



**SNOWY MONARO**  
REGIONAL COUNCIL

# **Minutes**

**Audit Risk And Improvement Committee Meeting**

**15 June 2021**



**AUDIT RISK AND IMPROVEMENT COMMITTEE MEETING  
HELD IN COMMITTEE ROOM, 81 COMMISSIONER STREET, COOMA NSW 2630**

**ON TUESDAY 15 JUNE 2021**

<b>MINUTES</b>
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**MINUTES OF THE AUDIT RISK AND IMPROVEMENT COMMITTEE MEETING  
HELD IN COMMITTEE ROOM, 81 COMMISSIONER STREET, COOMA NSW 2630**

**ON TUESDAY, 15 JUNE 2021  
COMMENCING AT 10.09AM**

**PRESENT:**

**Voting Attendees:** Melissa Tooke, Chair  
John Barbeler, Independent Member  
Miles Pearson, Independent Member

**Non-Voting Attendees:** Peter Bascomb, Chief Executive Officer

**Guests:** David Rawlings, Chief Strategy Officer  
Anton Yap, Organisational Risk Management Officer  
Nicholas Byrne, Chief Financial Officer  
Jacqueline Sullivan, Management Accountant  
Jeff Morgan, Chief Operating Officer  
Beth Barratt-Browne, Chief Workforce Officer  
Gina Woodward, Chief Communications Officer  
Sandra McEwan, Executive Assistant Strategy (*Secretariat*)  
Lawrissa Chan, Director - Financial Audit - Audit Office of NSW  
Furqan Yousuf, Audit Leader - Financial Audit - Audit Office of NSW

**APOLOGIES** : Councillor Anne Maslin, Council Member

**1. OPENING OF THE MEETING**

The Chair opened the meeting at 10.09AM and acknowledged the traditional custodians of the land on which the meeting was taking place upon, in particular the Ngarigo, Walgalu, Ngunnawal and Bidhawal people of the Snowy Monaro. The Chair wished to acknowledge and pay respect to Elders past, present and emerging, their continuing culture, and the contribution they make to the life of this region.

**2. APOLOGIES**

An apology for the meeting was received from Councillor Anne Maslin.

**3. DECLARATIONS OF PECUNIARY INTERESTS/CONFLICT OF INTEREST**

Nil

#### 4. ADOPTION OF MINUTES OF PREVIOUS MEETING

##### 4.1 AUDIT RISK AND IMPROVEMENT COMMITTEE MEETING 19 MARCH 2021

###### COMMITTEE RECOMMENDATION

ARIC12/21

THAT the minutes of the Audit Risk And Improvement Committee Meeting held on 19 March 2021 are confirmed as a true and accurate record of proceedings.

Moved Mr Barbeler

Seconded Mr Pearson

CARRIED

#### 5. BUSINESS ARISING

##### 5.1 PREVIOUS MINUTES ACTIONS NOT INCLUDED IN THE AGENDA

Mr Barbeler noted that a number of actions in the Minutes of the meeting held on 19 March 2021 were not included in the Agenda Action List for the meeting on 15 June 2021. He requested that the actions be discussed during the meeting.

#### 8.6 RISK MANAGEMENT UPDATE

Record No:

Responsible Officer: Chief Strategy Officer

Author: Organisational Risk Management Officer

Key Theme: 4. Leadership Outcomes

CSP Community Strategy: 10.2 Sound governance practices direct Council business and decision making

Delivery Program Objectives: 10.2.1 Independent audit and risk framework drives accountability

Attachments: Nil

##### EXECUTIVE SUMMARY

The Organisational Risk Management Officer has been continually working to address the 2019 RMCC Audit Findings as the deadline set by the TfNSW to close all audit findings by 31 March 2021 had been extended to 31 May 2021.

The re-implementation of Council's Enterprise Risk Management system is on-going. Updated Enterprise Risk Management Documentation had been reviewed by line management. Action items have been identified and are currently being addressed.

The combined Business Continuity Improvement project (under CivicRisk Mutual's Risk Enhance Program) by Snowy Monaro Regional Council, Midwestern Council and Parks Shire Council with Crowe Consulting is currently on-going.

