

Audit Risk and Improvement Committee Meeting Agenda 1 October 2019



Location:	Level 1 Committee Room, Gosford Administration Building, 49 Mann Street,	Date:	Tuesday 1 October 2019
		Time:	2 pm

ITEM		PAGE	RESPONSIBLE OFFICER
1	Introduction		
1.1	Welcome, Acknowledgement of Country & Apologies	-	Colin Gellatly
1.2	Disclosures of Interest	3	Colin Gellatly
1.3	Confirmation of previous ARIC meeting minutes	5	Colin Gellatly
1.4	Outstanding Action Items	12	Colin Gellatly
2	Internal Audit		
2.1	CIA Quarterly Progress Report	15	Chief Internal Auditor
2.2	Implementation of Management Actions arising from IA Reviews	21	Chief Internal Auditor
2.3	IA Balanced Scorecard Report	26	Chief Internal Auditor
2.4	IA Annual Assurance statement (annual report)	47	Chief Internal Auditor
2.5	IA Work Program to December 2020 (annual report)	67	Chief Internal Auditor
2.6	IA Year in Review (annual report)	89	Chief Internal Auditor
2.7	IA Emerging Themes Report (annual report)	92	Chief Internal Auditor
3	External Audit		
4	Risk Management		
4.1	Risk Management Framework and Risk Register	94	Unit Manager Governance and Business Services
4.2	Fraud and Corruption Control Policy	106	Unit Manager Governance and Business Services
4.3	Business Continuity Plan – Implementation and Update	135	Unit Manager Governance and Business Services
5	Improvements		
5.1	Dashboard – collection of performance measurement data by the Council	Verbal Update	Colin Gellatly

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6	Governance		
6.1	General Observations on best practice	Verbal Update	John Gordon/ Internal Ombudsman
6.2	ICAC/Code of Conduct	Verbal Update	Internal Ombudsman
6.3	Update on Legal Matters	Confidential Report	General Counsel
6.4	Legislation Compliance Report	139	Unit Manager Governance and Business Services
6.5	GIPA Review Outcomes	147	Unit Manager Governance and Business Services
6.6	Establishment of Integrity and Ethics Unit	155	Director Governance
7	Finance		
7.1	Policy for Investment Management	169	Chief Financial Officer
8	General Business		
8.1	Chain of Responsibility	Presentation	Executive Manager People and Culture
8.2	Use of Roundup Weed Killer	184	Director Environment and Planning
9	Next Meeting		
Close			Colin Gellatly