

[UNCLASSIFIED]

**From:** s 9(2)(a)  
**Sent:** Saturday, 27 February 2021 10:41 pm  
**To:** Rod Carr <Roderick.Carr@climatecommission.govt.nz>  
**Subject:** RE: Climate Change Commission: Interests Letter

[UNCLASSIFIED]

Hi Rod,

Absolutely! We'll include this as well as an update on where the interests work is at and where to from here.

Thanks  
s 9(2)(a)

[UNCLASSIFIED]

**From:** Rod Carr <[Roderick.Carr@climatecommission.govt.nz](mailto:Roderick.Carr@climatecommission.govt.nz)>  
**Sent:** Saturday, 27 February 2021 4:56 pm  
**To:** s 9(2)(a) <[redacted]@climatecommission.govt.nz>  
**Subject:** Fwd: Climate Change Commission: Interests Letter

I assume we will include this letter in papers for 9 March board.  
Rod

**From:** s 9(2)(a) <[redacted]@parliament.govt.nz>  
**Sent:** Thursday, February 25, 2021 4:25 PM  
**To:** Rod Carr  
**Cc:** J Shaw (MIN); s 9(2)(a) <[redacted]>  
**Subject:** Climate Change Commission: Interests Letter

Dear Rod

Please find attached a letter from Minister Shaw, responding to your letter dated 23 December 2020 regarding the interests held by Commission Board members.

Kind regards,  
s 9(2)(a)



[Redacted] s 9(2)(a)

**Office of Hon James Shaw**

Minister of Climate Change | Associate Minister for the Environment (Biodiversity)  
Room 2.026, Parliament House | Private Bag 18041 | Wellington 6160 |  
New Zealand  
s 9(2)(a)

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*Please note information about meetings related to the Minister's portfolios will be proactively released (this does not include personal or constituency matters). For each meeting in scope, the summary would list: date, time (start and finish), brief description, location, who the meeting was with, and the portfolio. If you attend a meeting with the Minister on behalf of an organisation, the name of the organisation will be released. If you are a senior staff member at an organisation, or meet with the Minister in your personal capacity, your name may also be released. The location of the meeting will be released, unless it is a private residence. The proactive release will be consistent with the provisions in the Official Information Act, including privacy considerations. Under the Privacy Act 1993 you have the right to ask for a copy of any personal information we hold about you, and to ask for it to be corrected if you think it is wrong. If you'd like to ask for a copy of your information, or to have it corrected, or are concerned about the release of your information in the meeting disclosure, please contact the sender. You can read more about the proactive release policy at <https://www.dia.govt.nz/Proactive-Releases#MS>*

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Out of Scope

[UNCLASSIFIED]

**From:** s 9(2)(a)  
**Sent:** Friday, 5 March 2021 6:18 pm  
**To:** Jo Hendy S 9(2)(a) @climatecommission.govt.nz>  
**Subject:** FW: Climate Change Commission: Interests Letter

[UNCLASSIFIED]

[UNCLASSIFIED]

**From:** s 9(2)(a)  
**Sent:** Friday, 5 March 2021 5:32 pm  
**To:** s 9(2)(a) @climatecommission.govt.nz>; s 9(2)(a) @climatecommission.govt.nz>  
**Subject:** FW: Climate Change Commission: Interests Letter

[UNCLASSIFIED]

Hi,

Please load this under the interests item.

Thanks

[UNCLASSIFIED]

**From:** 9(2)(a) @parliament.govt.nz>  
**Sent:** Thursday, 25 February 2021 4:23 pm  
**To:** Rod Carr <Roderick.Carr@climatecommission.govt.nz>  
**Cc:** J Shaw (MIN) <J.Shaw@ministers.govt.nz>; s 9(2)(a) @climatecommission.govt.nz>  
**Subject:** Climate Change Commission: Interests Letter

Dear Rod

Please find attached a letter from Minister Shaw, responding to your letter dated 23 December 2020 regarding the interests held by Commission Board members.

Kind regards,  
s 9(2)(a)



s 9(2)(a) s 9(2)(a)

**Office of Hon James Shaw**

Minister of Climate Change | Associate Minister for the Environment (Biodiversity)  
Room 2.026, Parliament House | Private Bag 18041 | Wellington 6160 |  
New Zealand

s 9(2)(a)

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*Please note information about meetings related to the Minister's portfolios will be proactively released (this does not include personal or constituency matters). For each meeting in scope, the summary would list: date, time (start and finish), brief description, location, who the meeting was with, and the portfolio. If you attend a meeting with the Minister on behalf of an organisation, the name of the organisation will be released. If you are a senior staff member at an organisation, or meet with the Minister in your personal capacity, your name may also be released. The location of the meeting will be released, unless it is a private residence. The proactive release will be consistent with the provisions in the Official Information Act, including privacy considerations. Under the Privacy Act 1993 you have the right to ask for a copy of any personal information we hold about you, and to ask for it to be corrected if you think it is wrong. If you'd like to ask for a copy of your information, or to have it corrected, or are concerned about the release of your information in the meeting disclosure, please contact the sender. You can read more about the proactive release policy at <https://www.dia.govt.nz/Proactive-Releases#MS>*

