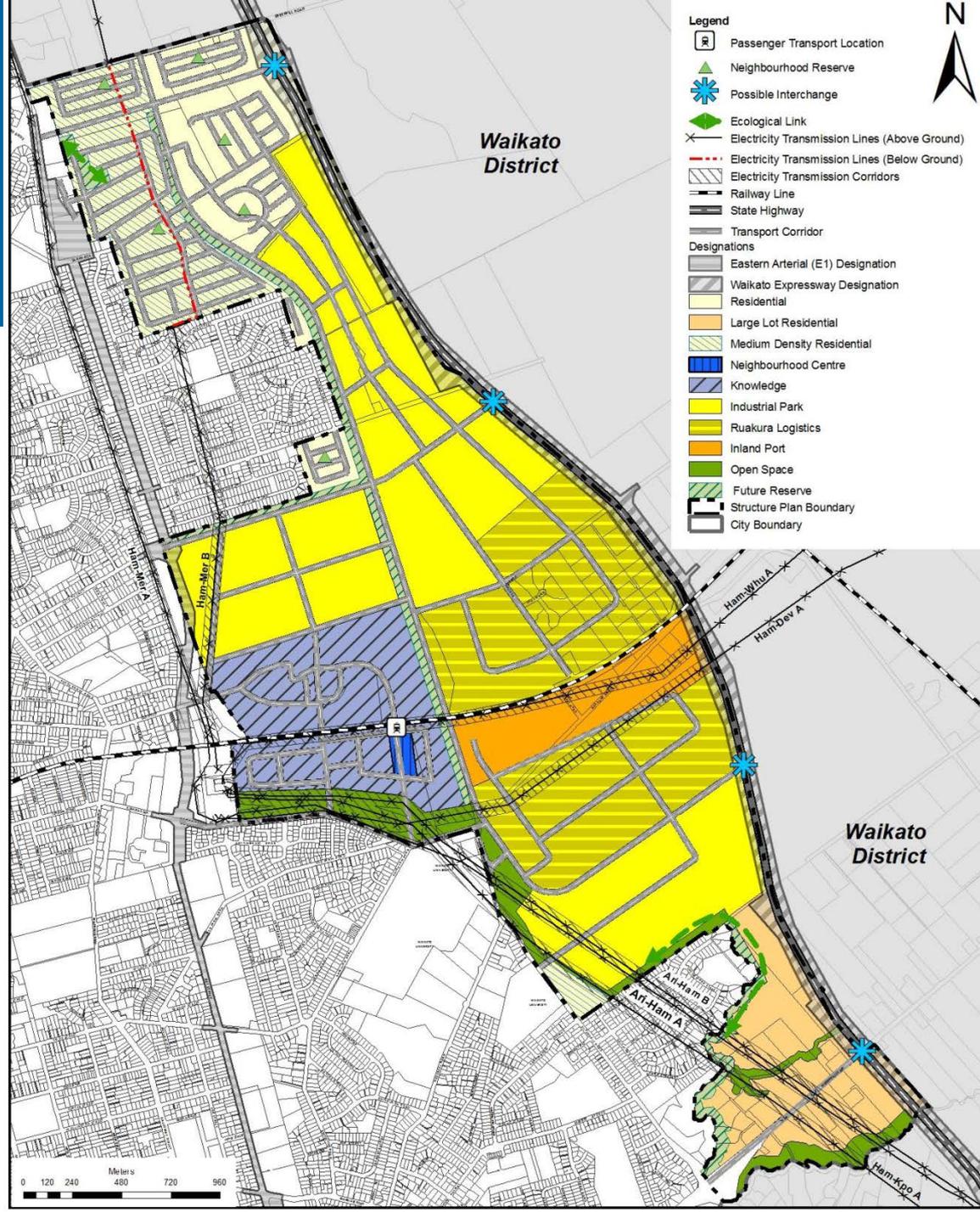
- Joint process between HCC, TGH and CPL - 2010
- An inland port could leverage the existing rail corridor & strategic road connections
- A range of uses were identified for the whole of Ruakura



Site (A) (E) (F) (G)

