

AUDIT and GOVERNANCE COMMITTEE – 20 November 2013

REPORT OF THE AUDIT WORKING GROUP (AWG)

The Audit Working Group met on 7 November 2013

The meeting was attended by:

Dr Geoff Jones – Chairman; Cllr Wilmshurst; Cllr Lovatt; Peter Clark; Sean Collins, and Ian Dyson

Part meeting only: AWG13.42 Lucy Butler, Graham Shaw, and Aisling O'Sullivan Darcy; AWG13.38 - AWG13.43 Neil Shovell and Sarah Cox.

Observer: Cllr Pressel.

Apologies: Cllr Mathew; Cllr. Roz Smith; Cllr Godden. Apologies were also received from Cllr Newton who was unable to attend as an observer.

Main business items of the meeting were as follows:

AWG13.41 Procurement Improvement Project

The Group noted the project is not yet complete, but that significant improvement has already been achieved through the completed actions as evidenced through the performance reporting. The Manager reported that plans are in place for the completion of the outstanding actions. Further substantive changes and performance improvement targets will be included in the specification for the proposed outsourcing of back office finance functions, where there is insufficient capacity to deliver the improvements in-house.

The Group was informed the next internal audit is scheduled for quarter 4. Acknowledging the improvement already delivered, the Group agreed to wait for the outcome of that audit before considering whether it should undertake further monitoring of this activity.

AWG13.42 Client Charging Update

The Group was pleased to note the progress made, and in particular the improvement in the performance of the Financial Assessments Team.

Lucy Butler confirmed that she no longer has responsibility for Adult Social Care, and therefore will not be providing updates in the future; that responsibility is being taken by John Dixon, who has been appointed as Interim Deputy Director.

It was noted that two areas key to achieving continuous improvement and high performance in client charging are the Lean Project, and the implementation of a new management system:

The Lean Project is sponsored by John Dixon and is due to commence in January 2014. In the context of 'Client Charging' it will be seeking to improve the timeliness, efficiency and effectiveness of the information flow from client assessment through to the Financial Assessment Team.

The invitation to tender for a new management information system will be out shortly. It is expected that evaluation of providers will be undertaken in January 2014. The Audit and Governance Committee is invited to nominate one or two members of the Committee to attend the presentations to be given by the potential suppliers in January. The Group also recommends that the Cabinet Member attends those presentations.

The Group is to receive a further update in February, and has requested that the focus is on evidencing the effectiveness of actions already implemented, and on the work undertaken by through the Lean Project.

AWG13.43 Internal Audit Report

There were no material issues arising from this paper. It was noted there are a number of relatively small financial irregularities currently being investigated by management and Internal Audit.

Work Programme

The work programme for the remainder of 2013/14, and the dates and times of the meetings for 2014/15 are attached as appendix 1 to this report. Please note a provisional meeting date has been set for April 2014. The original suggested date occurred during the Easter break, the new proposed date of 24 April 2014 is the day after the Audit and Governance Committee.

Recommendations

The Committee is RECOMMENDED to

- a) note the report, and the timetable of future meetings;**
- b) Nominate one or two members to attend tender presentations for the new social care management information system;**
- c) Suggest the Cabinet Member for Adult Social Care attends the presentations from potential suppliers for the new social care management information system.**

LORNA BAXTER
Chief Finance Officer

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APPENDIX 1

**AUDIT WORKING GROUP
Forward Plan and Future Dates**

2013

Wednesday 11 December 2:00-4:00

- Risk Management Report – Claire Phillips
- E&E Risk Management Review - TBC

2014

Thursday 13 February 10:00-1:00

- Internal Audit Report – Ian Dyson
- Draft work programme 2012/13 – Ian Dyson
- Review of AWG Terms of Reference – Ian Dyson
- Property Leases - Trevor Askew
- Client Charging Update - Graham Shaw/John Dixon
- Draft OFRS Statement of Assurance - Richard Smith
- OFRS Risk Management Review - TBC

Thursday 20 March 2:00-4:00

- Risk Management Report – Claire Phillips
- SCS Risk Management Review TBC

Dates and Times for AWG 2014/15 to December 2014

- 24 April 2014 - 14:00 - 16:00 - day after Audit and Governance Committee?
- 19 June 2014 - 14:00 -16:00
- 04 September 2014 - 14:00 - 16:00
- 02 October 2014 - 14:00 - 16:00
- 06 November 2014 - 14:00 - 16:00
- 11 December 2014 - 14:00 - 16:00