

AUDIT and GOVERNANCE COMMITTEE – 16 September 2015

REPORT OF THE AUDIT WORKING GROUP (AWG)

The Audit Working Group met on 3 September 2015

The meeting was attended by:

Dr Geoff Jones – Chairman; Cllr D Wilmshurst; Cllr S Lovatt; Cllr R Smith; Cllr N Hards; Cllr J Hannaby; Lorna Baxter; and Ian Dyson

Part meeting only: AWG15.13 Dave Luke

Matters to report:

AWG 15.13 Oxfordshire Fire and Rescue Service Risk Register

The Group considered the risk management process within the Fire and Rescue Service reviewing the current risk register and risk mitigation plan. There were no issues arising.

AWG 15.14 Internal Audit Update

The Chief Internal Auditor confirmed a new team structure, establishing a business assurance function, has been agreed, and that recruitment to vacant posts is active. The Group acknowledged that delivering the new strategy and service activity was a work in progress, but was concerned that they should receive regular and detailed updates on the planned and reactive work of each of the assurance based functions within the new structure; seeking assurance that the scope of the activities provides an appropriate level of independent checking of systems and controls in particular the financial systems.

The report highlighted that the audit of ICT Disposal of Equipment resulted in a Red opinion, concluding that existing controls were not adequate to mitigate risks in this area. The Group was particularly concerned at the outcome of the audit, in the context of the regular stories that appear in national media regarding data protection and loss of data. The Senior Manager will be asked to provide assurance at the next meeting that action has been taken to address the issues, and that it has been effective.

The Group reviewed the current position on implementation of management actions arising from internal audit reports. It was noted that an outstanding priority 1 action from the 2014/15 Client Charging audit has had the target date regularly deferred from the original target of October 2014, to the latest target of 30 September. The Group has requested an explanation and update at the next meeting.

RECOMMENDATION

The Committee is RECOMMENDED to note the report.

LORNA BAXTER
Chief Finance Officer

Contact: Officer: Ian Dyson, Chief Internal Auditor Tel 01865 323875
ian.dyson@oxfordshire.gov.uk

AUDIT WORKING GROUP
WORK PROGRAMME 2015/16

15 October 2015 - 14:00 - 16:00 (Audit & Governance meeting 18 November 2015)

- Risk Management Update
- CEX Risk Register
- Directorate annual risk management review (CEF)
- Management Update - Transport (CEF/EE)
- Management response – Disposal of ICT
- Management Update – Client Charging actions.

05 November 2015 - 14:00 - 16:00 (Audit & Governance meeting 13 January 2016)

- Internal Audit Update

09 December 2015 (WEDNESDAY) - 14:00 - 16:00 (Audit & Governance meeting 13 January 2016)

- Risk Management Update
- Directorate annual risk management review (EE)

IAN DYSON
Chief Internal Auditor