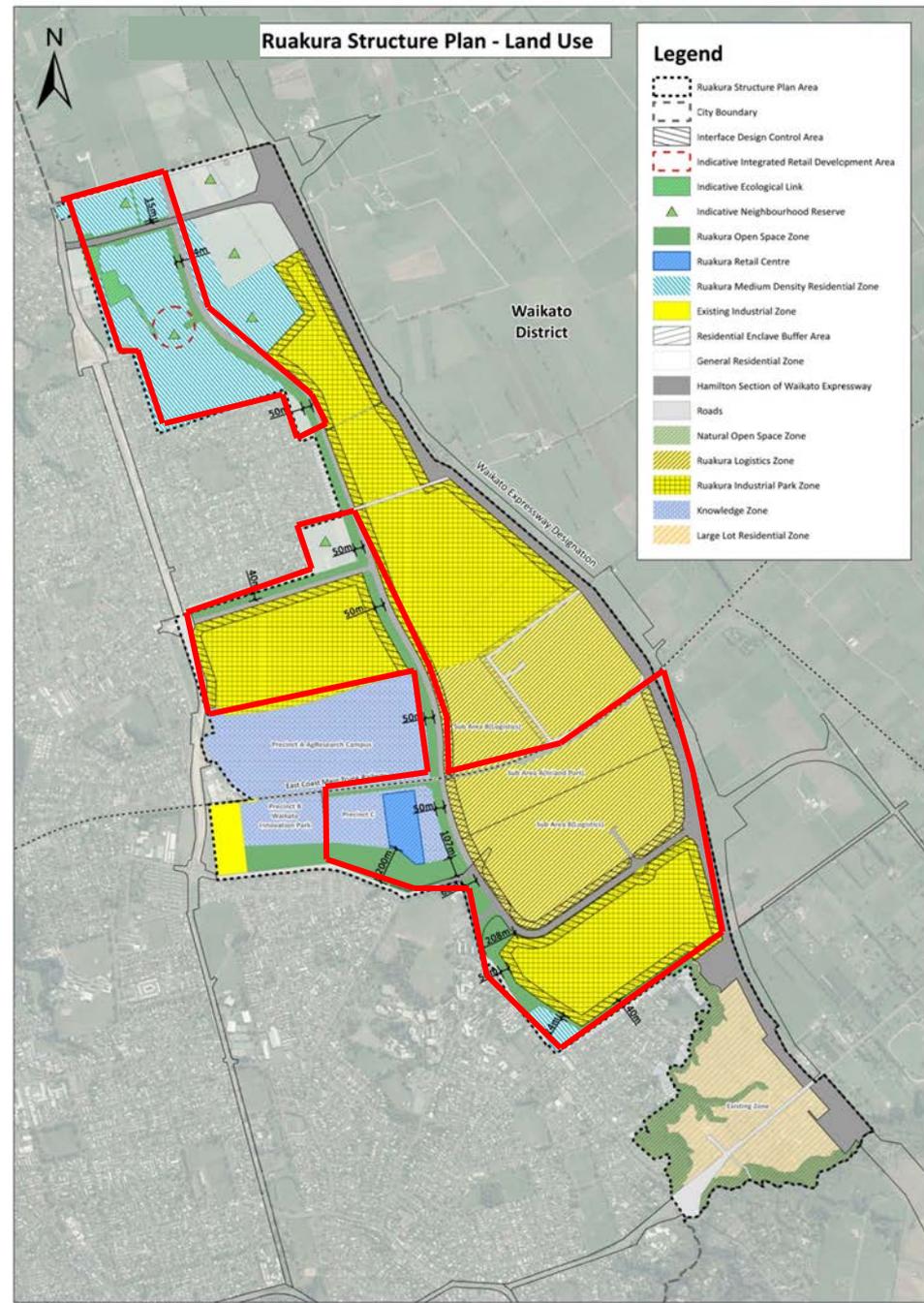
Ruakura & Proposed District Plan

- Structure Plan developed concurrently with other work streams during PDP Review
- Structure plan & zone provisions integrated into PDP - notified on 12 December 2012



BOI Process

- June 2013
application to EPA
- Hearings Deferred
on PDP for Ruakura



Board of Inquiry Process cont'd

- Decision in Sept 2014 – modified the PDP
- Variation aligned to final plan change approved by BOI

Variation Process

- A programme of meaningful consultation and participatory engagement
- Comprehensive investigations and studies undertaken

