

Audit Risk and Improvement Committee (ARIC)

Meeting Agenda

6 November 2020

Location:	Zoom Meeting	Date:	Friday 6 November 2020
		Time:	2pm – 5pm

This agenda includes reports which were originally prepared for 14 October 2020. In some instances it will be necessary for a verbal update to be provided as a result of any subsequent changes.

ITEM		PAGE	TIME	RESPONSIBLE OFFICER
1	Introduction			
1.1	Welcome, Acknowledgement of Country & Apologies	-	2pm	ARIC Chairperson
1.2	Disclosures of Interest	6		ARIC Chairperson
1.3	Confirmation of Previous ARIC Meeting Minutes	8		ARIC Chairperson
1.4	Outstanding Action Items	21		ARIC Chairperson
1.5	Progress of the 100 day plan	Late Report		Acting Chief Executive Officer
2	Internal Audit			
2.1	CIA Quarterly Progress Report	26	2.10pm 30 minutes	Chief Internal Auditor
2.2	Management Actions Arising from Third Line of Defence Reviews (23/2020ARIC)	34		Chief Internal Auditor
2.3	IA Balanced Scorecard Report	129		Chief Internal Auditor
2.4	Annual Internal Audit – Year in review	139		Chief Internal Auditor
2.5	IA Annual Assurance Statement	152		Chief Internal Auditor
3	External Audit			
3.1	Update on External Audit Activities	Verbal	2.40pm 30 minutes	NSW Audit Office
3.2	Performance Audit: Governance and Internal Controls over Local Infrastructure Contributions (24/2020ARIC)	Verbal/ Confidential Report		NSW Audit Office / Executive Manager, Innovation and Futures
3.3	Airport Review (Phase Two) Final Report (Council Resolution 779/20 from 10 August 2020)	177 Confidential Attachment		Chief Executive Officer

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4	Improvements			
4.1	Service Review – report from Innovation and Futures	181	3.10pm 10 minutes	Executive Manager, Innovation and Futures
5	Governance			
5.1	SIO Quarterly Progress Report	184	3.20pm 5 minutes	Senior Internal Ombudsman
5.2	Governance and Risk Activities Update (standing item)	187	3.25pm 5 minutes	Unit Manager Governance and Business Services
5.3	Update on Legal Matters (standing item)	Confidential Report	3.30pm 10 minutes	General Counsel
6	IM&T			
6.1	Update on Project Red – Penetration Testing	Verbal	3.40pm 15 minutes	Chief Information Officer
6.2	Update on Data Security and Phishing training	255		Chief Information Officer
7	Connected Communities			
7.1	Update on Regional Library Project	267	3.55pm 15 minutes	Director Connected Communities
7.2	Update on Complaints and Compliments	273		Director Connected Communities
8	Water and Sewer			
8.1	Update on Mardi to Warnervale Pipeline Project	288	4.10pm 10 minutes	Director Water and Sewer
8.2	Update on IPART	291		Director Water and Sewer
9	People and Culture			
9.1	Update on Contingent Workforce Engagement	295	4.20pm 10 minutes	Executive Manager People and Culture

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10	Environment and Planning			
10.1	Update on Environmental Management System Update	ITEM POSTPONED BY SCOTT COX		Director Environment and Planning
11	General Business			
11.1	General Business – 8 September 2020 Presentation by NSW Audit Officer	Verbal	4.30pm 20 minutes	Unit Manager Governance and Business Services
11.2	Discussion re Format of Meetings – remote, hybrid or in person moving forward.	Verbal		Unit Manager Governance and Business Services
11.3	Commencement of Selection Process for New ARIC Member	302		Unit Manager Governance and Business Services
12	Next Meeting			
2 December 2020 2pm in Wyong (Location TBC pending Public Health Order)				ARIC Chairperson
Note: further meeting scheduled to take place in November 2020 – Date TBC (Finance Meeting for purpose of Financial Statements)				ARIC Chairperson
Close				ARIC Chairperson