

## **MINUTES OF AUDIT, RISK AND IMPROVEMENT COMMITTEE HELD ON THURSDAY, 6 DECEMBER 2018**

Committee Members: John Gordon - External Independent Member - Chairperson  
John Bartrop - External Independent Member  
Councillor Sam Ngai - Ku-ring-gai Council  
Councillor Martin Smith - Ku-ring-gai Council (*arrived at 6.15pm*)

Also Present: Mayor, Councillor Jennifer Anderson  
John McKee - General Manager  
Angela Apostol - Manager Finance  
Jennie Keato - Manager People & Culture  
Amber Moloney - Manager Records and Governance  
Rod Kidd - Team Leader - Corporate Risk & Assurance  
Susan Leahy - Head of Internal Audit

Observers: Councillor Cr Christine Kay  
Councillor Cheryl Szatow  
Jo Zhu - Risk Officer

Apologies: David Marshall - Director Corporate

*The Meeting commenced at 5:00 PM*

### **DECLARATIONS OF INTEREST**

No interest was declared.

### **DOCUMENTS CIRCULATED AT MEETING**

**Late Items:** Nil

### **CURRENT DEVELOPMENTS OVERVIEW**

### **MATTERS ARISING FROM PREVIOUS MEETING**

### **CONFIRMATION OF MINUTES**

AC201 **Minutes of Audit, Risk and Improvement Committee**  
File: CY00458/6  
Meeting held 27 September 2018  
Minutes numbered 188 to 200

**The Committee Recommends:**

Action Item:

That Minutes numbered AC188 to AC200 circulated to the Committee were taken as read and confirmed as an accurate record of the proceedings of the Meeting.

**GENERAL BUSINESS**

AC202 **Outstanding Action Schedule**

File: CY00458/6

*Vide: GB.1*

To provide the Audit & Risk Committee with details of outstanding actions from previous meetings.

**The Committee Recommends:**

That the report and its contents be received and noted.

AC203 **Risk Management Update**

File: CY00458/6

*Vide: GB.2*

To update the Audit Risk and Improvement Committee on the progress and actions undertaken on the Enterprise Risk Management (ERM) system and risk management projects.

**The Committee Recommends:**

This report is noted by the Committee

AC204 **Investment Report as at 31 October 2018**

File: FY00623

*Vide: GB.3*

To present Council's investment portfolio performance for October 2018.

**The Committee Recommends:**

- A. That the summary of investments and performance for October 2018 be received and noted by the Audit & Risk Committee.

AC205 **Compliance and Reporting Requirements October to November 2018**

File: S11015

*Vide: GB.4*

To provide the Audit and Risk Committee with a summary of actions taken in the past quarter against compliance and reporting requirements set out by the Office of Local Government.

**The Committee Recommends:**

That the Committee receives and notes the report.

AC206 **Summary of Relevant Circulars, Legislative Updates and Matters Arising - October to November 2018**

File: S11015

*Vide: GB.5*

To provide the Audit and Risk Committee with a summary of Council's actions in response to relevant circulars, legislative updates and other matters arising that impact the local government sector.

**The Committee Recommends:**

That the Committee receives and notes the report.

AC207 **Complaints and Compliments**

File: CY00458/6

*Vide: GB.6*

To update the Audit and Risk Committee on activities relating to complaints and compliments and a summary of Councils actions in response to applications

received under (or other matters relating to) the Government Information (Public Access) Act 2009, Privacy and Personal Information Protection Act 1998, and Health Records and Privacy Act 2002.

**The Committee Recommends:**

That the report be received and noted.

AC208 **Internal Audit - Status Report**

File: CY00578-4  
*Vide: GB.7*

To update the Audit, Risk & Improvement Committee on the progress of the Internal Audit shared service in Council and the work it has completed.

**The Committee Recommends:**

That the Internal Audit Status Report be received and noted.

AC209 **Internal Audit Plan**

File: CY00578-4  
*Vide: GB.8*

This report provides the proposed internal audit plan for 2019.

**The Committee Recommends:**

That the Internal Audit Plan for Ku-ring-gai Council for 2019 be received and noted.

AC210 **Internal Audit - Validation Report**

File: CY00578-4  
*Vide: GB.9*

To provide a status to the Audit, Risk & Improvement Committee on the status of past recommendations made and reported upon.

### **The Committee Recommends:**

- A. That the report be received and noted by the Committee.
- B. At least annually, Internal Audit will include in their follow up and monitoring phase of their methodology validation of recommendations previously made that will support reporting to this Committee.

### **OTHER BUSINESS**

The General Manager thanked John Gordon and John Bartrop for their service on Ku-ring-gai Council's Audit, Risk & Improvement Committee. The achievements made during the term of their service were acknowledged and recognised.

John Gordon and John Bartrop expressed their appreciation to Council for the opportunity to be part of the Committee. They noted a high level of confidence in the expertise of Council staff together with the robust nature of the management systems in place across the organisation.

Both members indicated their willingness to participate in a handover with the new External Independent Members should this be required.

*The Meeting closed at 7:00 pm*

### **Attachments:**

Presentation from Major Projects: [2019/014423](#)

Presentation from Centium: [2018/381569](#)