

**Minutes of Audit, Risk and Improvement Committee Meeting held on 18 November 2020 via Microsoft Teams**

**Meeting commenced at 5:35pm**

**PRESENT**

| <b>Audit Risk &amp; Improvement Committee Members</b>                        |                               |
|--|-------------------------------|
| Independent Member - Chair   | John Gordon                   |
| Independent Member   | Heather Smith                 |
| Councillor   | Clr Louise Steer              |
| Councillor   | Clr Lucille McKenna           |
| <b>Other attendees</b>   |                               |
| Chief Operating Operator, Director Development and Recreation                | Elizabeth Richardson          |
| Acting Director City Living  | Caroline McLeod               |
| Director Infrastructure  | Cathy Edwards-Davis           |
| Chief Financial Officer  | Daryl Jackson                 |
| Chief Information Officer  | Harin Perera                  |
| Senior Manager Business Excellence, Risk, WHS and Customer Service           | Peter Livanes                 |
| Temporary Governance Coordinator - Minute Taker                              | Nalini Datt                   |
| Engagement Partner, EY   | Melissa Broadhead             |
| Engagement Manager, EY   | Paulette Pang                 |
| Audit Office   | Caroline Karakatsanis         |
| Acting Internal Ombudsman  | Elizabeth Renneberg           |
| Manager Resource Recovery and Fleet  | Erin White                    |
| ICT Infrastructure Manager   | Sasha Sutarov                 |
| Social and Cultural Planning Manager   | Simon Watts                   |
| Guest joined to present Child Safe Risk Management Review Findings - Item 10 | Andrea Lauchs<br>Karen Dabner |

**ACKNOWLEDGMENT OF COUNTRY**

The chairperson acknowledged the traditional owners of the Land on which the meeting took place and paid his respects to elders past and present.

**APOLOGIES:**

Apologies were received from Brian Barrett, Interim General Manager and Emily Hodgson, Independent Member.

**DISCLOSURES OF INTERESTS:**

None

**CONFIRMATION OF MINUTES:**

The Minutes of the Audit, Risk and Improvement Committee Meeting held on Wednesday, 2 September 2020 were confirmed.

**Moved: Heather Smith/Seconded: John Gordon**

Carried unanimously

The Minutes of the Extraordinary Audit, Risk and Improvement Committee Meeting held on Wednesday, 21 October 2020 were as confirmed with the addition of following comment,

“Prior to the meeting the Committee met in-camera with the External Auditors”

**Moved: Heather Smith/Seconded: Clr Lucille McKenna**

Carried unanimously

**CHIEF EXECUTIVE OFFICER'S REPORTS**

| ITEM   | PERSON RESPONSIBLE  | DEADLINE        |
|--|---|-----------------|
| <p><b>RIS1120 Item 1 ARIC Resolution Register - November 2020</b></p> <p><b>RECOMMENDATION (Heather Smith/Clr Lucille McKenna)</b></p> <p><b>THAT the Audit Risk and Improvement Committee receive and note the ARIC Resolution Register</b></p> <p><b>Action: ARIC to receive a report on Anti-Fraud and Corruption Control Plan</b></p> <p>Carried unanimously</p> | <p>Senior Manager Business Excellence, Risk, WHS and Customer Service</p> | <p>Feb 2021</p> |
| <p><b>RIS1120 Item 2 Internal Ombudsman Shared Service Quarterly Report</b></p> <p><b>RECOMMENDATION (Clr Lucille McKenna/Heather Smith)</b></p> <p><b>THAT the Audit Risk and Improvement Committee receive and note the IOSS Quarterly report.</b></p> <p>Carried unanimously</p>  |   |                 |

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| <p><b>RIS1120 Item 3 Internal Ombudsmen Shared Service – Draft Annual Report 2019/20</b></p> <p><b>RECOMMENDATION (Clr Lucille McKenna/Heather Smith)</b></p> <p><b>THAT the Audit Risk and Improvement Committee note and endorse the Internal Ombudsman Shared Service 2019/20 Annual Report.</b></p> <p>Carried unanimously</p>      |  |                 |
| <p><b>RIS1120 Item 4 Progress Update on Motor Vehicles Incidents - Risk Strategies</b></p> <p><b>RECOMMENDATION (Heather Smith/Clr Lucille McKenna)</b></p> <p><b>THAT the Audit Risk and Improvement Committee receive and note the report.</b></p> <p>Carried unanimously</p>   |  |                 |
| <p><b>RIS1120 Item 5 Update on Technology One Project</b></p> <p><b>RECOMMENDATION (Clr Lucille McKenna/Heather Smith)</b></p> <p><b>THAT the report be received and noted.</b></p> <p><b>Last phase of the project to be implemented for this financial year including 3 modules to be transitioned</b></p> <p>Carried unanimously</p> | <p>Chief Operating Operator,<br/>Director<br/>Development and Recreation</p> | <p>May 2021</p> |
| <p><b>RIS1120 Item 6 ICT Security incident and notifiable data breach</b></p> <p><b>RECOMMENDATION (Clr Lucille McKenna/Heather Smith)</b></p> <p><b>THAT the report be received and noted.</b></p> <p>Carried unanimously</p>  |  |                 |
| <p><b>RIS1120 Item 7 ICT – Security Assessment</b></p> <p><b>RECOMMENDATION (Heather Smith/Clr Louise Steer)</b></p> <p><b>THAT the Audit Risk and Improvement Committee receive and</b></p>  |  |                 |

