

## Laura Bowman

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**From:** official information  
**Sent:** Tuesday, 28 June 2022 8:21 am  
**To:** [REDACTED]  
**Cc:** official information  
**Subject:** Final Response - LGOIMA 269054 - [REDACTED] - Copy of all the external Audit and Risk Reports for years 2017 to 2022

Kia Ora,

I refer to your **information request below**, Hamilton City Council is able to provide the following response. Please see below.

### Your request 1:

Please provide a copy of all the external Audit and Risk Reports for years 2017 to 2022.

### Our Response 1:

This information is publically available, as such we are refusing this in accordance with [S 17\(d\) of LGOIMA](#).

- a. Audit & Risk reports are the agenda item “Risk Management Report” in the open agendas for each Audit & Risk Committee meeting from 1 January 2017 to 23 September 2019.
- b. Strategic Risk & Assurance reports are the agenda item “Risk Management Report” in the open agendas for each Strategic Risk & Assurance Committee from 11 December 2019 to 9 June 2022.
- c. Both are publicly available online. Click [here](#) and apply the following search options:

### Search options

From:  To:

Document Type

Location

Meeting Type

### Search options

From:  To:

Document Type

Location

Meeting Type

### Your request 2:

Please provide a definition of significant risk, quantified in \$\$ and text

### Our response 2:

A residual risk rating of high, very high or extreme is considered a significant risk and reported to the Strategic Risk & Assurance Committee (formerly the Audit & Risk Committee). All risk ratings are based on likelihood and consequence. Financial risks are the only risks that have a consequence descriptor including quantum and text. These are shown in the table below.

RISK CATEGORY / SUB-CATEGORY		CONSEQUENCE			
		1	2	3	
		MINOR	MODERATE	SERIOUS	
Financial		Impact can be managed within current resources, with no/little re-planning. Potential for minor delays (up to 7 days) to project delivery exists. Effect of unplanned expenditure, loss of income or cashflow impact is under \$100,000 and our ability to raise debt funding or source insurance cover is unaffected.	Impact can be managed within current resources, with some re-planning. Delays (up to 14 days) to project delivery exists. Effect of unplanned expenditure, loss of income or cashflow impact is under \$1 million and our ability to raise debt funding or source insurance cover is unlikely to be affected.	Impact can be managed with some re-planning, however extra financial and/or human resources are needed. Delays (up to 1 month) to project delivery exists. Effect of unplanned expenditure, loss of income or cashflow impact is under \$3 million and our ability to raise debt funding or source insurance cover may be affected.	Impact can be managed with some re-planning, however extra financial and/or human resources are needed. Delays (up to 1 month) to project delivery exists. Effect of unplanned expenditure, loss of income or cashflow impact is under \$3 million and our ability to raise debt funding or source insurance cover may be affected.
	Internal Financial	Impact can be managed within current resources with no re-planning. Limited financial effect of unplanned expenditure, loss of income or cashflow <\$100,000. Ability to secure debt funding not affected.	Impact can be managed within current resources with some re-planning. Minor effect of unplanned expenditure, loss of income or cashflow <\$1 million. Unlikely to affect our ability to secure debt funding.	Impact can be managed with some re-planning and modest extra financial and/or human resources. Impact of unplanned expenditure, loss of income or cashflow <\$3 million. May affect our ability to source debt funding.	Impact can be managed with some re-planning and modest extra financial and/or human resources. Impact of unplanned expenditure, loss of income or cashflow <\$3 million. May affect our ability to source debt funding.
	External Financial	Impact can be managed within current resources with no re-planning. Limited financial effect of unplanned expenditure, loss of income or cashflow <\$100,000. Ability to secure debt funding not affected.	Impact can be managed within current resources with some re-planning. Minor effect of unplanned expenditure, loss of income or cashflow <\$1 million. Unlikely to affect our ability to secure debt funding.	Impact can be managed with some re-planning and modest extra financial and/or human resources. Impact of unplanned expenditure, loss of income or cashflow <\$3 million. May affect our ability to source debt funding.	Impact can be managed with some re-planning and modest extra financial and/or human resources. Impact of unplanned expenditure, loss of income or cashflow <\$3 million. May affect our ability to source debt funding.
	Procurement	Limited effect on the outcomes and/or objectives of a business unit. Procurement Project may be delayed	Minor impact on Procurement project. Could have cross over consequences to other sub contractors and small financial negative impact to Council	Serious impact to project. Serious delays starting to have reputational risk and considerable financial penalty to Council. Could have Health & Safety impact due to injury as a result of poor HSE consideration with moderate injury and down time	Major impact to project. Serious delays starting to have reputational risk and considerable financial penalty to Council. Could have Health & Safety impact due to injury as a result of poor HSE consideration with moderate injury and down time
	Insurance	Insurance value of loss/damage or liability to others <\$10K with no associated loss of revenue/rents or additional cost of working. Impact on ability to source insurance cover not affected.	Insurance value of loss/damage or liability to others between \$10K and \$50K with possible associated loss of revenue/rents or additional cost of working included in value. Impact on ability to source insurance unlikely to be affected.	Insurance value of loss/damage or liability to others between \$50K and \$500K with possible associated loss of revenue/rents or additional cost of working included in value. Impact on ability to source insurance may be affected.	Insurance value of loss/damage or liability to others between \$50K and \$500K with possible associated loss of revenue/rents or additional cost of working included in value. Impact on ability to source insurance may be affected.

