

Audit and Governance Committee – 9 November 2016

REPORT OF THE AUDIT WORKING GROUP (AWG)

The Audit Working Group met on Thursday 27 October 2016

Attendance:

Full Meeting:

Chairman Dr Geoff Jones; Cllr Roz Smith; Cllr David Wilmshurst; Glenn Watson, Principal Governance Officer; Ian Dyson, Assistant Chief Finance Officer (Assurance); Sarah Cox, Interim Chief Internal Auditor; Joanne Hilliar (minutes)

Part Meeting:

Cllr Nick Hards; Sandra Pearce, Transport Hub Manager; Seona Douglas, Deputy Director Adult Social Care.

Matters to Report:

AWG 16.12 Safeguarding - Transport update

1. The group received an update from the Transport Hub Manager confirming that all management actions agreed within the Internal Audit report of Safeguarding (Transport) 14/15 have been implemented.
2. The group was satisfied that good progress had been made with the completion of risk assessments with processes in place for completion of outstanding passports where information from parents is not being provided. It was confirmed that all drivers have undertaken the safeguarding training and new badges have been issued. There is now a new framework in place until 2019, covering over 90 providers, through which route contracts are awarded via a digital portal. Regular liaison and joint working is now in place with the Districts and City Council.
3. The group decided that there would be no further reports required. The area will be subject to future Internal Audit activity.

AWG 16.13 Risk Management update

4. The Assistant Chief Finance Officer (Assurance) presented an update on risk management, which included for information the Business Management Report which is presented to CCMT and Cabinet, highlighting the key risks within the organisation. The group noted the positive steps being made to align risk and performance reporting through the Business Management Report.
5. The group noted that further work is being undertaken regarding identification of Brexit risks and the development of mitigation plans, including risks in relation to workforce, supply chain, contracts and currency values.
6. A specific risk was noted regarding the Children's Homes build. The group wanted to understand the governance issues that have resulted in this. There is currently an Internal Audit of the Capital Programme in place and this particular project is being reviewed as part of the sample. The group will

therefore review the Internal Audit findings during the AWG meeting planned for 14 December.

AWG 16.14 Update on Financial Control Improvement Plan

7. The group received an update from the Assistant Chief Finance Officer (Assurance). There is now agreement in place for the automatic interface for Controcc payments upload via the BDU to be automated by February 2017. Ongoing work is being undertaken on performance reporting. The P2P performance report is now available showing where blockages are within the system and the age of these. Finance teams are working with the web team to ensure that policy and processes can be clearly located on the intranet. A full update will be made to the November Audit & Governance Committee.

AWG 16.15 Mental Health Internal Audit Report

8. A recent audit of Mental Health has resulted in an overall grading of Red, due to significant weakness identified with the current governance and assurance arrangements. The Deputy Director of Adult Social Care, who requested the audit due to concerns in this area, attended and the group reviewed the full internal audit report.
9. The current governance structures and operating processes were discussed in detail. The group was updated on the action taken to date within Adult Social Care and the planned meeting with Health during early November to agree joint actions required to address the weaknesses identified.
10. The AWG scheduled for the 14 December will be updated on the outcome of the November meeting and progress with action planning, via the Internal Audit update report.
11. The Internal Audit Plan Progress report presented to the Audit & Governance Committee 11 January 2017 will include the executive summary from the finalised Internal Audit Report.
12. The group have requested that the Deputy Director of Adult Social Care attend AWG on 8 February 2017, in order for the group to review progress with implementation of actions. The group will consider whether necessary to invite representatives from Oxford Health to attend a future meeting of AWG.
13. The date of the next meeting is Wednesday 14 December 2016, 3:00 - 4:00.

RECOMMENDATIONS

14. **The Committee is RECOMMENDED to note the report.**

Lorna Baxter
Chief Finance Officer

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