Audit and Risk Committee Meeting Minutes
IPC ARC Meeting No. 8
Thursday 18 October 2012, 3.00pm

1.   Attendance

Members: Ms Carolyn Walsh (Chair) (CW), Ms Lyn Baker (LB), Mr Garry Dinnie (GD)

In attendance: Ms Deirdre O'Donnell (DO), Ms Meredith Claremont (MC), Mr Darryl Brown (DB)

Minute Secretary: Ms Anwen Rowe (AR)

2.   Declarations of interest

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

3.   Minutes of previous meeting

Minutes of meeting 6 were **approved** and **adopted** by the Committee, subject to the minor change to item 13 as circulated.

4.   Rolling Action Report

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

5.   Update from Information Commissioner

DO informed the Committee that a review is underway of the IPC's structure and this is being facilitated by Jan McClelland. DO liaised with key stakeholders including the Joint Parliamentary Committee that oversees our office. DO stated that the review has been given a tight timeframe and the aim is to have this completed by mid November 2012.

DO updated the Committee on the current status of the IPAC (Information and Privacy Advisory Committee) and said progress has been made, with the good assistance of Ms Nikki Gibbs-Steele, on working through the necessary documentation. It is hoped the IPAC may be in place by 2013.

DO spoke about the Annual Report and that this is under MC's direction. A lot of work is being done to compile and complete the report by 31 October 2012.

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

6.   General Update

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

DB and MC stated they will schedule a workshop to work through the Compliance register and our obligations in complying with each piece of legislation identified in the register.

MC informed the Committee that a project is underway to assess compliance with our legislation, the *Government Information (Public Access) Act 2009.*

MC stated the intention to review the register on a quarterly basis.

It was agreed that DB is to review the ARC Calendar and the self assessment checklist should be moved to quarter 4 in the Calendar.

The Committee **noted** the general update.

Action item 1: MC to circulate the self-assessment and management report, and update the calendar to align the process of performance management.
Action item 2: AR to schedule annual meeting of the Chair with DO to discuss the management report.

7. Updated compliance checklist

The Committee discussed the updated compliance checklist. CW thanked the team for their efforts in achieving compliance with most requirements of the checklist.

Action item 3: AR to send the checklist template to LB and GD for sharing.

8. CMS implementation – Status report

DO informed the Committee about the latest developments with the CMS implementation. The Project Initiation Document (PID) has been developed. This will be the baseline for us to review against.

There have been delays in communication with the service provider, however good progress continues to be made and we are currently tracking on time and on budget with the project. The current 'go-live' date is 23 November, which has slightly moved from the original date of 20 November.

DO credited Jane Fitzpatrick with the good progress made so far.

The Committee discussed levels of risk, change management, governance and reporting arrangements. DO **agreed** to follow up what the term 'in production' means, and if the system will be operational on the 'go-live' date.

Action item 4: DO to follow up the term 'in production' and confirm the system will be operational on 'go-live' date.

9. Risk register

The Committee discussed the Risk Register and noted that it is planned to review the Enterprise Risk Management (ERM) Framework, Risk Management Policy and Risk Register, to ensure that the Risk Register is aligned to the Risk Matrix in the ERM Framework. These changes were discussed and agreed at the previous meeting (August 2012) and will be implemented by the March 2013 meeting.

The Committee **noted** the work to be undertaken.

Action item 5: The latest dashboard report is to be provided to the Committee out of session by DB.
Action item 6: Work to be undertaken to review the Enterprise Risk Management (ERM) Framework, Risk Management Policy and Risk Register to ensure that the Risk Register is aligned to the Risk Matrix in the ERM Framework. The updated paper is to be tabled at the March 2013 meeting.

10. Internal Audit implementation – Status report

The Committee discussed the status report and suggested a number of changes be made regarding the format of the document. These included adding an extra column for the type of process, depending on the type of audit that is being undertaken.

CW encouraged MC to validate high risk recommendations by viewing evidence of the close-out process.

The Committee supported MC and DB in using their judgement in deciding which recommendations will or won't be implemented. MC is to inform the Committee if recommendations will not be implemented and to justify the decision taken.

The Committee stated it is important to be realistic with timeframes and to avoid keeping items listed as delayed where possible. The Committee also reiterated the importance of management understanding every recommendation, in order to effectively implement them.

The Committee **agreed** that the template provided is to be used going forward, and **agreed** that any changes in dates for scheduled audits, should be recorded in strike through font to ensure original dates are not lost.

Action item: 7: MC to amend the template status report in line with feedback from the Committee.

11. IPC:DAGJ – Shared Corporate Services Arrangements

DB updated the Committee on the current status of the shared corporate services arrangements between IPC and the Department of Attorney General and Justice (DAGJ).

The Committee stated the importance to include timeframes for business critical issues, including an escalation process. It was suggested this could be included in a separate table on page 1 of any service schedule, to highlight the critical areas.

DB stated he would check the schedules to ensure the agency responsible for each item (IPC/DAGJ) had been identified in the columns.

The Committee **noted** the update and congratulated DB on the format of the service schedules and progress made so far.

12. Legislative Compliance Register

The Committee **noted** the Legislative Compliance Register and that an updated register will be provided at the March 2013 meeting.

13. ARC calendar

The Committee discussed the Calendar, agreeing that DB will review the calendar and that a collective evaluation of the Committee, will occur with the performance review.

MC and DB agreed to complete the 'who's responsible' column in the calendar, enhancing accountability.

The Committee **noted** the calendar.

Action item 8: DB to review the Calendar in line with feedback from the Committee.
Action item 9: DB to complete the 'who's responsible' column as discussed with the Committee.

The meeting concluded at 4.45pm.