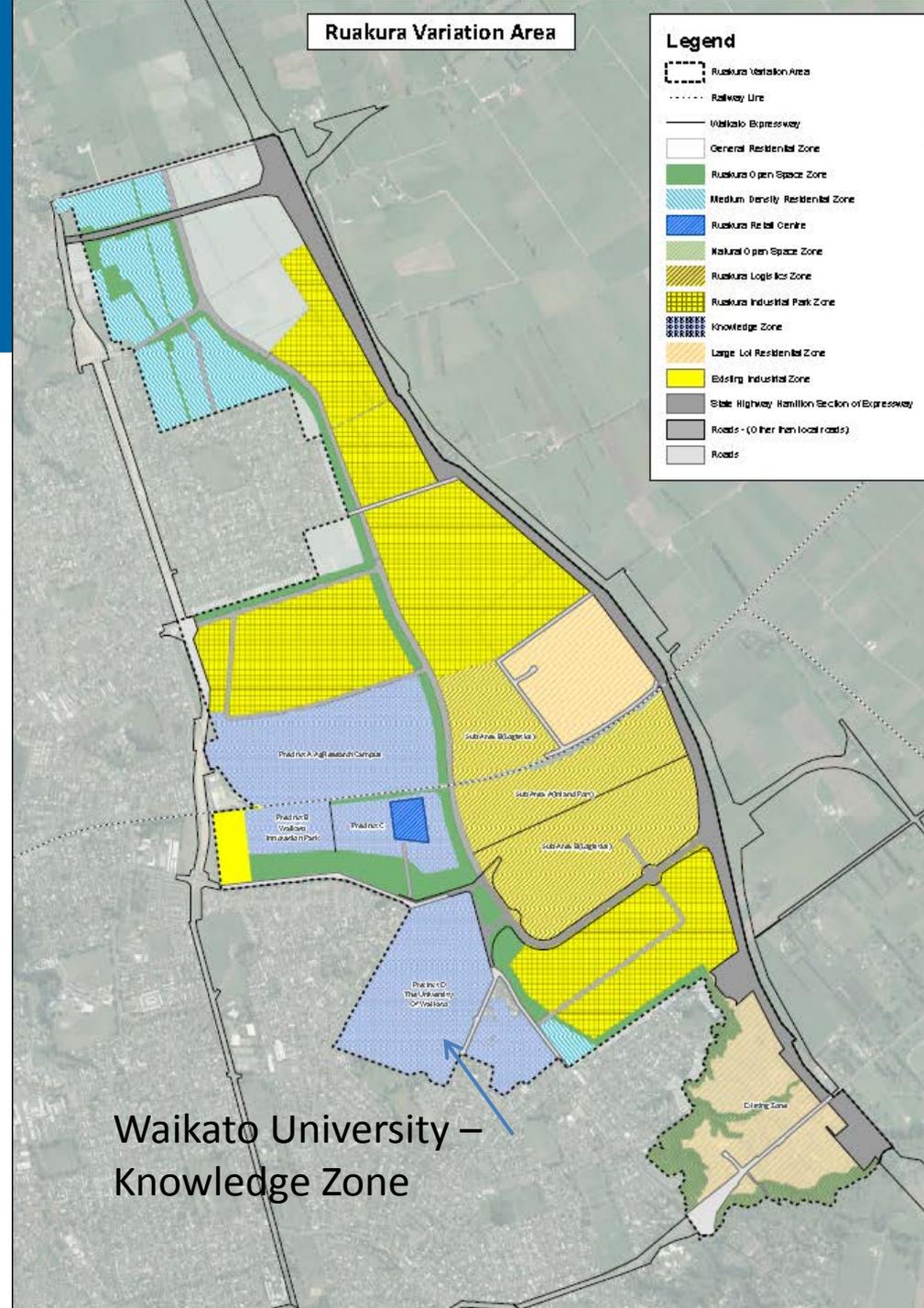
Overview of the Variation

- BOI consistency
- Appeals version of the PDP

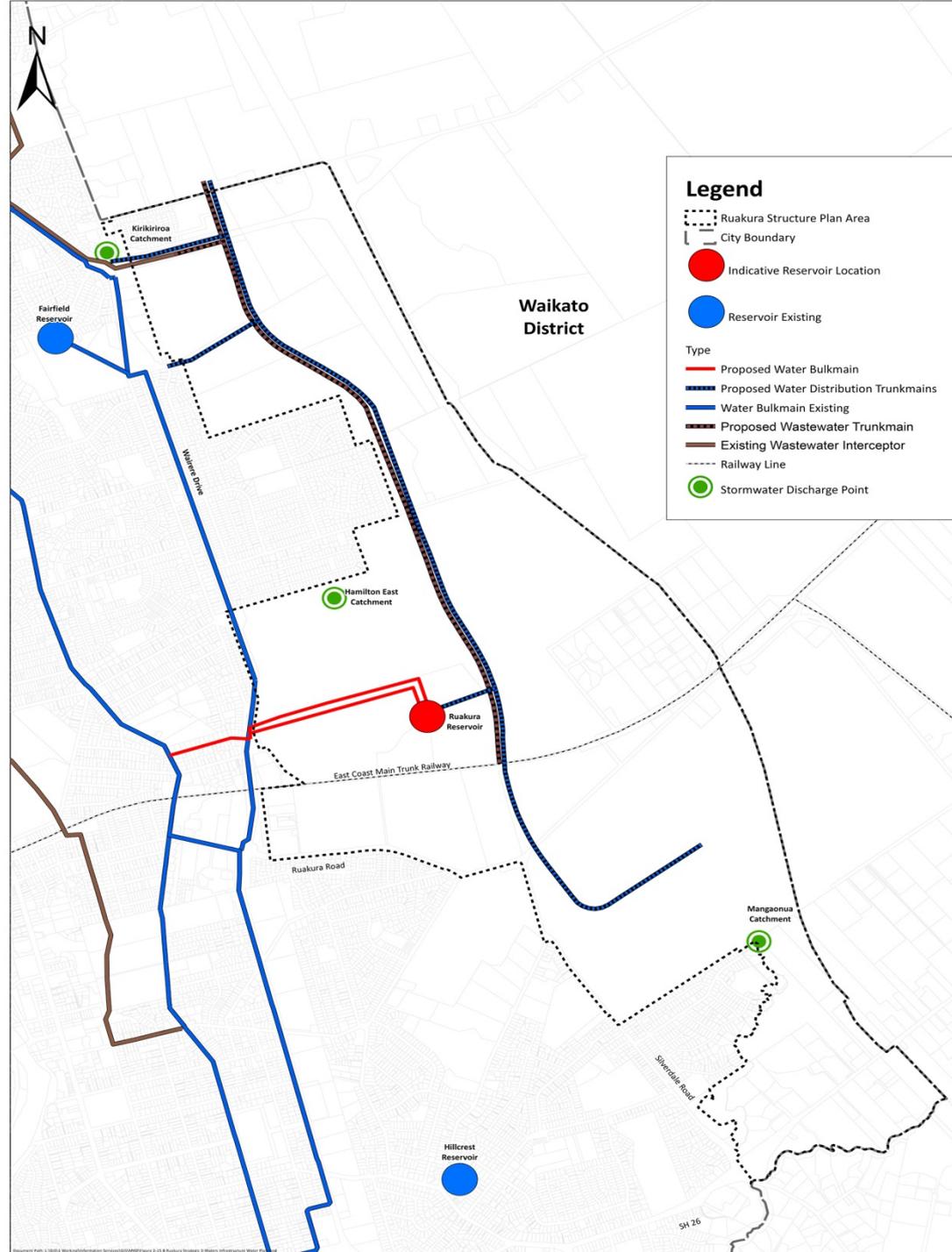
Overview of the Variation

Landuse

