

Minutes of Audit, Risk and Improvement Committee Meeting held on 19 May 2021 at Ashfield Service Centre

Meeting commenced at 5.31 pm

PRESENT

Audit Risk & Improvement Committee Members	
Independent Member - Chair	John Gordon
Independent Member	Emily Hodgson
Independent Member	Heather Smith (5.32pm)
Councillor	Clr Louise Steer
Councillor	Clr Lucille McKenna
Other attendees	
General Manager	Peter Gainsford
Acting Director City Living	Caroline McLeod
Director Infrastructure	Cathy Edwards-Davis
Chief Financial Officer	Daryl Jackson
Group Manager Information and Communications Technology	Harin Perera
ICT Infrastructure Manager	Sasha Sutarov
Senior Manager Business Excellence, Risk, WHS and Customer Service	Peter Livanes
Acting Governance Manager - Minute Taker	Katherine Paixao
Acting Governance Coordinator - Minute Taker	Carmelina Giannini
Engagement Partner, EY	Melissa Broadhead
Engagement Manager, EY	Paulette Pang
Acting Internal Ombudsman	Elizabeth Renneberg

ACKNOWLEDGMENT OF COUNTRY

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

Heather Smith entered the meeting at 5.32pm

APOLOGIES:

Apologies from Elizabeth Richardson, Chief Operating Officer, Director Development and Recreation, Caroline Karakatsanis and Rochele Antolin, Audit Office of NSW.

DISCLOSURES OF INTERESTS: Nil

The Chair, John Gordon informed the Committee that he had retired from the following boards/committees to be deleted from his list of disclosures of interests previously provided to Council:

- Board for South Western Sydney Local Health District;
- Audit, Risk and Improvement Committee for Georges River Council; and
- Management Committee for Salvation Army International Developments (SAID).

The Chair, John Gordon requested Peter Livanes inform the committee of who is in attendance at the meeting.

The Chair, John Gordon congratulated the new General Manager Peter Gainsford on his appointment and welcomed him to his first meeting.

CONFIRMATION OF MINUTES:

Clr McKenna OAM/Heather Smith

The Minutes of the Audit, Risk and Improvement Committee Meeting held on Wednesday, 18 November 2020 were confirmed.

Carried unanimously

GENERAL MANAGER'S OVERVIEW

The General Manager, Peter Gainsford advised the Committee of his intentions over the next 3 months including recruiting senior staff. The support he has received from Managers has been appreciated.

GENERAL MANAGER'S REPORTS

ITEM	PERSON RESPONSIBLE	DEADLINE
<p>RIS0521 Item 1 Enterprise Risk Management Report</p> <p>RECOMMENDATION (Emily Hodgson/Heather Smith)</p> <p>THAT the Audit Risk and Improvement Committee:</p> <ol style="list-style-type: none"> 1. Note the ARIC resolution register; and 2. Note the Audit RESOLUTION register. <p>Action: The ARIC receive a summary of high risk recommendation rating to come in August 2021.</p> <p>Carried unanimously</p>	<p>Senior Manager Business Excellence, Risk, WHS and Customer Service</p>	<p>25 August 2021</p>

<p>RIS0521 Item 2 Internal Ombudsman Shared Service Report - IWC May 2021</p> <p>RECOMMENDATION (Emily Hodgson/Clr McKenna OAM)</p> <p>THAT the Audit Risk and Improvement Committee receive and note the Internal Ombudsman Shared Service Report.</p> <p>Action: The next Internal Ombudsman Shared Service report to include results of Human Resources and Industrial Relations professionals forum.</p> <p>Carried unanimously</p>	<p>Acting Internal Ombudsman</p>	<p>25 August 2021</p>
<p>RIS0521 Item 3 Internal Audit Status Report</p> <p>RECOMMENDATION (Clr McKenna OAM/Heather Smith)</p> <p>THAT the Audit Risk and Improvement Committee receive and note the report.</p> <p>Carried unanimously</p>		
<p>RIS0521 Item 4 ICT SOC Compliance Assessments for Cloud Service Providers</p> <p>RECOMMENDATION (Emily Hodgson/Heather Smith)</p> <p>THAT the Audit, Risk and Improvement Committee receive and note the report.</p> <p>Action:</p> <ol style="list-style-type: none"> 1. ARIC to receive a report at the August 2021 meeting on the TechnologyOne Audit; and 2. The Chief Information Officer to report back to the ARIC to confirm findings of the Security Audit and ISO standards. <p>Carried unanimously</p>	<p>Chief Information Officer Chief Information Officer</p>	<p>25 August 2021 25 August 2021</p>
<p>RIS0521 Item 5 ICT Security Update</p> <p>RECOMMENATION (Emily Hodgson/Heather Smith)</p> <p>THAT the Audit, Risk and Improvement Committee receive and note the report.</p> <p>Action: ARIC receive a report in August 2021 on the Business Impact Assessment.</p> <p>Carried unanimously</p>	<p>Chief Information Officer</p>	<p>25 August 2021</p>

<p>RIS0521 Item 6 Update on Technology One Project</p> <p>RECOMMENDATION (Emily Hodgson/Clr McKenna OAM)</p> <p>THAT:</p> <ol style="list-style-type: none"> 1. The report be received and noted; and 2. The Chair thanked the Chief Information Officer and his team for their hard work in delivering the TechnologyOne project modules to date. <p>Action: ARIC to receive a report back on the budget of the TechnologyOne Project to the next meeting.</p> <p>Carried unanimously</p>	<p>Chief Information Officer</p>	<p>25 August 2021</p>
<p>RIS0521 Item 7 Public exhibition of the Draft Revised Delivery Program 2018-22 and Operational Plan and Budget 2021-22; Draft Fees and Charges 2021-22; Draft Long-Term Financial Plan 2021-31 and Draft General Revenue Policy</p> <p>RECOMMENDATION (Clr McKenna OAM/Heather Smith)</p> <p>THAT the Audit Risk and Improvement Committee receive and note the report.</p> <p>Carried unanimously</p>		
<p>RIS0521 Item 8 Investment Report as at 31 March 2021.</p> <p>RECOMMENDATION (Clr McKenna OAM/Heather Smith)</p> <p>THAT the report be received and noted.</p> <p>Carried unanimously</p>		
<p>RIS0521 Item 9 Investment Policy Update</p> <p>RECOMMENDATION (Heather Smith/Clr Steer)</p> <p>THAT:</p> <ol style="list-style-type: none"> 1. The Committee provided its support for the updated Investment Policy; 2. The Chair suggested that Council considers seeking advice from other independent financial advisors to receive a range of ideas. <p>Carried unanimously</p>		

<p>RIS0521 Item 10 Fraud and Corruption Control System</p> <p>RECOMMENDATION (Clr Steer/Emily Hodgson)</p> <p>THAT the Audit Risk and Improvement Committee received and provided feedback on the draft Fraud and Corruption Control System.</p> <p>Carried unanimously</p>		
<p>RIS0521 Item 11 Draft ARIC Annual Report</p> <p>RECOMMENDATION</p> <p>THAT:</p> <ol style="list-style-type: none"> 1. The Draft Annual Report is received; and 2. Feedback on the Annual Report is provided by Wednesday 26 May. 		
<p>General Business</p> <p>The Audit Office of NSW will present the external audit plan at August 2021 ARIC meeting.</p> <p>Senior Staff to be recruited over the next 3 months.</p>		

Meeting closed at 7.31 pm.

Next Meeting – 25 August 2021, 5.30pm

CHAIRPERSON – John Gordon