A quarterly Local Emergency Management Committee meeting was recently held on 19 May 2021, at the Snowy Mountains Airport. Emergency Services Agencies did a site familiarisation tour of the airport in preparation for the snow season.

The following officer's recommendation is submitted for Council's consideration.

**COMMITTEE RECOMMENDATION**

**ARIC13/21**

- A. That the Audit, Risk and Improvement Committee receive and note the information in the report.
- B. The Committee requested copies of the RMCC findings, Crowe Consulting report, Register of Operational and Strategic Risks, detailed Implementation Plan, Monaro Rail Trail Risk Assessment, and examples of materials prepared be provided in the reports of the next ARIC meeting.
- C. The RMO give consideration to the processes of risk reporting as part of the establishment of ERM Framework.

**Moved Mr Pearson**

**Seconded Mr Barbeler**

**CARRIED**

**8.1 AUDIT ACTIONS PROGRESS**

Record No:

- Responsible Officer: Chief Strategy Officer
- Key Theme: 4. Leadership Outcomes
- CSP Community Strategy: 10.2 Sound governance practices direct Council business and decision making
- Delivery Program Objectives: 10.2.1 Independent audit and risk framework drives accountability
- Attachments: 1. Audit Actions Report  
2. Requests for extension of target dates
- ARIC Charter Reference: 5.6.8; 5.6.10;

**EXECUTIVE SUMMARY**

The report summarises the status of the recommendations from the various audits.

**COMMITTEE RECOMMENDATION**

**ARIC14/21**

- 1. That the Audit Risk and Improvement Committee note the extensions to the following actions listed below (A – KK).
- 2. The Committee would like to acknowledge the increased risk outstanding items posed to Council and note our concerns there are outstanding actions without compensating controls to mitigate risks.
- 3. That open actions be regularly monitored by the Executive Leadership Team as part of their meeting cycle. Action items that are unable to be implemented, or are no longer relevant should be referred to Council to formally accept the acknowledged level of risk.

That the extensions to the following actions be approved:

- A. FN04 18-19\_01/07 (FN04) - propagate organisation-wide training to employees with purchasing responsibility from 30 Jun 2021 to 30 Sep 2021.
- B. 18-19\_01/09 (FN05) - facilitate documentation of baseline procedures and performing risk assessments in facilities group from 30 Nov 2019 to 31 Dec 2021.
- C. 18-19\_01/10 (FN05) - Identified risks in facilities group to be updated in Council's risk register from 30 Nov 2019 to 31 Dec 2021.

