

AUDIT, RISK AND IMPROVEMENT COMMITTEE MEETING

AGENDA

2 Prince Street, Grafton (Chambers)

Thursday, 7 December 2023

12noon - 12:30pm – Lunch

12:30 pm - 3:00pm – ARIC Meeting

Members (voting):

- Neville Parsons (Chair)
- Christine Tyler
- Barry Ford

Attendees:

- Laura Black – General Manager
- Kallet Ward- Internal Audit Officer
- Kevin Franey -TNR Chartered Accountants **(online via teams)**
- Ben Rogers - TNR Chartered Accountants **(online via teams)**
- Jamie Fleeting – Director Works & Civil
- Alex Moar - Director Corporate Governance & Community
- Adam Cameron - Director Environment and Planning
- Cr Steve Pickering
- Gearoid Fitzgerald-Audit Leader- Financial Audit, Audit office NSW **(online via teams)**
- Murray Lane- Manager Development and Land use Planning
- Kate Maginnity- Manager Finance & Corporate Systems
- Penelope Corkill- Director Risk and Assurance, Centium

Welcome and Acknowledgment to Country: Deliver by the Chair, Neville Parsons

Apologies:

Non-Attendees:

Declarations of Interest:

Confirmation of Minutes of previous meeting held on 3 August 2023 by:

Item No.	Business	Attachment
1.	Annual Financial Statements 2022/2023 <ul style="list-style-type: none"> • Presentation of the Annual Financial Statements 2022/2023 by Kevin Franey/ Ben Rogers 	√
2.	External Audit Reports <p>a) Recent External Audit Reports</p> <ul style="list-style-type: none"> • Final Management Letter Action Plan- Progress Status for the year ended 30 June 2022 and for the year ended 30 June 2021 is attached for review and discussion 	√
3.	Internal Audit Reports <p>a) Internal Audit 2023/2024- Progress Update</p> <ul style="list-style-type: none"> • On site Sewerage Management Strategy- Health check/ mini audit. Draft report is attached for your information- update by Penelope Corkill • Payroll/ HR reporting audit- action plan is attached for your information. • Budget Planning audit -action plan is attached for your information 	√

Item No.	Business	Attachment
4.	Business Continuity Plan- Progress Update by internal Audit Officer Suite of BCP documents comprising: <ul style="list-style-type: none"> • BCP -Manual • BCP- Procedure • BCP-Critical Contact List and Business Control Centre Locations • Directorate BCPs containing all identified Critical Functions 	
5.	Continuous Improvement Program (CIP)- Progress Update by Internal Audit Officer A CIP report from Statewide Mutual is attached for your information. Self- Assessment Audits: <ul style="list-style-type: none"> • Buildings • Playgrounds • Business Continuity 	√
6.	DA Quarterly Report- Presented by Manager Development and Land Use Planning <ul style="list-style-type: none"> • Development Applications Statistics Q1/2023 and Guidelines are attached for your information 	√
7.	Performance Audit from the Audit of New South Wales- Road Asset Management in Local Government- Update by Internal Audit Officer <ul style="list-style-type: none"> • Audit Overview (Scoping document) is attached for your information 	√
8.	ARIC meeting dates 2024: <ul style="list-style-type: none"> • 8 February 2024 • 2 May 2024 • 8 August 2024 • 10 October 2024 	
9.	Observations from the Committee <ul style="list-style-type: none"> • This will provide the opportunity for the Committee to provide insights and recommended areas for further review and information. • This will also identify priority action items for the Committee. • Emerging issues/ risks 	

	Attachment
List of Document for Information and Distribution	
Capitalisation Process Procedure	√
State Records Report, from the State Archives & Records, NSW Government.	√
2023-2024 Internal Audit Program	√
Internal Audit Reports 2018-2022- Progress Status Updates- Action Plans are attached for t	√
<ul style="list-style-type: none"> • Budget Management • Records Management • Corporate Overheads • Project Management • Plant Replacement • Grant Management • HR Strategy • Contract Management • Developer Contribution Plan Management • GIS Mapping 	

Meeting Closed:

Information and documents pertaining to the Committee are confidential and are not to be made publicly available. The Committee may only release council information to external parties that are assisting the Committee to fulfil its responsibilities with the approval of the general manager, except where it is being provided to an external investigative or oversight agency for the purpose of informing that agency of a matter that may warrant its attention.