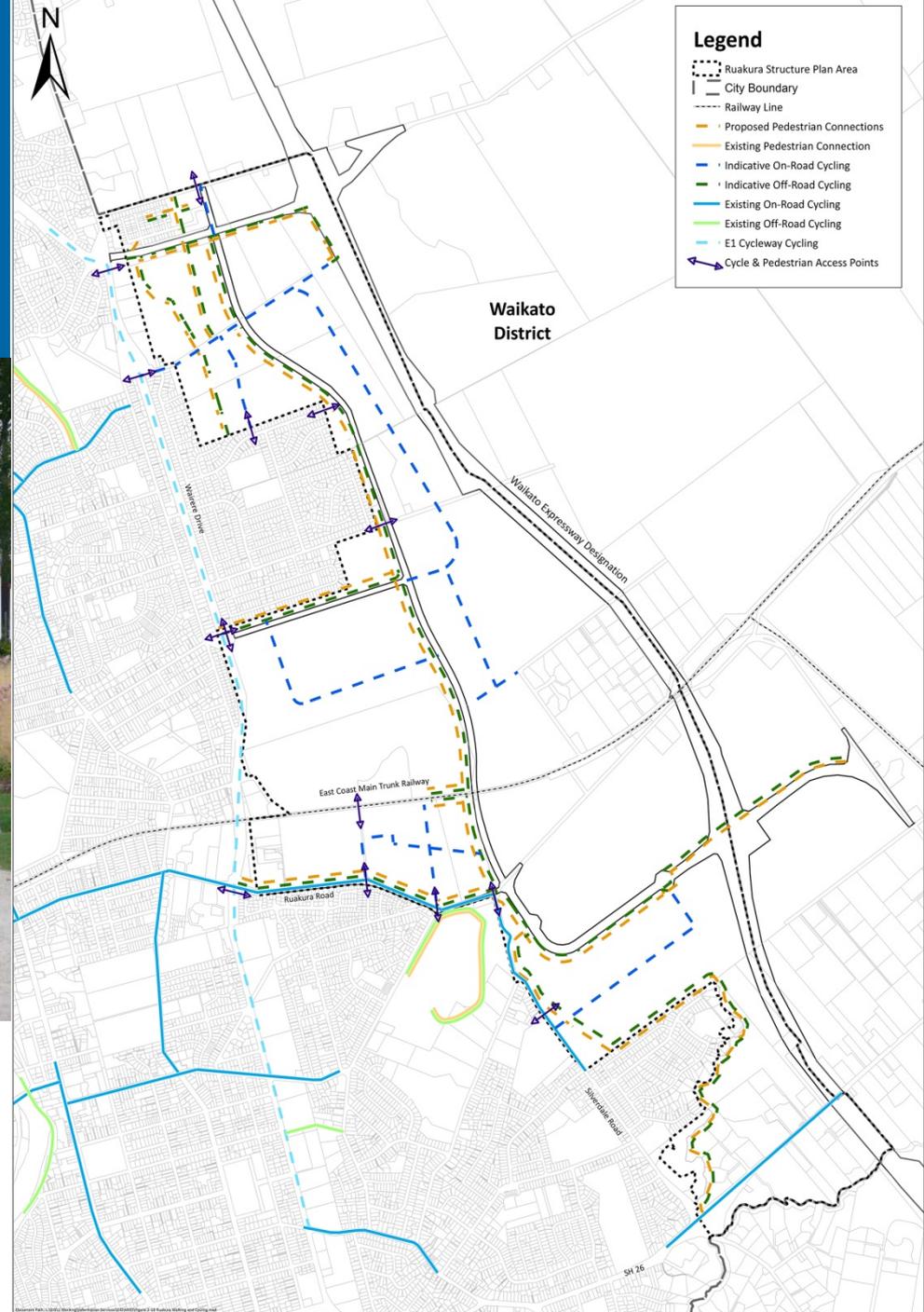
Now Plan Change 1



Three Waters



Cyclist & Pedestrian Network



Decisions by Commissioners

- Largely endorsed Council position as notified or changes made as recommended by staff

Appeals Process

- Environment Court process
- Regular reporting to the Court
- Involves 7 Parties
- Settlement approach
 - Agree, negotiate, or go to Court

