



## THE REGIONAL MUNICIPALITY OF PEEL

### AUDIT AND RISK COMMITTEE

#### MINUTES

**ARC - 1/2020**

The Region of Peel Audit and Risk Committee met on February 6, 2020 at 11:12 a.m., in the Regional Council Chamber, 5th Floor, Regional Administrative Headquarters, 10 Peel Centre Drive, Suite A, Brampton, ON.

**Members Present:** S. Dasko; N. Fairhead; C. Fonseca; N. Iannicca; K. Ras; R. Santos; I. Sinclair; R. Starr; H. Zuberi

**Members Absent:**

**Also Present:** N. Polsinelli, Interim Chief Administrative Officer; N. Rajani, Acting Commissioner of Finance and Chief Financial Officer; S. Baird, Commissioner of Digital and Information Services; L. Duarte, Acting Commissioner of Corporate Services; J. Sheehy, Commissioner of Human Services; A. Farr, Acting Commissioner of Public Works; C. Granger, Acting Commissioner of Health Services; P. O'Connor, Regional Solicitor; M. Morris, Director, Enterprise Risk and Audit Services; A. Macintyre, Deputy Regional Clerk and Manager of Legislative Services; J. Jones, Committee Clerk; S. MacGregor, Legislative Assistant

*Chaired by Councillor Starr.*

**1. DECLARATIONS OF CONFLICTS OF INTEREST - Nil**

**2. APPROVAL OF AGENDA**

RECOMMENDATION ARC-1-2020:

That the agenda for the February 6, 2020 Audit and Risk Committee meeting, be approved.

**3. DELEGATIONS - Nil**

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\* See text for arrivals

◆ See text for departures

**4. REPORTS**

**4.1. 2020 Enterprise Audit Services Risk Based Work Plan**

Presentation by Michelle Morris, Director, Enterprise Risk and Audit Services and Jennifer Weinman, Manager, Enterprise Audit Services

Received

RECOMMENDATION ARC-2-2020:

That the 2020 Enterprise Audit Services Risk Based Work Plan as outlined in the report of the Director, Enterprise Risk and Audit Services, titled "2020 Enterprise Audit Services Risk Based Work Plan", be approved.

Michelle Morris, Director, Enterprise Risk and Audit Services and Jennifer Weinman, Manager, Enterprise Audit Services, provided an overview of the 2020 work plan outlining the purpose, methodology, risk universe and alignment to the Region of Peel's Strategic Plan. They reviewed the three work plan components including: audit projects that will commence in 2020, projects started in 2019 to be concluded in 2020, and other audit related services.

In response to a question from Councillor Sinclair regarding the Land Use Planning audit, Michelle Morris stated that subsequent to determination of the preliminary scope of the audit, staff will report back to the committee.

Member Fairhead suggested that the preliminary scope of the IT Capability Management audit be revised to also include "upgrade skills" for existing staff, to improve staff retention.

Councillor Fonseca suggested that pedestrian signals at intersections be considered in the Roads and Transportation Management audit.

**4.2. Enterprise Risk Management Policy**

RECOMMENDATION ARC-3-2020:

That the revised Enterprise Risk Management Policy, attached as Appendix I to the report of the Director, Enterprise Risk and Audit Services, titled "Enterprise Risk Management Policy", be approved.

In response to a question from Member Fairhead regarding external risks, Michelle Morris, Director, Enterprise Risk and Audit Services, stated that both internal and external risks reside under the five broad risk categories outlined in the Policy. She noted that the Region's Risk Taxonomy tool (used to identify potential internal and external risks) will be forwarded to the Committee members.

**4.3. 2019 Fraud Information**

Received

In response to a question from Member Zuberi regarding a concern raised by one survey respondent with respect to effective controls and oversight in the Ontario Works program area, Janice Sheehy, Commissioner of Human Services, stated that to address the results of the Auditor General audit of Ontario Works, the Region is working to re-implement and strengthen controls to deal with inherent weaknesses in Ontario Works systems.

In response to a question from Councillor Starr regarding the process to escalate fraud incidents to the Peel Regional Police, Jacklyn Johnson, Acting Director, Integrated Business Support, stated that staff use specific criteria to determine police referrals, such as: client lack of remorse; clear intent to commit fraud; no language, medical or mental health barriers; accuracy and completion of investigation documents; previous incidents of fraud; level of client co-operation; and, over payment amount.

**4.4. Update on ISO 20000 Program**

Received

Member Fairhead stated that Information Technology Infrastructure Library (ITIL) and ISO 20000 are proven, disciplined processes that provide a body of good practices and methods to measure progress and set clear targets. He noted that although these processes may be viewed as overhead, expense, and bureaucracy; studies indicate that the implementation of ITIL and ISO 20000 can provide significant cuts to ongoing IT support costs.

**5. COMMUNICATIONS - Nil**

**6. IN CAMERA MATTERS - Nil**

**7. OTHER BUSINESS - Nil**

**8. NEXT MEETING**

The next meeting of the Audit and Risk Committee is scheduled for April 16, 2020 at 11:00 a.m. to 12:30 p.m. in the Council Chamber, 5th floor, Regional Administrative Headquarters, Suite A, 10 Peel Centre Drive, Brampton, Ontario.

Please forward regrets to Jill Jones, Committee Clerk, and (905) 791-7800 ext. 4330 or at [jill.jones@peelregion.ca](mailto:jill.jones@peelregion.ca).

**9. ADJOURNMENT**

The meeting adjourned at 12:06 p.m.