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**WITHHELD IN FULL**

Document 34 is withheld in full: 9(2)(h)

Document 35 and Attachment 35a are withheld in full: 9(2)(h)

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[UNCLASSIFIED]

**From:** Jo Hendy s 9(2)(a) @climatecommission.govt.nz>  
**Sent:** Saturday, 6 March 2021 10:27 am  
**To:** s 9(2)(a) @climatecommission.govt.nz>  
**Cc:** s 9(2)(a) @climatecommission.govt.nz>; s 9(2)(a) s 9(2)(a) @climatecommission.govt.nz>  
**Subject:** RE: [UNCLASSIFIED] Interests Paper

Approved to be uploaded. Thanks!

**From:** s 9(2)(a) @climatecommission.govt.nz>  
**Sent:** Friday, 5 March 2021 6:17 pm  
**To:** Jo Hendy s 9(2)(a) @climatecommission.govt.nz>  
**Cc:** s 9(2)(a) @climatecommission.govt.nz>; s 9(2)(a) s 9(2)(a) @climatecommission.govt.nz>  
**Subject:** [UNCLASSIFIED] Interests Paper

[UNCLASSIFIED]

Hi Jo,

This is attached. There's lots of other papers that accompany this paper, which I sent to s 9(2)(a) and I'll forward them to you as well. Please let me know if this paper is okay to be uploaded or, if not, what changes you'd like made. I will notify Commissioners separately of information they need to provide in respect of their interests.

Thanks

s 9(2)(a)



s 9(2)(a)

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[UNCLASSIFIED]



## Board Paper

Board Meeting Date:	9 March 2021	Agenda Item:	12
Author	s 9(2)(a)	Sector:	Governance and Corporate Services
Peer Reviewer:		Tier 2 sign off:	s 9(2)(a)
Title of Paper:	<b>Interests Update</b>		

## Purpose

1. To provide an update of work on Commissioner's interests and next steps.

Action sought	Date action required by
<p>It is recommended that you:</p> <p><b>Note the Minister has granted approval for Commissioners with New Zealand Units to continue to act but has imposed conditions in respect of these Commissioners providing advice related to pricing of domestic units in the Emissions Trading Scheme.</b></p> <p><b>Approve the Interests Policy.</b></p> <p><b>Complete returns for your own interests.</b></p> <p><b>Note the Public Facing Interests Register will be shared with Commissioners for approval prior to publication.</b></p>	<p>During the meeting</p> <p>During the meeting</p> <p>By midday Wednesday 10 March</p> <p>During the meeting</p>

## Background

s 9(2)(h)

4. The first significant step was for the Chair to seek the Minister's approval for Commissioners with interests in New Zealand Units to continue to act. On 23 December 2020 the Chair wrote to the Minister seeking this permission and updating him on the work being done s 9(2)(h) [REDACTED] That included updating the Interests Policy which the Board considered at their February 2021 Board meeting. However, the Board did not formally approve this policy and approval is now required in order that the Chair and Deputy Chair can consider interests and a complimentary Out of Scope [REDACTED] can be drafted. A copy of the Interests Policy that was presented at the February Board meeting is attached for approval or amendment at this meeting.
5. Since the February Board meeting the Minister has responded and this paper outlines the Minister's response and an update of other steps taken since the January 2021 Board meeting.

### Minister's Response and Other Interests Work

6. On 23 February 2021 the Minister wrote to the Chair granting permission for the three Commissioners with interests in New Zealand to continue to act "...subject to the condition that where the Commission provides advice on pricing related to domestic units created for New Zealand's Emissions Trading Scheme, that this advice is overseen, prepared, and authorised by staff and members with no financial interests in them." A copy of the Minister's letter is attached.
7. The Board will need to consider how to give effect to these restrictions ahead of providing advice that could impact on the pricing of domestic units in the Emissions Trading Scheme and options will be developed for the Board to consider.
8. Since the February Board meeting both the Chair and Deputy Chair have approved the removal of some items from the Standing Interests Register on the basis that these items are remote, insignificant or are not expected to overlap with the Commission's work. The Standing Interests Register and Public Facing Interests Register are attached as they exist now. The Chair and Deputy Chair (for the Chair's interests) will shortly consider these interests and grant permissions to act or impose conditions. In order for this to happen Commissioners are asked to please provide the information requested in the notes tab in the Standing Interests Register by midday on Wednesday 10 March 2021. Once the Chair and Deputy Chair consider the completed interests a letter will be sent to Commissioners and a draft template of that letter is attached.



**Next Steps**

9. Once the Chair and Deputy Chair have considered interests and notified Commissioners of the outcome, the Standing Interests Register and Public Facing Interests Register will be updated. The Public Facing Interests Register will be sent to Commissioners for approval. Once this has been done it will be published together with the approved Interests Policy. In parallel the <sup>Out of Scope</sup> [REDACTED]. A further update will be provided at the April Board meeting.

