

**AUDIT AND RISK MANAGEMENT COMMITTEE NO. 2020(01)****12 FEBRUARY 2020****REPORT**

**MEMBERS' ATTENDANCE:** Graeme Stratford (Chairperson and External Member); Dr Annette Quayle (External Member), Robert Jones (External Member), Steve Greenwood (Interim Administrator)

**MEMBER'S APOLOGIES:** Nil

**OTHER ATTENDANCE:** David Farmer (Chief Executive Officer), Jeff Keech (Manager, Finance), Freddy Beck (Chief Audit Executive), Lisa Fraser (Queensland Audit Office), Patrick Fleming (Queensland Audit Office), Angela Harms (Governance Manager), Graham McGinniskin (Risk Management Coordinator), Sean Madigan (General Manager Coordination and Performance), Richard White (Manager, Procurement), Sonia Cooper (General Manager Corporate Services), Paula Perry (Manager, People and Culture), Rob Stower (ICT Strategy, Enterprise Architecture and Governance Manager), Josh Edwards (Business Improvement Manager) and Shane Andrews (Business Improvement Analyst)

1. **PRESENTATION - COORDINATION AND PERFORMANCE - DEPARTMENTAL RISK REGISTER AND CENTRAL BUSINESS DISTRICT**

Presentation by Sean Madigan (General Manager Coordination and Performance) regarding an overview of the Coordination and Performance Departmental Risk Register and Central Business District.

**RECOMMENDATION**

That the Interim Administrator of Ipswich City Council resolve:

- A. That the presentation be received and noted.
- B. That the Strategic Risk Register together with associated action plans be included as an agenda item for the next meeting of the Audit and Risk Management Committee.
- C. That minutes from the Project Steering Committee be included as a standing agenda item on the Audit and Risk Management Committee.

## DISCUSSION

Dr Annette Quayle suggested that the top ten risks and departments they belong to, be included in a future meeting of the Audit and Risk Management Committee. The Chief Executive Officer David Farmer stated that a register with action plans will be provided to the next Audit and Risk Committee meeting.

Rob Jones stated that the minutes of the steering committee meetings should be provided at each Audit and Risk Management Committee meeting as a standing item.

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### 2. REPORT – AUDIT AND RISK MANAGEMENT COMMITTEE NO. 2019(05) OF 6 NOVEMBER 2019

This is the report of the previous Audit and Risk Management Committee No. 2019(05) of 6 November 2019 for confirmation.

## RECOMMENDATION

That the previous report of the Audit and Risk Management Committee No. 2019(05) of 6 November 2019 be received and confirmed.

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### 3. TAX RISK MANAGEMENT UPDATE 2019 –FEBRUARY 2020

This is a report by the Principal Taxation Officer dated 3 February 2020 concerning taxation risk management issues for the year ended 31 December 2019.

## RECOMMENDATION

That the report be received and the contents noted.

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### 4. CORPORATE GOVERNANCE SECTION'S PERFORMANCE IN RELATION TO LEGISLATIVE COMPLIANCE

This is a report concerning the performance of the Corporate Governance Section (the Section) in relation to managing Council's legislative compliance in the management of Complaints, Right to Information and Information Privacy functions for the period 1 October 2019 to 31 December 2019 (the Quarter).

## RECOMMENDATION

That the report be received and the contents noted.

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5. SUMMARY OF RECENT INTERNAL AUDIT REPORTS ISSUED

This is a report concerning recently completed internal audits and the subsequent reports released since the previous report dated 29 October 2019.

RECOMMENDATION

That the report be received and the contents noted.

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The confidential papers associated with Item 6 are confidential as they relate to internal audits either being undertaken or those that have been completed.

6. INTERNAL AUDIT BRANCH ACTIVITIES REPORT FOR THE PERIOD 29 OCTOBER 2019 TO 4 FEBRUARY 2020

This is a report concerning the activities of Internal Audit undertaken since 29 October 2019 and the current status of these activities.

RECOMMENDATION

That the Interim Administrator of Ipswich City Council resolve:

That the report be received, the contents noted and the recommendations in Attachments 3, 4 and 5, be considered finalised and archived.

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The confidential papers associated with Item 7 are confidential as they relate to internal audit matters and proposed recommendations.

7. OVERDUE RECOMMENDATIONS AS AT 4 FEBRUARY 2020

This is a report concerning the status of each Department's progress in actioning the internal and external audit recommendations due or overdue for implementation.

RECOMMENDATION

That the report be received and considered.

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The confidential papers associated with Item 8 are confidential as they relate to the status of claims currently under investigation by Ipswich City Council.