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| <p>note the report.</p> <p><b>Continue to receive ICT Security Updates</b></p> <p><b>Action: Report on Security Strategy Plan on Protection and Management of Data to be presented to the ARIC.</b></p> <p>Carried unanimously</p>  | <p>Chief Operating Operator,<br/>Director<br/>Development and Recreation</p> | <p>Feb 2021</p> |
| <p><b>RIS1120 Item 8 Verbal Report - COVID-19 Update – Staff</b></p> <p><b>RECOMMENDATION (Heather Smith/Clr Lucille McKenna)</b></p> <p><b>THAT the Audit Risk and Improvement Committee receive and note the verbal update.</b></p> <p><b>Action: Report on the Summary of Staff and Wellbeing Survey at the next Meeting.</b></p> <p>Carried unanimously</p>   | <p>Chief Operating Operator,<br/>Director<br/>Development and Recreation</p> | <p>Feb 2021</p> |
| <p><b>RIS1120 Item 9 Budget Update Investments &amp; Restricted Assets Summary</b></p> <p><b>RECOMMENDATION (Clr Lucille McKenna/Clr Louise Steer)</b></p> <p><b>THAT the Audit Risk and Improvement Committee receive and note the report.</b></p> <p><b>Action: Report on projection of Continuing Financial Impact from COVID-19 and a Financial Contingency Plan</b></p> <p>Carried unanimously</p> | <p>Chief Financial Officer</p>   | <p>Feb 2021</p> |
| <p><b>RIS1120 Item 10 Internal Audit</b></p> <p><b>RECOMMENDATION (Heather Smith/Clr Lucille McKenna)</b></p> <p><b>THAT the Audit Risk and Improvement Committee receive and note the report. NB this report was received out of order prior to Item 2.</b></p> <p><b>Action: A report on Child Safe progress is presented at future ARIC</b></p> <p>Carried unanimously.</p>                          | <p>Social &amp; Cultural Planning Manager</p>                                | <p>May 2021</p> |

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| <p><b>RIS1120 Item 11 Verbal update on Ashfield Pool opening</b></p> <p><b>RECOMMENDATION (Heather Smith/Clr Lucille McKenna)</b></p> <p><b>THAT the Audit Risk and Improvement Committee receive and note the verbal update.</b></p> <p>Carried unanimously</p>   |   |                 |
| <p><b>RIS1120 Item 12 Enterprise Risk Report</b></p> <p><b>RECOMMENDATION (Heather Smith/Clr Lucille McKenna)</b></p> <p><b>THAT the Audit Risk and Improvement Committee:</b></p> <ol style="list-style-type: none"> <li><b>1. Note the Audit RESOLUTION Register;</b></li> <li><b>2. Note the work to date on the Strategic Risk Refresh; and</b></li> <li><b>3. Endorse the proposed 2021 meeting schedule subject to adoption of Council Meeting Schedule</b></li> </ol> <p><b>Action: Present the Strategic Risk Refresh output and forward audit planning to future ARIC meeting.</b></p> <p>Carried unanimously</p> | <p>Senior Manager<br/>Business<br/>Excellence,<br/>Risk, WHS and<br/>Customer<br/>Service</p> | <p>Feb 2021</p> |
| <p><b>RIS1120 Item 13 Verbal Report - ARIC Self-Assessment &amp; Annual Report</b></p> <p><b>RECOMMENDATION</b></p> <p><b>THAT the Audit Risk and Improvement Committee receive and note the verbal report.</b></p> <p><b>Action:</b></p> <ol style="list-style-type: none"> <li><b>1. Self-Assessment questionnaire to be circulated out of session for completion by early December 2020.</b></li> <li><b>2. Present a draft ARIC self-assessment report and Annual Report at next meeting</b></li> </ol> <p>Carried unanimously</p>   | <p>Senior Manager<br/>Business<br/>Excellence,<br/>Risk, WHS and<br/>Customer<br/>Service</p> | <p>Feb 2021</p> |

Meeting closed at 7:42pm.

**CHAIRPERSON**

John Gordon