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Out of Scope

[UNCLASSIFIED]

**From:** Rod Carr <Roderick.Carr@climatecommission.govt.nz>  
**Sent:** Monday, 8 March 2021 12:45 pm  
**To:** s 9(2)(a) @climatecommission.govt.nz; Lisa Tumahai  
**9(2)(a)** @climatecommission.govt.nz; Rod Carr <Roderick.Carr@climatecommission.govt.nz>  
**Subject:** Re: [UNCLASSIFIED] s 9(2)(h)

This all looks great. Well done. Looks like we could be on tract to post the disclosure policy and register to our website after the aboard meets tomorrow.

Do we think we need to post our letter to James Shaw of 23 December and his reply also?

Note we plan to sell our NZUs and my direct holdings in listed public companies...Contact Energy, Auckland International Airport and Wellington Drive. Will let you know when it is done.

**From:** s 9(2)(a) @climatecommission.govt.nz  
**Sent:** Monday, March 8, 2021 11:15:45 AM  
**To:** Rod Carr <Roderick.Carr@climatecommission.govt.nz>  
**Subject:** [UNCLASSIFIED] s 9(2)(h)

[UNCLASSIFIED]

Hi Rod,

s 9(2)(h)

Please let me know if you have any questions or if there is anything else you need.

Thanks  
s 9(2)(a)

[UNCLASSIFIED]

Out of Scope

Out of Scope

[UNCLASSIFIED]

**From:** s 9(2)(a)  
**Sent:** Monday, 8 March 2021 12:57 pm  
**To:** Rod Carr <Roderick.Carr@climatecommission.govt.nz>  
**Subject:** RE: [UNCLASSIFIED] Standing Interests Register - Draft Letter to Commissioners Notifying Removal of Some Items from the Standing Interests Register

[UNCLASSIFIED]

Sorry Rod the correction is s 9(2)(g)(i) not the other way around!

[UNCLASSIFIED]

**From:** Rod Carr <[Roderick.Carr@climatecommission.govt.nz](mailto:Roderick.Carr@climatecommission.govt.nz)>  
**Sent:** Monday, 8 March 2021 12:39 pm  
**To:** s 9(2)(a) <[s9\(2\)\(a\)@climatecommission.govt.nz](mailto:s9(2)(a)@climatecommission.govt.nz)>; Lisa Tumahai <[lisa.tumahai@climatecommission.govt.nz](mailto:lisa.tumahai@climatecommission.govt.nz)>  
**Cc:** s 9(2)(a) <[s9\(2\)\(a\)@climatecommission.govt.nz](mailto:s9(2)(a)@climatecommission.govt.nz)>  
**Subject:** Re: [UNCLASSIFIED] Standing Interests Register - Draft Letter to Commissioners Notifying Removal of Some Items from the Standing Interests Register

Happy with the letter, one correction. The 9(2)(g)(i) not s 9(2)(g)(i) with that correction good to go

Rod

**From:** s 9(2)(a) <[s9\(2\)\(a\)@climatecommission.govt.nz](mailto:s9(2)(a)@climatecommission.govt.nz)>  
**Sent:** Monday, March 8, 2021 11:12:04 AM  
**To:** Rod Carr <[Roderick.Carr@climatecommission.govt.nz](mailto:Roderick.Carr@climatecommission.govt.nz)>; Lisa Tumahai <[lisa.tumahai@climatecommission.govt.nz](mailto:lisa.tumahai@climatecommission.govt.nz)>  
**Cc:** s 9(2)(a) <[s9\(2\)\(a\)@climatecommission.govt.nz](mailto:s9(2)(a)@climatecommission.govt.nz)>  
**Subject:** [UNCLASSIFIED] Standing Interests Register - Draft Letter to Commissioners Notifying Removal of Some Items from the Standing Interests Register

[UNCLASSIFIED]

Kia ora rā kōrua,

Thank you for your recent approval to remove some items from the Standing Interests Register on the basis that these interests were either remote, insignificant or do not overlap with the Commission's advice. Attached is a draft letter to Commissioners notifying them of these removals and the reasons for the removals as well as providing formal documentation for the Commission's records. Can you please either advise that you are happy to approve this letter and for your electronic signature to be used or, alternatively, please advise me of any changes you'd like made. I will forward each of you the original e-mail and your response if you were wanting to refer back to these.

I appreciate your help, thanks again.