- D. OB07-01 - enhance monitoring procedures and implement targeted training to address instances of non-compliance from 28 May 2021 to 30 Sep 2021.
- E. 18-19\_08/07 (FN06) - consider proceeding with providing training on GIPA Act from 30 Jul 2021 to 30 Mar 2022.
- F. IA19-SAA2 - organise external quality assessment for SMRC internal audit function from 30 Jun 2021 to 30 Jun 2022.
- G. IA19-SAA5 - gradually prepare organisation-wide assurance map around the lines of defence from 30 Jun 2021 to 30 Jun 2022.
- H. IA20-1A\_R06 (FN07) - prepare a formal procedure for development approval from 30 Jun 2021 to 30 Jul 2021.
- I. IA20-2A\_R12 (OB12) - finalise Council's project management and risk management frameworks and contract documentations from 31 Dec 2020 to 31 Dec 2021.
- J. IA20-2A\_R16 (OB16) - follow-up audit on the WHS management system from 30 Jun 2021 to 30 Jun 2022.
- K. OB07-01 - maintain an IT risk register from 30 Apr 2021 to 31 Jul 2021.
- L. IA20-4S\_R04 (OB04) - perform cybersecurity assessment and penetration testing from 31 May 2021 to 30 Jun 2021.
- M. IA20-4S\_R05 (OB05) – Ensure contract document stored in records management system from 31 May 2021 to 30 Jun 2021.
- N. IA20-5A\_R01 (OB01) - Establish an education program for tier 3 of the organisation structure to strengthen their understanding of risk management principle from 30 Jun 2021 to 30 Mar 2022.
- O. IA20-5A\_R02 (OB02) - Council's enterprise risk management framework needs to be re-envisioned from 30 Jun 2021 to 30 Jun 2022.
- P. IA20-5A\_R03 (OB03) - Council frameworks, policies and procedures must acknowledge the enterprise risk management framework as the tool to be used for decision making from 30 Sep 2021 to 30 Jun 2022.
- Q. IA20-5A\_R04 (OB03) - Reconsider the usage of quadruple bottom line reporting from 30 Jun 2021 to 31 Dec 2021.
- R. IA20-5A\_R05 (OB03) - major decisions being taken by managers/coordinators should be supported by risk assessments that have been seen by the appropriate ELT member(s) from 30 Dec 2020 to 31 Dec 2021.
- S. 18-19\_07/R04 (OB02) - Install proximity ID system for access to Council's prime facilities from 30 Jun 2021 to 30 Jun 2022.
- T. 18-19\_07/R07 (OB03) - Install and upgrade alarm systems from 28 Feb 2021 to 30 Jun 2022.
- U. 18-19\_07/R10 (OB05) - post installation of proximity ID card systems at Berridale administration building, management to restrict personnel movement to doors with card readers installed from 28 Feb 2021 to 30 Jun 2022.
- V. 18-19\_07/R01 (OB01) - perform an in-depth key register audit from 28 Feb 2021 to 30 Jun 2022.
- W. 18-19\_07/R02 (OB01) - implement key register functionality in the new corporate information system from 31 Mar 2021 to 30 Jun 2022.
- X. 18-19\_07/R03 (OB02) - implement mandatory requirement for all personnel to display photo ID cards from 31 Mar 2021 to 30 Jun 2022.
- Y. 18-19\_07/R06 (OB02) - implement consistent procedure across premises to record and identify visitors from 30 Jun 2021 to 30 Jun 2022.
- Z. 18-19\_07/R08 (OB03) - install surveillance cameras at Council's prime facilities from 28 Feb 2021 to 30 Jun 2022.
- AA. 18-19\_07/R11 (OB06) - install duress alarm at Berridale community services office from 28 Feb 2021 to 30 Jun 2022.



- BB. 18-19\_07/R12 (OB07) - install security alarms and surveillance cameras to at Berridale swimming pool from 28 Feb 2021 to 30 Jun 2022.
- CC. 18-19\_07/R17 (OB11) – improved security protocols at Bombala library from 30 Nov 2020 to 17 Jun 2021.
- DD.18-19\_07/R18 (OB12) - install security alarms and including live camera feed from Bombala swimming pool from 28 Feb 2021 to 30 Jun 2022.
- EE. 18-19\_07/R19 (OB13) - install security alarms, surveillance cameras and duress alarms at Bombala Visitors Information Centre from 28 Feb 2021 to 30 Jun 2022.
- FF. 18-19\_07/R20 (OB15) – improved security infrastructure at Cooma saleyards from 28 Feb 2021 to 30 Jun 2023.
- GG. 18-19\_07/R21 (OB16) – Cooma works depot security improvements from 28 Feb 2021 to 30 Oct 2021.
- HH.18-19\_07/R22 (OB17) - upgrade gate access system at aged care facility from 30 Sep 2020 to 31 Dec 2021.
- II. 18-19\_07/R23 (OB18) – improved security at Werrinina Centre from 28 Feb 2021 to 30 Jun 2022.
- JJ. 18-19\_07/R24 (OB19) – safety upgrades and improved security at Jindabyne indoor heated swimming pool from 28 Feb 2021 to 31 Jul 2022.
- KK. OB01-02 - continue to engage with the EPA to clearly establish Council's rehabilitation requirements for its closed landfill sites from 30 Jun 2021 to 30 Jun 2022.

**Moved Mr Pearson**

**Seconded Mr Barbeler**

**CARRIED**

## 8.2 ARIC RESOLUTION UPDATES

Record No:

Responsible Officer: Chief Strategy Officer

Key Theme: 4. Leadership Outcomes

CSP Community Strategy: 10.2 Sound governance practices direct Council business and decision making

Delivery Program Objectives: 10.2.1 Independent audit and risk framework drives accountability

Attachments: 1. Resolutions Updates

Cost Centre

Project

Further Operational Plan Actions:

### EXECUTIVE SUMMARY

The status of actions against the previous decisions made by ARIC is attached.

