

**AUDIT & GOVERNANCE COMMITTEE – 11 November 2020**  
**REPORT OF THE AUDIT WORKING GROUP – 21 October 2020**

**Report by Director of Finance**

**RECOMMENDATION**

1. **The Committee is RECOMMENDED to note the report.**

**Executive Summary**

2. The Audit Working Group met on 21 October 2020. The group received an update on corporate risk management arrangements and also on the directorate risk management arrangements within Adults. Officers attended to provide updates on the implementation of the agreed actions plans from previous audits of Mental Health, Oxford City Agency Agreement and also Children's ContrOCC Payments.

**Introduction**

Attendance:

Full Meeting: Chairman Dr Geoff Jones Councillors: Nick Carter, Roz Smith, and Charles Mathew.

Ian Dyson, Assistant Director of Finance; Sarah Cox, Chief Internal Auditor, Lucy Tyrrell, Committee Officer, Katherine Kitashima, Audit Manager, Erin Cribben, Assistant Auditor.

Part Meeting:

Councillors: Deborah McIlveen

Louise Tustian – Head of Insight and Corporate Programmes, Celia Prado-Teeling – Team Leader, Performance, Steve Thomas – Performance Information Manager, Karen Fuller – Deputy Director of Adult Social Care, Jason Russell – Interim Director of Community Operations, Paul Fermer – Assistant Director of Community Operations, Lara Patel – Deputy Director for Safeguarding, Hannah Farncombe – Deputy Director for Children's Social Care

**Matters to Report:**

**AWG 20.18 Internal Audit Update Corporate Risk Register Arrangements (incl Leadership Team Risk Register)**

3. The group received an update on OCC's risk management work, including the Risk and Opportunities Strategy and accompanying Risk Development Plan, noting this would start to be implemented from quarter three to implement and embed the strategy across the organisation. The group noted there were a

number of areas in the risk development plan that required additional work.

4. The group also reviewed the Leadership Risk Register, which contains the Council's most significant risks, which are closely managed and reported on each month into CEDR as part of the Council's Business Management and Monitoring Reports. The group discussed some of the individual risks and process for current scoring of current and residual risk scoring.
5. The group agreed to receive a further update on the implementation of the Risk Development Plan at the AWG February 2021 meeting.

#### **AWG 20.19 Directorate Risk Management Arrangements - Adults**

6. The group received an update on the risk management arrangements within Adults, which included review of the current Adults operational register. The group noted the processes within Adults for the regular review of risk management information, including the current refresh to consider the proximity of risk.
7. The group discussed in detail a number of the individual risks, the scoring and mitigation plans and were satisfied with the arrangements currently in place.
8. It was agreed that each Directorate will continue to attend the meeting on a rotational basis.

#### **AWG 20.20 Mental Health**

9. The group received a further update on the progress in addressing the weaknesses identified during the audits completed during 2016/17 and 2017/18. The group noted that the majority of actions are now complete with all, but one action expected to be completed following the Mental Health Provider JMG meeting on 22 October 2020. The group were satisfied with the significant progress made and no longer require further updates from officers.

#### **AWG 20.21 Oxford City Agreement Update**

10. The audit of Oxford City Agency Agreement was finalised October 2019 and first reviewed by the AWG at the December 2019 meeting. Officers attended the October 2020 meeting, to update the group regarding the completion of the agreed action plan and the results of the best value review recently undertaken. The group acknowledged the work undertaken as part of the value for money review which assessed the cost, quality, outcomes and customer satisfaction of the arrangement. The group were satisfied regarding the implementation of actions from the original action plan agreed within the Internal Audit report.

## **AWG 20.22 Children's ContrOCC Payments**

11. The 2019/20 audit of Children's ContrOCC Payments, finalised in May 2020 with the overall grading of Red, was presented and considered by the June AWG meeting. The audit identified issues with the integrity of data and accuracy of payments, following the implementation of the new system in June 2019
12. Officers attended the October 2020 meeting to provide the group with a further update regarding the agreed action plan and implementation progress. The group noted concerns regarding the progress with implementation of some actions and that target dates had been extended. Officers provided assurance that significant work was in progress and processes were being improved, with action already taken to address the priority areas of weakness.
13. The AWG have asked that officers provide an update report to be circulated for the December 2020 meeting, to report progress on the implementation of the agreed actions and also provide performance data which demonstrates the positive impact that improvements have already made. There is a planned follow up audit for quarter 4 of 2020/21.

### **LORNA BAXTER**

Director of Finance

Contact Officer: Sarah Cox, Chief Internal Auditor

September 2020.

07393 001246

[sarah.cox@oxfordshire.gov.uk](mailto:sarah.cox@oxfordshire.gov.uk)

Date of next AWG meeting Wednesday 16 December 2020 at 14:00

Agenda items for AWG December meeting:

- Internal Audit Update
- Direct Payments
- Annual Whistleblowing Report
- Interim update on Children's ContrOCC Payments.