Ngā mihi,

s 9(2)(a)



s 9(2)(a)

[www.climatecommission.govt.nz](http://www.climatecommission.govt.nz)

[UNCLASSIFIED]

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**WITHHELD IN FULL**

Attachment 38a is withheld in full: 9(2)(h)

Note: The final version of this letter is released as Attachment 40a

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Out of Scope

[UNCLASSIFIED]

From: s 9(2)(a)

Sent: Monday, 8 March 2021 5:15 pm

To: Rod Carr <Roderick.Carr@climatecommission.govt.nz>

Subject: Updated Letter to Commissioners Regarding Removal of Some Items from the Standing Interests Register

[UNCLASSIFIED]

Hi Rod,

Just to update you – Lisa has approved the removal of two more of your items from the Commission’s Standing Interests Register being s 9(2)(g)(i) so the letter to Commissioners has been revised accordingly. This letter will be uploaded into Diligent for Commissioners to see tomorrow. From there I will send Lisa the proposed permissions document for your interests and s 9(2)(h)

I am just waiting on one of them to send more information but the rest have responded, so we’re not far away! The other actions are to send a final letter to the Minister and prepare the Public Facing Interests Register and Interests Policy for publication.

Please let me know if there is anything else you need.

Thanks

s 9(2)(a)



9(2)(a)

W [climatecommission.govt.nz](http://climatecommission.govt.nz)

[UNCLASSIFIED]

Out of Scope

Out of Scope

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

From: s 9(2)(a) @diligent.com>  
Sent: Monday, 8 March 2021 10:38 pm  
Subject: New material available in Diligent Boards - 9 March 2021 Board Meeting

Kia ora Commissioners,

I have added an additional paper for the Board meeting tomorrow - Tab 12 Interests - Agenda Item 12.7 - Letter to Commissioners - Removal of Items from the Standing Interests Register.

Ngā mihi  
s 9(2)(a)

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8 March 2021

Climate Change Commissioners  
Climate Change Commission  
Level 21  
Aon Centre  
1 Willis Street  
Wellington 6011

Kia ora koutou Commissioners

#### **REMOVAL OF ITEMS FROM STANDING INTERESTS REGISTER**

1. The purpose of this letter is to advise you of a number of items that we have determined can be removed from the Climate Change Commission's Standing Interests Register.
2. As you are aware, the Commission maintains an internal register of standing interests – the Standing Interests Register. This Register contains a record of all of the ongoing interests (including past interests) held by Commissioners in any entity or matter which could in reasonable contemplation become relevant to the work of the Commission.
3. We have determined that it is appropriate that a number of items previously included on the Standing Interests Register be removed, on the basis that they are not interests which could in reasonable contemplation become relevant to the work of the Commission.
4. A record of the items removed from the Standing Interests Register and the reasons for their removal is included in the appendix to this letter.

Ngā mihi hui



Dr Roderick Carr  
**Chair - Climate Change Commission**



Lisa Tumahai  
**Deputy Chair – Climate Change Commission**



**APPENDIX: ITEMS REMOVED FROM THE STANDING INTERESTS REGISTER**

Name of Commissioner	Interest	Reason for Removal	Decision-maker
Catherine Leining	s 9(2)(a), s 9(2)(g)(i)	<p>Ms Leining's husband's role at [redacted] did not involve any work on climate change policy. His current role s 9(2)(a), s 9(2)(g)(i) [redacted] is also not expected to have any connection to the work of the Commission. Accordingly, these are not interests which could in reasonable contemplation become relevant to the work of the Commission.</p>	Dr Rod Carr
Lisa Tumahai	s 9(2)(g)(i)	<p>s 9(2)(g)(i) [redacted] work is not related to climate change policy and is unlikely to be affected by climate change policy. Accordingly, this is not an interest which could in reasonable contemplation become relevant to the work of the Commission.</p>	Dr Rod Carr
Lisa Tumahai	s 9(2)(g)(i)	<p>s 9(2)(g)(i) [redacted] operations are not related to climate change policy and are unlikely to be affected by climate change policy. Accordingly, this is not an interest which could in reasonable contemplation become relevant to the work of the Commission.</p>	Dr Rod Carr
Lisa Tumahai	s 9(2)(g)(i)	<p>s 9(2)(g)(i) [redacted] no longer operating. s 9(2)(g)(i) [redacted] operations were not related to climate change policy. Accordingly, this is not an interest which could in reasonable contemplation become relevant to the work of the Commission.</p>	Dr Rod Carr
Lisa Tumahai	s 9(2)(g)(i)	<p>s 9(2)(g)(i) [redacted] operations are not related to climate change policy and are unlikely to be affected by climate change policy. Accordingly, this is not an interest</p>	Dr Rod Carr