The following officer's recommendation is submitted for ARIC's consideration.

#### COMMITTEE RECOMMENDATION

**ARIC15/21**

That the Audit, Risk and Improvement Committee note the information, and request the items from the March and June 2021 meetings be included in the outstanding actions register.

**Moved Chair Tooke**

**Seconded Mr Pearson**

**CARRIED**

**Attendance of Chief Financial Officer, Management Accountant, Director - Financial Audit and Audit Leader - Financial Audit - Audit Office of NSW**

Chief Financial Officer, Management Accountant, Director - Financial Audit and Audit Leader - Financial Audit - Audit Office of NSW joined the meeting at 11.30am for discussion of Item 8.3 Financial Statements Preparation Plan 2021 – Status Update.

Lawrissa Chan, Director – Financial Audit presented an overview of the Annual Engagement Plan.

**8.3 FINANCIAL STATEMENTS PREPARATION PLAN 2021 - STATUS UPDATE**

Record No:

Responsible Officer:	Chief Financial Officer
Author:	Management Accountant
Key Direction:	4. Leadership Outcomes
Delivery Plan Strategy:	11.2 Council utilises sound fiscal management practices, pursues and attracts other sources of income
Operational Plan Action:	11.2.2 Provision of statutory reporting enables our leaders to make decisions on Council’s financial sustainability
Attachments:	1. Annual Engagement Plan 2020/21 (Audit) 2. Financial Statements Preparation Plan 2021
Cost Centre	WO17 Financial Services

**EXECUTIVE SUMMARY**

The attached plan sets out the activities required by Council to meet its year-end financial reporting obligations and ensure that contributors are aware of their responsibilities and target timeframes. The plan has been updated to reflect the status as at 4 June 2021.

Interim audit commences on 14 June 2021 through 18 June 2021.

The NSW Audit Office’s Annual Engagement Plan is also included in this report for reference.

The following officer’s recommendation is submitted for the Committee’s consideration.

**COMMITTEE RECOMMENDATION**

**ARIC16/21**

That the Audit, Risk and Improvement Committee receive and note the attached:

- a. 2020/21 Financial Statement Preparation Plan
- b. 2020/21 Audit Annual Engagement Plan

**Moved Mr Barbeler**

**Seconded Mr Pearson**

**CARRIED**

**Attendance of Management Accountant, Director - Financial Audit and Audit Leader - Financial Audit - Audit Office of NSW**

Management Accountant, Director - Financial Audit and Audit Leader - Financial Audit - Audit Office of NSW left the meeting at 11.40am during discussion of Item 8.3 Financial Statements Preparation Plan 2021 – Status Update.

**Attendance of Chief Officers**

Jeff Morgan, Chief Operating Officer, Beth Barratt-Browne, Chief Workforce Officer and Gina Woodward, Chief Communications Officer joined the meeting at 12.06pm for discussion of Item 6.1 Chief Officer Introductions.

**6. PRESENTATIONS**

**6.1 CHIEF OFFICER INTRODUCTIONS**

**COMMITTEE RECOMMENDATION**

**ARIC17/21**

That the Audit, Risk and Improvement Committee note the discussions on matters of interest raised.

**Moved Mr Barbeler**

**Seconded Mr Pearson**

**CARRIED**

**Attendance of the Mayor**

The Mayor joined the meeting at 12.40pm and left at the resumption of the meeting at 1.08pm.

**Adjournment of Meeting**

At 12:40pm the meeting adjourned for lunch.

**Resumption of Meeting**

The meeting resumed at 1:08pm.

**Attendance of Chief Officers**

Chief Communications Officer continued her introduction presentation at 1.08pm.

The Chair thanked the Chief Officers for making the time to join the meeting.

Chief Operating Officer, Chief Workforce Officer and Chief Communications Officer left the meeting at 1.27pm at the conclusion of Item 6.1 Chief Officer Introductions.