8. INSURANCE AND RISK UPDATE

This is a report concerning Council's Insurance Statistics for the period 1 October 2019 to 31 December 2019 and the implementation status of Transformational Project # 7 Risk Management Framework (TP#7).

### RECOMMENDATION

That the Interim Administrator of Ipswich City Council resolve:

- A. That the report be received and the contents noted.
- B. That the minutes of the recently established ELT Risk Committee be presented to the Audit and Risk Management Committee.

### DISCUSSION

Rob Jones queried if the Fraud Control Framework would be submitted to the Audit and Risk Management Committee. The Principal Risk and Compliance Specialist advised that the minutes of the ELT Risk Committee and supporting information would be submitted to the Audit and Risk Management Committee.

Rob Jones stated that an update report outlining items that have been finalised since the previous Audit and Risk Management Committee should be provided at each meeting of the Audit and Risk Management Committee.

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The confidential papers associated with Item 9 are confidential as they relate to ongoing strategic project delivery and confidential resourcing matters.

#### 9. BUSINESS TRANSFORMATION AND STRATEGIC PROJECTS UPDATE

This is a report concerning the process, systems and controls currently in place to manage the delivery of the Business Transformation Program and other key strategic projects.

### RECOMMENDATION

That the report be received and the contents noted.

### DISCUSSION

Dr Annette Quayle stated that members would like to see the critical path from the transformational projects to what has been achieved rather than all the information relating to the projects.

The General Manager Corporate Services advised that staff will work on the timelines and include this information in future reports.

The confidential papers associated with Item 10 are confidential as the matters outlined in the report relate to outstanding matters for Ipswich City Council

10. QUEENSLAND AUDIT OFFICE 2020 DRAFT EXTERNAL AUDIT PLAN AND BRIEFING PAPER

This is a report concerning the 2020 Draft External Audit Plan and Briefing Paper submitted by the Queensland Audit Office to the Audit and Risk Management Committee.

RECOMMENDATION

That the 2020 Draft External Audit Plan and Briefing Paper be received and the contents noted.

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11. PRESENTATION - UPDATE ON PROCUREMENT ACTIVITIES

Presentation and update provided by Richard White (Manager, Procurement) concerning the procurement framework.

RECOMMENDATION

That the Interim Administrator of Ipswich City Council resolve:

- A. That the presentation be received and noted.
  - B. That only exceptions to the procurement process be included in future updates to the Audit and Risk Management Committee.
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12. ICT UPDATE

Update provided by the ICT Strategy, Enterprise Architecture and Governance Manager on the status of ICT projects since the last meeting.

RECOMMENDATION

That the Interim Administrator of Ipswich City Council resolve:

- A. That the update be received and noted.
- B. That an ICT Strategic Implementation Status Report be included as a standing item on each Audit and Risk Management Committee.

## DISCUSSION

Rob Jones referred to the minutes of the Audit and Risk Management Committee from November where it was noted that a strategy update should be provided at each meeting of the committee to give members an understanding of how the strategy is progressing. The ICT Strategy, Enterprise Architecture and Governance Manager acknowledged that the update should have been provided and gave an undertaking that it would be provided to the next meeting.

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### 13. UPDATE ON PEOPLE AND CULTURE

Update on activities of the People and Culture Branch by the Manager, People and Culture.

## RECOMMENDATION

That the Interim Administrator of Ipswich City Council resolve:

- A. That the update be received and noted.
- B. That the Manager, People and Culture provide a comprehensive update on the People and Culture Branch against the strategic plan including key risks to the next meeting of Audit and Risk Management Committee.

## DISCUSSION

Rob Jones queried the progress of the Grievance Management Framework. The Manager, People and Culture advised that the framework was submitted to the Joint Consultative Committee for feedback. Significant feedback was provided and People and Culture are now working through the feedback with the consultant and a report would be submitted to the Audit and Risk Management Committee later in the year.

### Attachments

- 1. Update on People and Culture Report
  - 2. Attachment 1 to report TP2 People and Culture Steering Committee Update
  - 3. Attachment 2 to report Recruitment Strategic Plan
  - 4. Attachment 3 to report Safety and Wellbeing Strategic Plan
  - 5. Attachment 4 to report People and Culture Strategic Plan
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### 11. NEXT MEETING

The next meeting is scheduled for May 2020 at a date yet to be determined.

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## **PROCEDURAL MOTIONS AND FORMAL MATTERS**

The meeting commenced at 1.01 pm.

The meeting closed at 3.51 pm.

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