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Name of Commissioner	Interest	Reason for Removal	Decision-maker
		which could in reasonable contemplation become relevant to the work of the Commission.	
Lisa Tumahai	s 9(2)(g)(i)	s 9(2)(g)(i) operations are not related to climate change policy and are unlikely to be affected by climate change policy. Accordingly, this is not an interest which could in reasonable contemplation become relevant to the work of the Commission.	Dr Rod Carr
Lisa Tumahai	s 9(2)(g)(i)	s 9(2)(g)(i) operations are not related to climate change policy and are unlikely to be affected by climate change policy. Accordingly, this is not an interest which could in reasonable contemplation become relevant to the work of the Commission.	Dr Rod Carr
Lisa Tumahai	s 9(2)(g)(i)	s 9(2)(g)(i) operations are not related to climate change policy and are unlikely to be affected by climate change policy. Accordingly, this is not an interest which could in reasonable contemplation become relevant to the work of the Commission.	Dr Rod Carr
Lisa Tumahai	s 9(2)(g)(i)	s 9(2)(g)(i) operations are not related to climate change policy and are unlikely to be affected by climate change policy. Accordingly, this is not an interest which could in reasonable contemplation become relevant to the work of the Commission.	Dr Rod Carr
Lisa Tumahai	s 9(2)(g)(i)	s 9(2)(g)(i) operations are not related to climate change policy and are unlikely to be affected by climate change policy. Accordingly, this is not an interest which could in reasonable	Dr Rod Carr

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Name of Commissioner	Interest	Reason for Removal	Decision-maker
		contemplation become relevant to the work of the Commission.	
Lisa Tumahai	s 9(2)(g)(i)	s 9(2)(g)(i) operations are not related to climate change policy and are unlikely to be affected by climate change policy. Accordingly, this is not an interest which could in reasonable contemplation become relevant to the work of the Commission.	Dr Rod Carr
Lisa Tumahai	s 9(2)(g)(i)	s 9(2)(g)(i) operations are not related to climate change policy and are unlikely to be affected by climate change policy. Accordingly, this is not an interest which could in reasonable contemplation become relevant to the work of the Commission.	Dr Rod Carr
Lisa Tumahai	s 9(2)(g)(i)	s 9(2)(g)(i) work is not related to climate change policy and is unlikely to be affected by climate change policy. Accordingly, this is not an interest which could in reasonable contemplation become relevant to the work of the Commission.	Dr Rod Carr
Dr Rod Carr	s 9(2)(g)(i)	s 9(2)(g)(i) operations are not related to climate change policy and are unlikely to be affected by climate change policy. Accordingly, this is not an interest which could in reasonable contemplation become relevant to the work of the Commission.	Lisa Tumahai
Dr Rod Carr	s 9(2)(g)(i)	s 9(2)(g)(i) operations are not related to climate change policy and are	Lisa Tumahai

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Name of Commissioner	Interest	Reason for Removal	Decision-maker
		unlikely to be affected by climate change policy. Accordingly, this is not an interest which could in reasonable contemplation become relevant to the work of the Commission.	
Dr Rod Carr	s 9(2)(g)(i) [REDACTED]	s 9(2)(g)(i) [REDACTED] operations are not related to climate change policy and are unlikely to be affected by climate change policy. Accordingly, this is not an interest which could in reasonable contemplation become relevant to the work of the Commission.	Lisa Tumahai
Dr Rod Carr	Waingawa Land Company	This interest will stay on the Standing Interest Register, noting that Professor Carr owns a 64 percent share in the company and that his wife holds 11 percent.  At present however, the Standing Interests Register also details that s 9(2)(a) [REDACTED] own 15 percent. This detail is to be removed.  The financial interests of s 9(2)(a) [REDACTED] are sufficiently remote to those of Dr Carr, and accordingly are not required to be disclosed.	Lisa Tumahai
Dr Rod Carr	s 9(2)(g)(i) [REDACTED]	s 9(2)(g)(i) [REDACTED] operations are not related to climate change policy and are unlikely to be affected by climate change policy. Accordingly, this is not an interest which could in reasonable contemplation become relevant to the work of the Commission.	Lisa Tumahai

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Name of Commissioner	Interest	Reason for Removal	Decision-maker
Dr Rod Carr	s 9(2)(g)(i)	<p>s 9(2)(g)(i)</p> <p>operations are not related to climate change policy and are unlikely to be affected by climate change policy. Accordingly, this is not an interest which could in reasonable contemplation become relevant to the work of the Commission.</p>	Lisa Tumahai
Dr Rod Carr	s 9(2)(g)(i)	<p>s 9(2)(g)(i)</p> <p>unlikely to be affected by New Zealand climate change policy. Accordingly, this is not an interest which could in reasonable contemplation become relevant to the work of the Commission.</p>	Lisa Tumahai

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[UNCLASSIFIED]

**From:** s 9(2)(a)  
**Sent:** Tuesday, 9 March 2021 10:07 pm  
**To:** Rod Carr <Roderick.Carr@climatecommission.govt.nz>  
**Subject:** Standing Interests Register as at 9 March 2021

[UNCLASSIFIED]

Hi Rod,

As discussed at today's Board meeting please find attached the Commission's Standing Interests Register entries for you as of today. Can you please let me know if these entries are complete and accurate or, if not, what changes you'd like made? s 9(2)(h)

If you're not feeling well please let me know and I will work with s 9(2)(a) to find another time. Either way I hope you start to feel better soon!

I appreciate all of your help, thank you.

