

**MINUTES OF AUDIT, RISK AND IMPROVEMENT COMMITTEE
HELD ON THURSDAY, 1 OCTOBER 2020
REMOTELY VIA ZOOM**

Committee Members: Stephen Coates - External Independent Member – Chairperson
Brian Hrnjak - External Independent Member
Councillor Sam Ngai
Councillor Martin Smith

Also Present: John McKee - General Manager
George Bounassif – Director Operations
David Marshall – Director Corporate
Michael Miocic – Director Development and Regulation
Angela Apostol – Manager Finance
Geoffrey Douglas -Group Lead Major Projects
Stephen Kwok– A/Manager Governance & Corporate Strategy
Jo Zhu – A/Team Leader Corporate Risk and Assurance
Jessica Tam – Insurance Officer

Susan Leahy – Head of Internal Audit Shared Service
Ash Pather – External Auditor Crowe Horwath
Jarrod Lean – Grant Thornton

Observers Mayor Jennifer Anderson

Apologies: Jennie Keato – Manager People & Culture
Michael Wearne – Manager Governance & Corporate Strategy
Charlee Bultitude – Audit Office of NSW

The Meeting commenced at 5:00 PM

DECLARATIONS OF INTEREST

Nil

CONFIRMATION OF MINUTES

AC085 **Minutes of Audit, Risk and Improvement Committee**

File: CY00458/8

Meeting held 10 September 2020

Minutes numbered AC83 to AC84

The Committee Recommends:

(Moved: Councillors Ngai/Smith)

Action Item:

That Minutes numbered AC83 to AC84 circulated to the Committee were taken as read and confirmed as an accurate record of the proceedings of the Meeting.

GENERAL BUSINESS

AC086 Outstanding Action Schedule

File: CY00458/8

Vide: GB.1

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

The Committee Recommends:

(Moved: Councillors Ngai/Smith)

That the report and its contents be received and noted.

AC087 Completed Internal Audit Report

File: CY00578/3-3

Vide: GB.2

Two internal audits have been completed:

1. Development Applications Assessment Review – Completed by Grant Thornton on behalf of the Internal Audit Shared Service. Presentation by Jarrod Lean.
2. Contract Management Framework Review

The Committee Recommends:

(Moved: Councillor Ngai/ External Independent Member Hrnjak)

That the internal audit reports be received and noted for:

1. Development Applications assessment Review
2. Contract Management Framework Review

AC088 LVH Quarterly Update

File: CY00610-3

Vide: GB.3

To update the Committee on the Lindfield Village Hub Project during the reporting period.

The Committee Recommends:

(Moved: External Independent Member Hrnjak/Councillor Smith)

That the Committee receives and notes this report.

AC089 **Risk Management Update**

File: CY00458/8

Vide: GB.4

To update the Audit Risk and Improvement Committee on the recent developments and key indicators of Council's portfolios across Enterprise Risk Management (ERM), Public Liability and Worker's Compensation for the current reporting period 1/4/2020 to 30/06/2020. Adjustments have been made to align the reporting period with calendar quarters effective from this quarter.

The Committee Recommends:

(Moved: Councillors Ngai/Smith)

The report is received and noted with key developments and initiatives in ERM, Insurance, WHS and Fraud and Corruption control acknowledged.

AC090 **Compliance and Reporting Requirements June to September 2020**

File: S11015

Vide: GB.5

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:

(Moved: External Independent Member Coates/Councillor Smith)

That the Committee receives and notes the report.

AC091 **GIPAA, PPIPA and HRIPA statistics June 2020 - September 2020**

File: CY00458/8

Vide: GB.6

To provide the Audit, Risk and Improvement Committee with a summary of Council's actions in response to applications received under the *Government Information (Public Access) Act 2009* (GIPA Act), *Privacy and Personal Information Protection Act 1998* (PPIP Act) and *Health Records and Information Privacy Act 2002* (HRIP Act) for the reporting period June 2020 – September 2020.

The Committee Recommends:

(Moved: Councillors Smith/Ngai)

That the Committee receive and note the report.

AC092 **Summary of Relevant Circulars, Legislative Updates and Matters Arising - June to September 2020**

File: S11015

Vide: GB.7

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:

(Moved: Councillors Ngai/Smith)

That the Committee receives and notes the report.

AC093 **Internal Audit Plan and Status Report**

File: CY00578/3-3

Vide: GB.8

To update the Committee on the resourcing and work of the internal audit function, including the status of the internal audit plan.

The Committee Recommends:

(Moved: External Independent Member Hrnjak/Councillor Smith)

- A. That the report be received and noted.
- B. That the status of the 2020 internal audit plan be received and noted.

AC094 **Status of Outstanding Internal Audit Recommendations**

File: CY00578/3-3

Vide: GB.9

Report on the progress of previous internal audit recommendations made.

The Committee Recommends:

(Moved: External Independent Member Hrnjak/Councillor Smith)

That this report and the attached listing of past internal audit recommendations be received and noted.

The Meeting closed at 6.57pm following which an in-camera meeting was held with ARIC members, External Auditor Ash Pather and Internal Auditor Susan Leahy.