

AUDIT & GOVERNANCE COMMITTEE

15 March 2023

Report of the Audit Working Group 8 February 2023

Report by Lorna Baxter, Director of Finance

RECOMMENDATION

1. The Committee is RECOMMENDED to note the report.

Executive Summary

2. The Audit Working Group (AWG) met on 8 February 2023. The group were updated on the progress of implementation of actions from the previous internal audit of GDPR (General Data Protection Regulation) 2021/22. The group received a further briefing in respect of the investigation into financial approvals in relation to the Oxford North capital scheme.

Introduction

3. Attendance:
Full Meeting: Chairman Dr Geoff Jones. Councillors: Roz Smith, Brad Baines, Judy Roberts, Yvonne Constance OBE

Officers: Full meeting: Jonathan Deacon, Committee Officer, Sarah Cox, Chief Internal Auditor, Ian Dyson, Assistant Director of Finance, Anita Bradley, Director of Law and Governance, Paul Grant, Head of Legal, Simon Harper, Head of Governance.

Officers: Part meeting: Iain Wilson, Interim Information and Data Manager, Bill Cotton, Corporate Director.

Matters to Report:

Internal Audit of GDPR 2021/22 – implementation of the action plan.

4. Officers had previously attended the AWG June 2022 meeting to provide an update on the implementation of the agreed actions from the audit of GDPR 2021/22. The group had noted the wider work being undertaken by the team to support the findings of the audit and address the risks identified and had asked officers to return in February 2023 to confirm the implementation of the remaining actions.

5. Officers attended and provided a full update, which confirmed that of the 12 management actions agreed within the report, that 7 had been fully implemented. A further 6 supplementary actions agreed within the report have also been implemented in full. The remaining 5 open actions relating to Data retention, Information Governance Group membership, Data Protection training, Consent and Data Protection Impact Assessments are currently in the progress of being implemented and have revised dates for completion. The group acknowledged the progress made since the last update and the revised timescales. The group were satisfied that the outstanding actions were now being addressed as a matter of priority.

Investigation into Oxford North Capital Scheme financial approvals

9. The Director of Finance previously (December 2022 AWG meeting) presented a paper to the group reporting on the outcomes of an investigation into the financial approvals in relation to the Oxford North capital scheme. This was reported back to the January 2023 Audit & Governance Committee.
10. The group requested that Bill Cotton, Corporate Director, attended the February 2023 meeting to provide further assurance regarding the implementation of the improvement actions identified from the investigation.
11. The group were updated that key improvements have already been implemented since the completion of the investigation, which has included ensuring that all new staff / including agency staff are properly inducted, including guidance on programme and project management policies and processes, there is now a dedicated Finance Business Partner allocated to capital, there is a daily reconciliation between the budgets recorded on the SharePoint system (system which manages the projects) and the approved budgets on the Accounting System. Decisions from the individual capital governance boards are reported to the Strategic Capital Board.
12. The group were satisfied with the progress in implementation of the improvement actions identified from the investigation.

Financial Implications

13. There are no direct financial implications arising from this report.

Comments checked by: Lorna Baxter, Director of Finance
lorna.baxter@oxfordshire.gov.uk

Legal Implications

14. There are no direct legal implications arising from this report.

Comments checked by: Paul Grant, Head of Legal
paul.grant@oxfordshire.gov.uk

Lorna Baxter
Director of Finance

Annex: None
Background papers: None

Contact Officer: Sarah Cox, Chief Internal Auditor.
Email: sarah.cox@oxfordshire.gov.uk

February 2023

Next AWG meeting: 5 April 2023