Kind regards

s 9(2)(a)

s 9(2)(a)



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[UNCLASSIFIED]

## Climate Change Commission – Standing Interests Register for Dr Rod Carr as at 9 March 2021

#	Nature of interest	Monetary value (if quantifiable)	Extent of interest (if not quantifiable by reference to monetary value)	Date of disclosure
<b>Dr RODERICK CARR</b>				
<b>Directorships and other roles</b>				
1.	Directorship of ASB Bank Ltd, 2018 - present	s 9(2)(a)	The bank lends extensively to a wide of businesses that may be impacted by Climate Change Policy.	11/12/2019
2.	Limited Partner in TPC Fund II LP	s 9(2)(a)	Venture capital investments which may relate to climate change.	11/12/2019
3.	Director Waingawa Forest Corporation Ltd	s 9(2)(a)	Director from 1982 – Present. Pre 1990 farm forestry investment. The company does not hold any New Zealand Units.	11/12/2019
<b>Investments</b>				
4.	Waingawa Forest Corporation Ltd	s 9(2)(a) Dr Carr holds a 62.16% share. Dr Carr's wife holds a 0.22% share.	Shareholder. Pre 1990 farm forestry investment. The company does not hold any New Zealand Units. 1982 – Present.	
5.	Shareholder in Waingawa Land Company	Interest (64 percent) in a farm forestry venture. s 9(2)(a) Wife s 9(2)(a) holds an additional 11% interest	Has a pre- 1990 plantation. This has been awarded s 9(2)(a) New Zealand Units. Waingawa Forest Corporation Ltd owns approximately 15 ha of mature Pinus Radiata Plantation on land leased from Waingawa Land Company. The entity may be required to advise on the ETS regime and such	11/12/2019  <u>Updated 17/12/2020</u>

[UNCLASSIFIED]

		<u>New Zealand Units have a value of approximately \$37 each as at 17 December 2020</u>	advice may impact the value of the units. Due to remoteness, access difficulties and small scale, the woodlot is uneconomic to harvest.	
6.	Contact Energy Ltd shareholder	s 9(2)(a) [REDACTED]	Ownership of ordinary shares - climate policy may impact the value of energy producers and distributors.	11/12/2019
7.	Auckland International Airport Ltd shareholder	s 9(2)(a) [REDACTED]	Ownership of ordinary shares - Climate policy may impact the value of businesses dependent on international air travel.	11/12/2019
8.	Wellington Drive Technologies Ltd	s 9(2)(a) [REDACTED]	Publicly listed electric engine company	11/12/2019

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[UNCLASSIFIED]



# out of scope

[UNCLASSIFIED]

**From:** Rod Carr <Roderick.Carr@climatecommission.govt.nz>

**Sent:** Wednesday, 10 March 2021 8:50 am

**To:** 9(2)(a) @climatecommission.govt.nz; Rod Carr <Roderick.Carr@climatecommission.govt.nz>

**Subject:** Carr interests register update

Suggested changes track changed.

Things will get simpler!

Rod

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## Climate Change Commission – Standing Interests Register for Dr Rod Carr as at 9 March 2021

#	Nature of interest	Monetary value (if quantifiable)	Extent of interest (if not quantifiable by reference to monetary value)	Date of disclosure
<b>Dr RODERICK CARR</b>				
<b>Directorships and other roles</b>				
1.	Directorship of ASB Bank Ltd, 2018 - present	s 9(2)(a)	The bank lends extensively to a wide of businesses that may be impacted by Climate Change Policy.	11/12/2019
2.	Limited Partner in TPC Fund II LP	s 9(2)(a)	Venture capital investments which may relate to climate change.	11/12/2019
3.	Director Waingawa Forest Corporation Ltd	s 9(2)(a)	Director from 1982 – Present. Pre 1990 farm forestry investment. The company does not hold any New Zealand Units.	11/12/2019
<b>Investments</b>				
4.	Waingawa Forest Corporation Ltd	s 9(2)(a) Dr Carr holds a 62.16% share. Dr Carr's wife holds a 0.22% share.	Shareholder. Pre 1990 farm forestry investment. The company does not hold any New Zealand Units. 1982 – Present.	
5.	<del>Partner Shareholder</del> in Waingawa Land Company	Interest (64 percent) in a farm forestry venture. s 9(2)(a) Wife s 9(2)(a) holds an additional 11% interest	Has a pre- 1990 plantation. This has been awarded s 9(2)(a) New Zealand Units. Waingawa Forest Corporation Ltd owns approximately 15 ha of mature Pinus Radiata Plantation on land leased from Waingawa Land Company. The <u>Climate Change Commission entity</u> may be required to	11/12/2019  <u>Updated 17/12/2020</u>

