

Audit and Risk Committee Meeting Minutes

IPC ARC Meeting No. 13

Tuesday 3 December 2013, 2.30pm

1. Attendance

<u>Members:</u>	Ms Carolyn Walsh (Chair) (CW), Ms Lyn Baker (LB), Mr Garry Dinnie (GD)
<u>In attendance:</u>	Mr Clive Gough (O'Connor Marsden), Mr Gearoid Fitzgerald (Audit Office), Ms Kathrina Lo (KL), Mr Gary Tong (GT), Ms Anwen Rowe (AR)
<u>Apologies:</u>	Ms Meredith Claremont (MC)
<u>Minute Secretary:</u>	Ms Anwen Rowe (AR)

2. Declarations of interest

No additional declarations of interest were made.

The meeting **noted** this advice.

3. Minutes of previous meeting and Rolling Action Report

Minutes of meeting 11, and meeting 12 were **approved** and **adopted** by the Committee, and members **acknowledged** these minutes would be proactively released on the IPC's website.

Action 1: Publish minutes of 28 August 2013 and 18 September 2013 on the IPC website.

The Committee **noted** the Rolling Action Report, and the fact that all matters were either complete or on the agenda.

4a. Update from Information Commissioner

KL informed the Committee the new Information Commissioner, Elizabeth Tydd, would be commencing in the role on Monday 23 December. KL will meet with Elizabeth Tydd in coming weeks to brief her on key issues.

The Committee was updated on progress with the GIPA casework where significant progress has been made to reduce aged matters on hand.

KL also informed the Committee that work has commenced on the Section 37 GIIC Act report by the Information Commissioner to NSW Parliament with a plan to deliver the 3 outstanding reports by the end of this financial year.

The Committee discussed the upcoming ARC appointments for 2014, and suggested this be addressed by the incoming Information Commissioner in the new year.

The Committee thanked Kathrina Lo for her work and attention to the Committee during her time as A/Information Commissioner.

The Committee **noted** the A/Information Commissioner's oral report.

4b. Update from the Chair

CW informed the Committee she had helped facilitate the IPC Executive Risk workshop, held on 2 September.

The Committee **noted** the advice from CW regarding her facilitation of the Risk workshop.

5. Risk Management 2013-14

The Committee discussed the IPC Risk Management Policy, Operational Business Plan, Business Planning Framework and the draft Risk Register.

a) A question was raised regarding item 5.3 in the Risk Management policy, with regard to the Business Systems Manager and the responsibilities of the position.

The Committee **endorsed** the IPC Risk Management Policy, subject to minor typos on pages 8 and 14 being corrected.

b) The Committee discussed the Operational Business Plan for 2013-14 and commented that the document was very clear and concise. The Committee discussed duplication in risks 22 and 28, and suggested deleting risk 28 from the plan, as it is not in the Risk Register document. The Committee also suggested that for the status column, a traffic light system may be effective.

The Committee **noted** the Operational Business Plan, and requested the plan be updated in line with comments regarding the duplication of risk 22 and 28.

c) The Business Planning Framework was discussed and the Committee **noted** the format and stated that it was very clear and concise.

d) The Committee discussed the Risk Register and suggested entering the treatments in a statement at the front of the register (ie that individual treatments, treatment owners and implementation dates are documented in the IPC Operational Business Plan). There was discussion around what had happened to the risks from the previous Risk Register. The Committee asked that for any risks not carried into this new version, a process be undertaken to close out those risks. A new column could be added to the previous register with comments around linking the risk to a new risk, or that it was completed. The Committee asked for this to be circulated out of session.

The Committee **noted** the draft Risk Register and the further work to be undertaken.

The Committee congratulated MC and the team on a great set of documents.

Action item 2: Introduce a traffic light approach for the status column in the Risk Register.

Action item 3: IPC Risk Management Policy to be updated in line with comments from Committee.

Action item 4: Operational Business Plan to be updated in line with comments from Committee.

Action item 5: A close out of the risks in the previous version of the Risk Register to be completed and circulated out of session to members.

6. Internal Audit 2013-14

The Committee discussed the Records Information Management status report. The Committee noted the good progress and clear directions made by JF.

A question was raised regarding the approval process for changes to due dates. KL informed the Committee she meets weekly with JF to discuss the status report and any date changes are approved by her.

A suggestion was made that a note should be included on the report that progress of certain items is dependent on the service provider, DAGJ, as a footnote or on a summary page.

The Committee also discussed the Case Management System audit. Clive Gough stated the audit shows IPC is capable of running projects well, on time and in budget. Clive Gough noted the IPC is very dependent on DAGJ/ISB to achieve its objectives.

The Committee was informed that IPC is represented on the steering committee for the TRIM system pilot that DAGJ are undertaking.

The Committee **noted** the Records and Information Management status report and the Case Management System Audit and congratulated JF on her progress.

7. External Audit 2013-14

The Committee discussed the Audit Office Management letter and **noted** the recommendations were accepted and action was underway.

The Committee **noted** the recommendations of minuting of meetings and agreed that it was reasonable to minute the quarterly Executive meetings, as proposed, and this should not be a repeat issue for following years.

The Committee requested that minutes of the quarterly meetings be included in meeting papers for all ARC meetings this year, attached to the External Audit item, as the matter was raised in the management letter.

The Committee **noted** the Audit Office Management letter.

Action item 6: Minutes of quarterly Executive meeting to be included in meeting papers for all ARC meetings for the year.

8. Fraud and Corruption process

The Committee discussed the fraud and corruption process for the IPC and **noted** this is not a high risk exposure for the IPC. GT informed the Committee that an information session by the Independent Commission Against Corruption (ICAC) will be held at the IPC on Wednesday 4 December covering fraud and corruption.

The Committee requested an email stating the presentation had taken place and to confirm the presentation was helpful for staff.

The Committee **noted** that the IPC was addressing Fraud and Corruption by holding the ICAC presentation for staff.

Action item 7: Email to be sent to Committee confirming presentation and effectiveness for staff.

9. Review of ARC calendar items – Quarter 2

The Committee discussed the Calendar items scheduled for review in the second quarter of the financial year.

The Committee **noted** the general update.

10. Legislative Compliance Register

The Committee discussed the updated register and suggested the blank columns should be updated, and a review of the register should be undertaken next year.

There was discussion around keeping the register up-to-date and the possibility of including it as an item for discussion at the quarterly Executive meetings.

The Committee discussed the process to ensure business managers are reviewing the register, or providing assurance to the Commissioners on progress.

There was also discussion on what processes IPC has in place about legislative changes that affect the IPC.

The Committee **noted** the register and **agreed** this should be included on the next agenda for review.

Action item 8: Review of the Legislative Compliance Register is to be added to the March 2014 meeting agenda.

Other business

Meeting schedule:

The Committee **noted** the meeting dates for 2014, which are:

Wednesday 5 March 2014

Wednesday 4 June 2014 – to be rescheduled/confirmed

Wednesday 24 September 2014

Wednesday 3 December 2014

The meeting concluded at 3.30pm