**8.4 FINANCE PROCEDURES - DEBT MANAGEMENT POLICY**

Record No:

Responsible Officer: Chief Financial Officer

Author: Finance Accountant

Key Theme: 4. Leadership Outcomes

CSP Community Strategy: 11.2 Council utilises sound fiscal management practices, pursues and attracts other sources of income

Delivery Program Objectives: 11.2.1 Council has best practice management for financial sustainability

Attachments: 1. Debt Management Policy- Draft

Cost Centre WO17 Financial Services

**EXECUTIVE SUMMARY**

The Debt Management policy periodic review has occurred and minor updates to the policy have been incorporated. The policy is presented to Audit Risk and Improvement Committee (ARIC) for comment

prior to submitting to Council.

Associated with the revised policy is an update on current activities addressing overdue debtors.

The following officer's recommendation is submitted for Council's consideration.

**COMMITTEE RECOMMENDATION**

**ARIC18/21**

That the Audit, Risk and Improvement Committee receive the Debt Management Policy.

**Moved Mr Pearson**

**Seconded Mr Barbeler**

**CARRIED**

**8.5 PROCUREMENT TRAINING**

Record No:

Responsible Officer: Chief Financial Officer

Key Theme: 4. Leadership Outcomes

CSP Community Strategy: 11.2 Council utilises sound fiscal management practices, pursues and attracts other sources of income

Delivery Program Objectives: 11.2.1 Council has best practice management for financial sustainability

Attachments: 1. LG Procurement training program

Cost Centre WO17

Project Procurement

Further Operational Plan Actions:

**EXECUTIVE SUMMARY**

Procurement approach across Council is decentralised. The experience and skills undertaking large value procurement activities is mixed. To ensure Council uses contemporary and compliant practices Council is working with LG Procurement to assist in reviewing the procurement function commencing with a foundation training program and review of the policy and procedure framework.

The following officer's recommendation is submitted for Council's consideration.

**COMMITTEE RECOMMENDATION**

**ARIC19/21**

That the Audit, Risk and Improvement Committee note the Local Government Procurement proposal and initial activities to be scheduled during the next quarter.

**Moved Mr Pearson**

**Seconded Mr Barbeler**

**CARRIED**

**8.7 WORK HEALTH AND SAFETY UPDATE**

Record No:

Responsible Officer: Chief Strategy Officer

Key Theme: 4. Leadership Outcomes

CSP Community Strategy: 10.2 Sound governance practices direct Council business and decision making

Delivery Program Objectives: 10.2.1 Independent audit and risk framework drives accountability

Attachments: 1. Work Health and Safety Update

Cost Centre

Project

Further Operational Plan Actions:

### EXECUTIVE SUMMARY

The Chief Workforce Officer will be at the meeting and can provide further details are requested.

The following officer's recommendation is submitted for ARIC's consideration.

#### COMMITTEE RECOMMENDATION

ARIC20/21

That the Audit, Risk and Improvement Committee receive and note the information in the report.

Moved Mr Barbeler

Seconded Mr Pearson

CARRIED

### 8.10 QUARTERLY BUDGET REVIEW STATEMENT (QBR) TO MARCH 2021

Record No:

Responsible Officer: Chief Financial Officer

Author: Management Accountant

Key Direction: 4. Leadership Outcomes

Delivery Plan Strategy: 11.2 Council utilises sound fiscal management practices, pursues and attracts other sources of income

Operational Plan Action: 11.2.2 Provision of statutory reporting enables our leaders to make decisions on Council's financial sustainability

Attachments: 1. March 2021 Quarterly Budget Review Statement

Cost Centre W17 Financial Services

### EXECUTIVE SUMMARY

The following report is a copy of the report provided to the Council and is provide for the information of the committee.

The third quarter (Q3) Quarterly Budget Review Statement (QBR) is presented to Council. The QBR is a summary of Council's financial position as at 31 March 2021 and includes a projection as at year end. The QBR outlines the major variations and recommended changes to the adopted 2020/21 Operational Plan from June 2020. These include changes resulting from carry forward projects and adjustments.

The March 2021 QBR projects a net operating deficit before capital items (\$5.8M) compared with December 2020 QBR (\$5.9M).