		<u>New Zealand Units have a value of approximately \$37 each as at 17 December 2020</u>	<p>advise on the ETS regime and such advice may impact the value of the units. Due to remoteness, access difficulties and small scale, the woodlot is uneconomic to harvest.</p> <p><u>The decision has been made to divest the NZU holding as soon as possible.</u></p>	
6.	Contact Energy Ltd shareholder	s 9(2)(a)	<p>Ownership of ordinary shares - climate policy may impact the value of energy producers and distributors.</p> <p><u>The decision has been made to divest the shares as soon as possible</u></p>	11/12/2019
7.	Auckland International Airport Ltd shareholder	s 9(2)(a)	<p>Ownership of ordinary shares - Climate policy may impact the value of businesses dependent on international air travel.</p> <p><u>The decision has been made to divest the shares as soon as possible</u></p>	11/12/2019
8.	Wellington Drive Technologies Ltd	s 9(2)(a)	<p>Publicly listed electric engine company</p> <p><u>The decision has been made to divest the shares as soon as possible.</u></p>	11/12/2019

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**WITHHELD IN FULL**

Document 43 is withheld in full: 9(2)(h)

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[REDACTED]

[REDACTED]

[UNCLASSIFIED]

[UNCLASSIFIED]

From: s 9(2)(a)  
Sent: Wednesday, 17 March 2021 3:02 pm  
To: Rod Carr <Roderick.Carr@climatecommission.govt.nz>  
Subject: FW: s 9(2)(h)

[UNCLASSIFIED]

Hi Rod,

s 9(2)(h)

We don't have final details for some of Lisa's interests yet and she has said she would try and get these to me later today. However we do have responses from the other Commissioners and a reasonable amount of information for Lisa, s 9(2)(h)

I understand you are going to this meeting from your hotel? s 9(2)(h)

Does 9.25

am work for you? s 9(2)(h)

Does that work for you?

Thanks  
s 9(2)(a)

[UNCLASSIFIED]

From: s 9(2)(h)  
Sent: Wednesday, 17 March 2021 2:18 pm  
To: s 9(2)(a) @climatecommission.govt.nz  
Cc: s 9(2)(h)  
Subject: s 9(2)(h)

s 9(2)(h)

[REDACTED]

**WITHHELD IN FULL**

Attachments *44a*, *44b* and *44c* are withheld in full: 9(2)(h)

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**From:** Rod Carr  
**Sent:** Thursday, 18 March 2021 6:07 pm  
**To:** s 9(2)(a) ; s 9(2)(a)  
**Cc:** s 9(2)(a) ; s 9(2)(a) ; s 9(2)(a) ; s 9(2)(a) ; s 9(2)(a)  
**Subject:** Re: FYI: Code of Conduct for Crown Entity Board Members

Boted

Rod Carr

On 18/03/2021, at 5:44 PM, s 9(2)(a) s 9(2)(a) @mfe.govt.nz wrote:

Tēnā kōrua s 9(2)(a), Rod

### Code of Conduct for Crown Entity Board Members

Today the Public Service Commissioner released a new Code of Conduct for Crown Entity Board Members. This was issued under section 17(3) of the Public Service Act 2020 to apply to board members of statutory entities and will apply to your respective boards.

<https://www.publicservice.govt.nz/our-work/integrityandconduct/coc-for-crown-entity-board-members/>

The Code sets out minimum standards of integrity and conduct. Of note is that in its implementation the Code requires that the board should put in place a board charter or governance manual to guide its governance activities, which includes ethics provisions for board members as appropriate, to support these standards and suit the entity's particular circumstances.

You may wish to have your board members familiarise themselves with the requirements of the Code and cover this at your next board meeting.

Nāku noa, na

s 9(2)(a)

Ministry for the Environment | Manatū Mō Te Taiao  
s 9(2)(a) [@mfe.govt.nz](mailto:s 9(2)(a)@mfe.govt.nz) | [mfe.govt.nz](http://mfe.govt.nz)

<image001.jpg>

<image002.png><image003.png><image004.png><image005.png><image006.png>

<image007.jpg>

\*\*\*\*\*

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<CE board member code of conduct 2021.pdf>

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# Code of Conduct

## For Crown Entity Board Members



**Te Kawa Mataaho**  
Public Service Commission

Crown entities deliver public services, exercise significant powers and directly impact the lives of New Zealanders. To be effective, Crown entities must have the trust and confidence of New Zealanders and the Government.

### ACTING IN THE SPIRIT OF SERVICE

Boards oversee the operations and performance of Crown entities. As board members we bring to our roles a spirit of service to the community and a desire to improve the wellbeing of New Zealand and New Zealanders, including of Māori consistent with Te Tiriti o Waitangi. A key requirement of our roles is to act with the highest levels of integrity and professional and personal standards.

### RESPONSIBILITIES UNDER THIS CODE

#### PERSONAL INTEGRITY

##### **We are honest and open**

**We act with honesty and with high standards of professional and personal integrity.**

We are truthful and open. We speak up in board meetings on decisions or advice that may be detrimental to the public interest.

##### **We are fair**

**We deal with people fairly, impartially, promptly, sensitively and to the best of our ability.**

We do not act in a way that unjustifiably favours or discriminates against particular individuals or interests. We help create an environment where diverse perspectives and backgrounds are encouraged and valued. We treat other members and staff employed by the entity with courtesy and respect.

