

AUDIT and GOVERNANCE COMMITTEE – 14 NOVEMBER 2018

REPORT OF THE AUDIT WORKING GROUP (AWG)

The Audit Working Group met on Wednesday 24 October 2018.

Attendance:

Full Meeting:

Chairman Dr Geoff Jones; Cllr Nick Carter, Cllr Roz Smith; Cllr Deborah McIlveen, Cllr Charles Mathew, Ian Dyson, Assistant Director of Finance; Sarah Cox, Chief Internal Auditor; Tessa Clayton, Audit Manager, Katherine Kitashima, Audit Manager, Georgina Cox, Auditor (minutes)

Part Meeting:

Lorna Baxter, Director of Finance, Nick Graham, Director of Law & Governance, Bev Hindle, Strategic Director, Steve Munn, Director of HR, Paul Lundy, County Health & Safety Manager, Lara Patel, Deputy Director Childrens, Steve Higgott, Project Manager, Steven Jones, Corporate Performance and Risk Manager.

Matters to Report:

There is a vacancy on the Audit Working Group (Cllr Ian Corkin). It was agreed that membership, including named substitutes of the AWG will be confirmed at the November Audit & Governance Committee meeting.

AWG 18.29 Financial Management Review

The group were updated on the results of the self-assessment completed of organisational financial management using the CIPFA Financial Management Toolkit. The group noted the action plans being developed for delivery by both Corporate Leadership Team (CLT) and the Finance Leadership Team (FLT) to strengthen financial management across the organisation. Once agreed the action plan will be circulated to the members of the Audit Working Group. The actions, with responsible officers and timescales will be monitored for implementation via the internal audit action tracking system. The group will continue to receive regular updates from the Director of Finance on delivery of the planned improvements.

AWG 18.30 Annual report of whistleblowing

The group considered the annual report of Whistleblowing received from staff or the public. The group asked whether the issues in relation to education could be shared with Teachers Joint Committee.

AWG 18.31 Health & Safety Audit 2018/19

The report of the audit of Health & Safety was agreed and finalised in October 2018 and had the overall grading of Red, due to weaknesses noted with the governance structure and assurance arrangements for the management of health and safety across the council. Officers attended to update the group on progress with implementation of management actions.

The group considered the full internal audit report. It was noted that a project mandate and plan has now been agreed, with a project team in place to ensure the effective implementation of the action plan. The implementation of the action plan will be monitored by Internal Audit. Officers will attend the February 2019 Audit Working Group to provide a further update.

AWG 18.32 Risk Management update

Ian Dyson, Assistant Director of Finance and Steven Jones, Corporate Performance and Risk Manager, presented an update on risk management. The group noted structural changes with the management of risk reporting moving to Policy, with the overall responsibility for risk assurance to be retained within Finance.

The group acknowledged the ongoing work on the strategic risk register, the implementation of the risk management strategy and policy and with the introduction of the new operating model the opportunity to further improve the embedding of risk management.

The group requested that future updates on risk management will include updates from the Directorates and review of the directorate risk registers. It was agreed at the February 2019 AWG the Communities Risk Register will be reviewed.

AWG 18.33 Implementation of the new Children's IT System

The group received a presentation on the new Children's IT system which is due to go live in March 2019 and replaces Frameworki. The group noted the significant work underway particularly in respect of data migration, mapping and development of key processes and plans for testing and end user training. An Internal Audit of the implementation programme is now commencing, following on from an earlier audit undertaken at the end of 2017/18.

Date of next meeting Wednesday 5 December 2018, 2pm

RECOMMENDATION

The Committee is RECOMMENDED to note the report.

Lorna Baxter
Chief Finance Officer

Contact: Officer: Sarah Cox, Chief Internal Auditor
07393 001246 sarah.cox@oxfordshire.gov.uk