Number of appeals

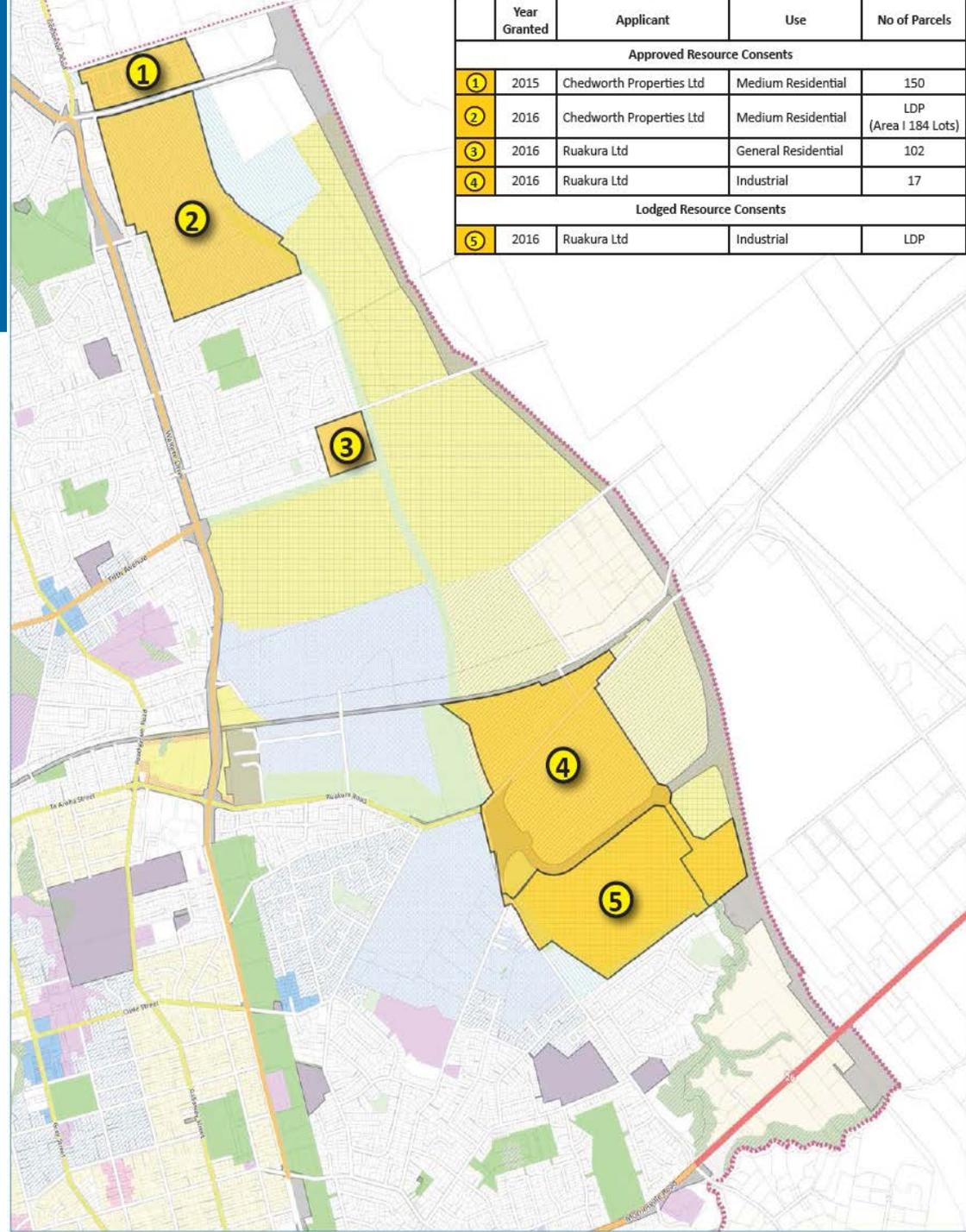
- 2 appeals received
- 60 appeal points
- 4 - 274 notices received

Appeal Mediation

- Court assisted mediation held 8 June
- All matters resolved in principle in accordance with Council delegations

Consented Areas

- Medium residential areas
- Residential area
- Part Inland Port & RLZ
- RIPZ



- Notes
1. Greenhill Park Area J Subdivision currently under construction
 2. Stormwater Park
 3. Stormwater / Ecological swale
 4. Local shops and retail park / plaza
 5. Sports Park
 6. Existing Fairview Downs residential area
 7. Spine Road



REFER FIGURE 8 STORMWATER PARK CONCEPT PLAN

REFER FIGURE 10 INDICATIVE RETAIL PARK CONCEPT PLAN

REFER FIGURE 12 INDICATIVE SPORTS PARK CONCEPT PLAN

Wairere Roundabout

Porritt Stadium

Wairere Drive

Radiata Street

Raymond Park



Consented Area for Inland Port & Logistics



Consented LDP Area A

Eastern Section of Realigned Ruakura Road

Western Section of Realigned Ruakura Road - Part of LDP Area A

Future Service Centre - Part of LDP Area C

Expansion Area

BS1 Stormwater Area - Part of LDP Area A

University of Waikato

Hillcrest Rd

Silverdale Wetland

Nevada Road Elongated Basin

Nevada Rd

Mangaonua Stream

Chelmsford Park

REFER H16028_016

Silverdale Rd

Diagonal Swale

Sheridan St

Transmission Line (ARI-HAM-B)
Transmission Line (ARI-HAM-A)

NOTES

1. Silverdale Road culvert - inlet
2. Nevada Road culvert - outlet
3. Access to Ruakura Silverdale Industrial LDP provided from western section of Realigned Ruakura Road
4. Access between Road 4 and Silverdale Road obstructed until eastern section of Realigned Ruakura Road and Waikato Expressway completion
5. Extent of BS1 required for Ruakura Silverdale Industrial LDP
6. Gateway landscape treatment
Refer H16028_009 for Planting information
7. Overflow from Nevada Road Culvert spills over to BS1

Consented Area for Ruakura Industrial Park Zone