##### **We speak up**

**We report unethical behaviour when we see it. We treat all concerns raised by others seriously.**

We support the entity to have clear policies and procedures in place that help expose serious threats to the public interest, and encourage open organisation cultures where all staff feel safe speaking up.

#### PROFESSIONAL CONDUCT

##### **We use our positions properly**

**When acting as a member, we do not pursue our own interests at the expense of the entity's interests.**

We do not misuse official resources for personal gain or for political purposes. We behave in a way that reflects well on the reputation of the entity and do not do anything to harm that reputation.

We never seek gifts, hospitality or favours for ourselves, members of our families or other close associates. We inform the Chair or other proper authority, or otherwise follow our entity's procedures, in relation to any offers of gifts or hospitality. We ensure that, where a gift or hospitality is accepted, it is recorded in a register as required under the entity's procedures.

*Issued by the Public Service Commissioner under section 17(3) of the Public Service Act 2020 to apply to board members of statutory entities (excluding corporations sole) and Crown entity companies (excluding Crown Research Institutes and their subsidiaries)*



## IMPLEMENTATION

This Code sets out minimum standards of integrity and conduct. The board should put in place a board charter or governance manual to guide its governance activities, which includes ethics provisions for board members as appropriate, to support these standards and suit the entity's particular circumstances.

This Code should be read in conjunction with the collective and individual duties of members as set out in the Crown Entities Act 2004. This Code does not override any statutory provisions including those in an entity's empowering legislation, the Crown Entities Act 2004, the Public Service Act 2020, the Public Finance Act 1989 and the Companies Act 1993. This code is not intended to limit the ability of an entity or statutory officer to act independently in regard to any statutorily independent function.

## We use information properly

**We use information we gain in the course of our duties only for its intended purpose and never to obtain an advantage for ourselves or others or to cause detriment to the entity.**

We are well informed about privacy, official information and protected disclosures legislation. We fully comply with entity procedures and only disclose official information or documents when required to do so by law, in the legitimate course of duty or when proper authority has been given.

## We are politically impartial

**We act in a politically impartial manner. Irrespective of our political interests, we conduct ourselves in a way that enables us to act effectively under current and future governments. We do not make political statements or engage in political activity in relation to the functions of the Crown entity.**

When acting in our private capacity, we avoid any political activity that could jeopardise our ability to perform our role or which could erode the public's trust in the entity. We discuss with the Chair any proposal to make political comment or to undertake any significant political activity.<sup>1</sup>

## We use care, diligence and skill

**We carry out our work with care, diligence and skill.**

We give proper consideration to matters and seek and consider all relevant information.

## ACTING LAWFULLY

### We meet our statutory and administrative requirements

**We understand and act in accordance with all statutory and administrative requirements relevant to our roles.**

We play a full and active role in the work of the board and fulfil all our duties responsibly. We respect the principle of collective decision-making and corporate responsibility. This means once the board has made a decision, we support it. We follow board protocols for public comment.

### We identify and manage conflicts of interest

**We identify, disclose, manage and regularly review all interests.**

We become familiar with, and follow, all conflicts of interest requirements, including those of the board, the entity, and all statutory and professional requirements including the Crown Entities Act 2004, sections 62-72.

<sup>1</sup> These provisions apply to elected board members in the same way as to appointed members. However elected board members have a relationship with their constituency in addition to their accountability to the responsible Minister. Elected Board Members must consider how to maintain that relationship while, as for all members, ensuring their actions do not jeopardise the effective governance of the entity.

**WITHHELD IN FULL**

Document 46 is withheld in full: 9(2)(h), 9(2)(g)(i)

Document 47 is withheld in full: 9(2)(h)

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Out of Scope

[UNCLASSIFIED]

From: Roderick Carr s 9(2)(a)  
Sent: Wednesday, 21 April 2021 4:09 pm  
To: s 9(2)(a) @climatecommission.govt.nz>; Jo Hendy s 9(2)(a) @climatecommission.govt.nz>  
Subject: Fwd: NZU Sale

-----  
**WARNING!!!**

[Suspected fraudulent email detected]

-----  
Confirmation of disposal of NZUs.  
Rod

---

From: s 9(2)(a)  
Sent: Wednesday, April 21, 2021 3:24 PM  
To: Roderick Carr  
Subject: Fwd: NZU Sale

FYI - Finally!

----- Forwarded message -----  
From: s 9(2)(a)  
Date: Wed, 21 Apr 2021 at 3:00 PM  
Subject: RE: NZU Sale - s 9(2)(a)  
s 9(2)(a)

Good Afternoon

s  
9(2)  
(a)

Please find attached your supplier invoice for the sale of your NZUs.

s 9(2)(a), s 9(2)(b)(ii)

Remainder of email trail withheld under 9(2)(a) and 9(2)(b)(ii)

**WITHHELD IN FULL**

Attachment *48a* is withheld in full: 9(2)(h), 9(2)(a)

Document 49 and Attachments *49a*, *49b* and *49c* are withheld in full: 9(2)(h)

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