

Division(s): N/A

AUDIT and GOVERNANCE COMMITTEE – 25 JULY 2018

Report of the Audit Working Group (AWG)

The Audit Working Group met on Wednesday 27 June 2018.

Attendance:

Full Meeting:

Chairman Dr Geoff Jones; Cllr Nick Carter, Cllr Roz Smith; Cllr Charles Mathew; Nick Graham, Director of Law and Governance, Ian Dyson, Assistant Director of Finance; Sarah Cox, Chief Internal Auditor; Tessa Clayton, Principal Auditor, Joanne Hilliar, Auditor (minutes)

Part Meeting:

Kate Terroni, Director of Adult Social Care, Karen Fuller, Deputy Director of Adult Social Care, Susan Halliwell, Director for Planning and Place, Marc Cole Interim Assistant Director for Localities, Steven Jones, Corporate Performance and Risk Manager.

Matters to Report:

AWG 18.14 Mental Health Update

The group had previously considered the audit of Mental Health (finalised in September 2016) which had an overall grading of Red. A follow up audit was undertaken as part of the 2017/18 internal audit plan and finalised April 2018. The overall conclusion remained graded as Red, as there had been insufficient progress in addressing the weaknesses identified. Kate Terroni, Director and Karen Fuller Deputy Director therefore attended the AWG and provided an update on implementation progress since the revised action plan was agreed in April and proposed changes for the model of delivery for the service going forward.

The group noted the work currently being undertaken to return responsibility for the delivery of Mental Health social work for older people (over 65s) to the locality teams within OCC. A new section 75 agreement will be agreed by Cabinet in September for the delivery of social work for adults of working age to continue to be provided by Oxford Health. The new section 75 will include clear deliverables and performance will be monitored against those.

The group requested that Kate Terroni, Director and Karen Fuller Deputy Director attend the 5 December Audit Working Group to provide an update regarding the implementation of the action plan agreed within the audit report, to include social work delivery for both the over 65s and also adults of working age.

AWG 18.15 Security Bonds Update

The report of the audit of Security Bonds was agreed and finalised in April 2018 and had the overall grading of Red, due to a lack of management information and reporting and documented procedures in relation to the security bond process, this includes S106 bond agreements and S38/S278 bond agreements. Sue Halliwell, Director, Marc Cole, Interim Assistant Director for Localities and Ian Dyson attended to update the group on progress with implementation of management actions.

The group considered the full report and were satisfied with the update on progress. It was noted that Communities and Finance are now working together to fully implement the action plan and address further areas now identified for improvement. The implementation of the action plan will be monitored by Internal Audit.

AWG 18.16 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 the work ongoing with the corporate plan, the OCC CLT strategic risk register and embedding of the risk framework within directorates.

The group acknowledged the further work required to develop 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 revised Risk Management Strategy will be presented to the Audit & Governance September Committee.

Date of next meeting Wednesday 5 September 2018, 2pm

RECOMMENDATION

The Committee is recommended to note the report.

Lorna Baxter
Chief Finance Officer

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