

# **AUDIT and GOVERNANCE COMMITTEE – 14 SEPTEMBER 2016**

## **REPORT OF THE AUDIT WORKING GROUP (AWG)**

The Audit Working Group met on Thursday 1 September 2016

Attendance:

Full Meeting:

Chairman Dr Geoff Jones; Cllr Sandy Lovatt; Cllr Roz Smith; Cllr Nick Hards; Cllr David Wilmshurst; Nick Graham, Chief Legal Officer and Monitoring Officer; Ian Dyson, Assistant Chief Finance Officer (Assurance); Sarah Cox, Interim Chief Internal Auditor; Joanne Hilliar (minutes)

Part Meeting:

Llewelyn Morgan, E&E Service Manager-Localities Policy Programme

### **Matters to Report:**

#### **AWG 16.03 CCMT Level Risk (SV/03)**

1. The group received an update on a specific risk that they had requested further clarification on previously when reviewing the E&E risk registers, in respect of "a lack of resource to ensure that infrastructure is delivered on a large volume of strategic sites". The group was satisfied that despite significant challenges with attracting skilled permanent staff, that the resourcing issues within the strategy team has improved, particularly through the recruitment of graduates and that the risk is being managed sufficiently.

#### **AWG 16.04 Whistleblowing Annual Report**

2. The group was presented with the Whistleblowing Annual Report. There are no issues to report. There was recognition that further work with the Directorates would be undertaken to ensure that all complaints and information received is categorised where appropriate as a whistleblowing allegation. The group noted that the whistleblowing policy is also to be updated with change of officers and post titles.

#### **AWG 16.05 Internal Audit Update**

3. The group received an update from the Chief Internal Auditor on progress against the Internal Audit Plan and the Counter Fraud Plan. There were no material issues identified in the audit reports finalised since July 2016. An emerging issue was highlighted to the group regarding a current audit of Mental Health. The report will be finalised in advance of the next Audit Working Group in October and will be considered at that meeting when the Deputy Director of Adult Social Care will attend. The group noted the work undertaken on the Counter Fraud Plan and recent outcomes from investigations completed. The group reviewed in detail the overdue Priority 1 management actions. These are subject to continued monitoring and

escalation by Internal Audit to the Directorate Leadership Teams, in addition to a number of follow up audits included within the 16/17 plan which will be reported back to the group and the Audit & Governance Committee later in the year.

#### **AWG 16.06 Update on Financial Control Improvement Plan**

4. The Group received an update from the Assistant Chief Finance Officer (Assurance) explaining the recent developments and improvements around partnership management and communication with the IBC and the prioritisation of the improvements to financial control, including BDU and Controcc business processes.

#### **AWG 16.07 Confirmation of membership of AWG**

5. The terms of reference of the Audit Working Group requires that the Chair of the Audit & Governance Committee attends the Audit Working Group. Since the Chairman of the Audit & Governance Committee has changed it was agreed that the Audit & Governance Committee should review and confirm the membership of the Audit Working Group.
6. The date of the next meeting is Thursday 27 October 2016, 2:00-4:00.

#### **RECOMMENDATIONS**

##### **7. The Committee is RECOMMENDED**

- a) to note the report; and
- b) to review and confirm the membership of the Audit Working Group in line with the agreed terms of reference.

Lorna Baxter  
Chief Finance Officer

Contact: Officer: Sarah Cox, Audit Manager (Interim Chief Internal Auditor)  
07393 001246 [sarah.cox@oxfordshire.gov.uk](mailto:sarah.cox@oxfordshire.gov.uk)