#### Your request 3:

Please provide a list of those items in each report (above) that identify significant risk to HCC and the Ratepayer, together with the action and date the risk is mitigated.

#### Our response 3:

This information is contained as an attachment to each Risk Management Report in the open agendas for each meeting (refer 1. above). This information is publicly available, as such we are refusing this in accordance with [S 17\(d\) of LGOIMA](#).

#### Your request 4:

Please highlight those significant risks that remain unresolved.

#### Our response 4:

This information is contained as an attachment to the most recent Risk Management Report to the 9 June Strategic Risk and Assurance Committee. This information is publicly available, as such we are refusing this in accordance with [S 17\(d\) of LGOIMA](#). Please refer to point 1 above to access it.

You have the right to seek an investigation and review by the Ombudsman of this decision. Information about how to make a complaint is available at [www.ombudsman.parliament.nz](http://www.ombudsman.parliament.nz) or freephone 0800 802 602.

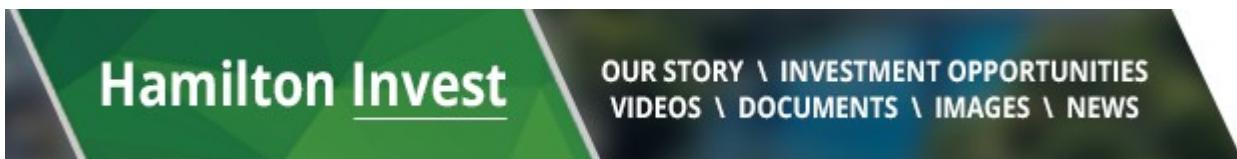
Kind Regards,

**Laura** | Official Information Coordinator  
Legal Services & Risk | People and Organisational Performance  
Email: [officialinformation@hcc.govt.nz](mailto:officialinformation@hcc.govt.nz)



**Hamilton City Council | Private Bag 3010 | Hamilton 3240 | [www.hamilton.govt.nz](http://www.hamilton.govt.nz)**

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**From:** Hamilton City Council <[do.not.reply@hcc.govt.nz](mailto:do.not.reply@hcc.govt.nz)>

**Sent:** Wednesday, 15 June 2022 5:09 pm

**To:** official information <[officialinformation@hcc.govt.nz](mailto:officialinformation@hcc.govt.nz)>

**Subject:** HCC Website - Official Information Request ref: HCC-QF-220615-A6BRG-541

#### **HCC Website - Official Information Request**

**Reference:** HCC-QF-220615-A6BRG-541

**Attachment:** not attached

**Name:** [REDACTED]

**Email address:** [REDACTED]

**Phone number:** [REDACTED]

#### **Detailed Description of Request**

Audit & Risk Committee – External Audit Reports

1. Please provide a copy of all the external Audit and Risk Reports for years 2017 to 2022.
2. Please provide a definition of significant risk, quantified in \$\$ and text.
3. Please provide a list of those items in each report (above) that identify significant risk to HCC and the Ratepayer, together with the action and date the risk is mitigated.
4. Please highlight those significant risks that remain unresolved.

**Organisation:** not supplied