The projected year end cash position of General funded activities of Council is \$6K and is likely to continue to remain at these low levels without any corresponding increased income from rates. Expenditure reviews continue across Council activities to manage within the low levels of cash reserves and to allow Council to consider the need for a rate review.

A number of capital projects are unlikely to be completed this year and external and internal reserves have been adjusted. Other adjustments to internal reserves are limited to employee leave entitlements, commitments for plant replacements and bonds. Council is not in a position to commit any unfunded cash expenditure.

**COMMITTEE RECOMMENDATION**

**ARIC21/21**

That the Audit, Risk and Improvement Committee receive and note the report.

**Moved Chair Tooke**

**Seconded Mr Pearson**

**CARRIED**

**8.11 DELIVERY PROGRAM OPERATIONAL REPORT S404 FOR THE PERIOD JULY-DECEMBER 2020**

Record No:

Responsible Officer: Chief Strategy Officer  
 Author: Acting Corporate Reporting Officer  
 Key Theme: 4. Leadership Outcomes  
 CSP Community Strategy: 10.1 Planning and decision making is holistic and integrated and has due regard to the long term and cumulative effects  
 Delivery Program Objectives: 10.1.2 Integrated Planning and Reporting guides long term planning and organisational sustainability  
 Attachments: 1. Action Task Progress Report  
 Cost Centre: Work Order 1764

**EXECUTIVE SUMMARY**

The following is a copy of the report put to the Council meeting in February 2021 on the progress against the Delivery Plan. It is provided for member’s information.

In accordance with Section 404(5) of the *Local Government Act 1993* (the Act), the Chief Executive Officer must ensure that regular progress reports are provided to the Council with respect to the principal activities detailed in the Delivery Program. Progress reports must be provided every six months.

This report covers the period July 2020 to December 2020. The full report is included in the Annual Report each year.

**COMMITTEE RECOMMENDATION**

**ARIC22/21**

That the Audit, Risk and Improvement Committee receive and note the report.

**Moved Mr Barbeler**

**Seconded Chair Tooke**

**CARRIED**

## 8.12 MONTHLY FUNDS MANAGEMENT REPORT - APRIL 2021

Record No:

Responsible Officer:	Chief Financial Officer
Author:	Finance Officer
Key Direction:	7. Providing Effective Civic Leadership and Citizen Participation
Delivery Plan Strategy:	DP7.6 Increase and improve Council's financial sustainability.
Operational Plan Action:	OP7.18 Effective management of Council funds to ensure financial sustainability.
Attachments:	Nil
Cost Centre	Financial Services
Project	Funds Management
Further Operational Plan Actions:	OP7.2 Completion of reporting requirements in accordance with legislation.

### EXECUTIVE SUMMARY

The following report a copy of the report detailing the funds management position for the reporting period ending 30 April 2021 as provided to council and is for the information of the committee.

Cash and Investments are \$71,841,116.

### Certification

I, Nicholas Byrne, Responsible Accounting Officer of Snowy Monaro Regional Council hereby certify, as required by Clause 212 of the Local Government (General) Regulation 2005, that investments as detailed in this report have been invested in accordance with Section 625 of the *Local Government Act 1993*, the Regulations and Council's Investment Policy.

### COMMITTEE RECOMMENDATION

ARIC23/21

That the Audit, Risk and Improvement Committee receive and note the report.

Moved Mr Pearson

Seconded Mr Barbeler

CARRIED

## 7. SPECIAL AGENDA ITEMS

Nil.

## 8. REPORTS

Item - 8.1. Audit Actions Progress - has been moved to another part of the document.

Item - 8.2. ARIC Resolution Updates - has been moved to another part of the document.

Item - 8.3. Financial Statements Preparation Plan 2021 - Status Update - has been moved to another part of the document.

Item - 8.4. Finance Procedures - Debt Management Policy - has been moved to another part of the document.

Item - 8.5. Procurement training - has been moved to another part of the document.

Item - 8.6. Risk Management Update - has been moved to another part of the document.

Item - 8.7. Work Health and Safety Update - has been moved to another part of the document.

