



Audit and Risk Committee Meeting Minutes

IPC ARC Meeting No. 10

Wednesday 29 May 2013, 3.00pm

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), Ms Pamela Robertson-Gregg (O'Connor Marsden), Ms Meredith Claremont (MC), Mr Gary Tong (GT), Mr Gary Cochrane (for WHS presentation)
<u>Apologies:</u>	Ms Deirdre O'Donnell (DO), Dr Elizabeth Coombs (EC), Ms Caroline Karakatsanis (Audit Office)
<u>Minute Secretary:</u>	Ms Anwen Rowe (AR)

The Chair acknowledged Deirdre O'Donnell's departure from the IPC and extended her thanks on behalf of the Committee for her being an incredibly constructive and supportive CEO during her time as Information Commissioner.

2. Declarations of interest

No additional declarations of interest were made. The meeting **noted** this advice.

3. Minutes of previous meeting

Minutes of meeting 9 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 6 March 2013 on the IPC website.

4. Rolling Action Report

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

5a. Update from Information Commissioner

DO submitted a written update to the Committee, given her absence. The update included:

- the Information and Privacy Advisory Committee has been established with a welcome function held on 18 March and the inaugural meeting held on 16 May.
- the Information Commissioner and the Privacy Commissioner have appeared before the Joint Parliamentary Committee in a public hearing on 11 April on performance reporting, and tabled an adaptation of the Audit Office's governance lighthouse.
- the IPC review has almost concluded. There are two recruitment processes yet to occur and key management roles have been selected.
- the new Strategic Plan has been developed, launched to staff and will soon be published.
- the service level agreement with Information Services Branch of the Department of Attorney General and Justice (DAGJ) was signed.

DO concluded her report by extending her sincere thanks for the work of the Committee and for their support and guidance to the IPC as it evolved.

CW expressed her thanks to Deirdre O'Donnell for the written report.

The Committee **noted** the Information Commissioner's written report and **endorsed** the governance lighthouse and the actions to be undertaken.

Action item 2: The lighthouse document is to be sent to the Audit Office representative for feedback and comments.

Action item 3: The empty cells in the governance table are to be merged and the text 'ongoing' to be inserted.

Action item 4: A note is to be included on the document indicating that activities occur every year, in specified quarters.

5b. Update from the Chair – letter from Treasury

The Committee discussed the letter from Treasury on 'Strengthened Financial Management and Accountability Arrangements' and its responsibilities of the ARC.

CW wanted to ensure all members had common understanding of the requirements of the letter and its relevance to the IPC. There was general agreement for most requirements. There was discussion around the terminology 'regular due diligence checks' and how this applies to the IPC.

The Committee discussed their role in performing due diligence on all reports tabled for the Committee. CW recommended IPC formally request assurance from DAGJ regarding the financial controls relevant to this point.

CW reviewed the letter to ensure all requirements are adequately covered and confirmed these will be used as a basis for the management report.

The Committee **noted** the letter from Treasury.

Action item 5: IPC to write to DAGJ regarding assurances over financial controls.

Action item 6: CAE and Chair to use requirements for the next management report.

6. Review of ARC calendar items – Quarter 4

The Committee discussed GT's update on the Calendar items scheduled for review in the fourth quarter of the financial year.

It was agreed that CW and MC should meet to discuss the management report by the Chair. CW will then schedule meetings with GD and LB regarding performance management.

The Committee **noted** the general update. The Chair also noted two meetings are to be scheduled for the 1st quarter of next financial year. The Chair identified calendar items for upcoming meetings. The Chair requested the internal and external auditor 'in camera' meetings be scheduled prior to the next meeting.

Action item 7: MC and CW to meet to discuss management report and performance by the Chair.

Action item 8: CW to meet with LB and GD.

Action item 9: Schedule 'in camera' sessions for 15 minutes each with internal and external auditors prior to next meeting.

7. Risk register, and IPC Strategic business planning

The Committee discussed the Risk Register, and the Strategic Business plan. The Committee commented on the risks and whether they had changed due to progress. They suggested reviewing the document to ensure it was live and up to date, especially in light of business planning.

There was discussion around targeting higher risk or higher consequence items and being disciplined in identifying strategic items that become business as usual in time.

The Committee **noted** the Strategic Plan and Risk Register and **noted** any changes to the risk register are to be identified in the cover report for this item in future meetings.

8. Internal audit plan – 2013/14

The Committee noted the preliminary topics for the next audit plan. There was discussion around linking the audit plan to the risk register and the work to be undertaken in this regard. OCM will prepare the proposed audit plan for the next meeting with reference to the Risk Register.

Action item 10: IPC and OCM to meet regarding the audit plan.

Action item 11: A revised audit plan to be tabled at the August meeting.

9. Internal audit – Records and Information Management audit - OCM

Clive Gough thanked the IPC team for their cooperation in the audit process.

CG discussed the audit findings with members. There was discussion around the term 'vital records' and what this means for the IPC. CG clarified that a vital record is any record that the organisation really needs in order to function.

The Committee discussed the need for clarification on what the IPC's responsibilities are in comparison to DAGJ as our service provider.

The Committee requested that the Senior Information Management Officer attend the August meeting to discuss the implementation of the findings.

The Committee **noted** the implementation status and requested more detail in management response in future.

Action item 12: Senior Information Management Officer to attend the August meeting.

10. Internal audit implementation – Status report

The Committee **noted** the status report and requested advice to the next meeting on milestones met and any proposed changes.

11. Service Level Agreement update

The Committee **noted** the update and the signing of the Service Level Agreement (SLA). The Committee also **noted** the 3 remaining SLA's to be negotiated and signed.

12. WHS presentation and discussion

Gary Cochrane presented the IPC's Work Health and Safety Management System to the Committee.

The Committee discussed the need to identify the officers, under section 52 of the Act. They suggested ensuring that if all members of the executive management are identified as officers, to ensure everyone is comfortable with their due diligence requirements.

Pamela Robertson-Gregg advised that O'Connor Marsden has specialist WHS staff who would be able to assist with auditing of the WHS plan once it is implemented.

The Committee **noted** the presentation.

13. Compliance checklist

The Committee discussed the checklist and agreed there was a need to be very assiduous in the self assessment process.

The Committee **requested** the checklist be updated, as compliance has been achieved with the requirements, and the updated version be provided to the next meeting.

Action item 13: Updated Compliance checklist to be tabled at the August meeting.

14. Legislative Compliance Register

The Committee discussed the updated register. No further suggestions or amendments were made.

The Committee **noted** the register.

Other business

a) The Committee discussed and **agreed** their preference to continue to receive hard copy meeting papers, acknowledging their appreciation to IPC.

b) Meeting schedule:

The Committee **agreed** to schedule a meeting on 3 December and **noted** an earlier start time at the August meeting to accommodate the 'in camera' sessions with the internal and external auditors.

The meeting concluded at 4.45pm.