## 8.8 INTERNAL AUDIT AS A SERVICE

Record No:

Responsible Officer: Chief Strategy Officer  
Author: Chief Executive Officer  
Key Theme: 4. Leadership Outcomes  
CSP Community Strategy: 10.2 Sound governance practices direct Council business and decision making  
Delivery Program Objectives: 10.2.1 Independent audit and risk framework drives accountability  
Attachments: 1. CRJO GMAG Report - Internal Audit as a Service  
Cost Centre  
Project  
Further Operational Plan Actions:

### EXECUTIVE SUMMARY

Following the departure of Council's Senior Internal Auditor there was general agreement that an internal audit service provided by a multi-disciplinary team independent of council was preferable and potentially less expensive.

Council's CEO, with the support of some other councils, requested that the Canberra Region Joint Organisation (CRJO) consider providing this as a shared service. The matter is included on the agenda for the CRJO Board meeting scheduled for Friday 11 June.

The following officer's recommendation is submitted for ARIC's consideration.

#### COMMITTEE RECOMMENDATION

ARIC24/21

- A. That the Audit, Risk and Improvement Committee members provide feedback to the Chief Executive Officer by the end of July 2021 on the questions and concerns they have on the models so that they can be presented to the report author for clarification.
- B. In the interim the Chief Strategy Officer will expedite activity to engage an internal audit provider through vendor panel with Debt Recovery, Rates Management, Asset Management, Contract Management and Water Charging as a priority.

Moved Chair Tooke

Seconded Mr Barbeler

CARRIED



## 8.9 CHIEF EXECUTIVE OFFICER REPORT

Record No:

Responsible Officer:	Chief Executive Officer
Author:	Chief Strategy Officer
Key Theme:	4. Leadership Outcomes
CSP Community Strategy:	10.2 Sound governance practices direct Council business and decision making
Delivery Program Objectives:	10.2.1 Independent audit and risk framework drives accountability
Attachments:	Nil
ARIC Charter Reference:	5.2.8; 5.3.6; 5.6.1; 5.7.1; 5.8.4

### EXECUTIVE SUMMARY

Council's Audit, Risk and Improvement Committee (ARIC), at its meeting on 5 December 2018, requested (Resolution No. ARIC97/18) *that a verbal report by the General Manager regarding Council plans and direction be included in all meetings as a standard agenda item.*

The following officer's recommendation is submitted for ARIC's consideration.

#### COMMITTEE RECOMMENDATION

ARIC25/21

That the Audit, Risk and Improvement Committee receive and note the information provided by the Chief Executive Officer.

Moved Mr Pearson

Seconded Mr Barbeler

CARRIED

Item - 8.10. Quarterly budget review statement (QBRs) to March 2021 - has been moved to another part of the document.

Item - 8.11. Delivery program operational report s404 for the period July 2020 - December 2020 - has been moved to another part of the document.

Item - 8.12. Monthly funds management report - April 2021 - has been moved to another part of the document.

## 9. GENERAL BUSINESS

### 9.1 REPORTS/PRESENTATIONS

The following reports/presentations were requested for the next ARIC meeting:

- Presentation by the Chief Workforce Officer on the Action Plan – follow up on feedback from the Employee Engagement Survey.

- Chief Financial Officer:
  - Wrap-up report outlining the key outcomes from the preparation of the 2020-2021 Financial Statements and what can be done to improve performance in future years.
  - Memo to the committee confirming the process to ensure the Financial Statements as audited are 100% correct in the Annual Report.
  - Presentation by Local Government Procurement.
  - The latest Monthly Funds Management Report.
  - Provision of Doubtful Debts.
- More detailed report for WH&S including:
  - 12 months of statistics indicating the trends.
  - Comments for 3 months.
  - Compensation claims – where they sit from a reporting perspective.
- Calendar invites for future ARIC meetings.

## 10. NEXT MEETING

Monday, 27 September 2021.

There being no further business the Chair declared the meeting closed at 3.22pm.

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CHAIRPERSON

The above minutes of the Audit Risk And Improvement Committee Meeting of Snowy Monaro Regional Council held on 15 June 2021 were confirmed by Committee at a duly convened meeting on at which meeting the signature hereon was subscribed.