

**AUDIT & GOVERNANCE COMMITTEE – 17 November 2021**  
**REPORT OF THE AUDIT WORKING GROUP – 20 October 2021**

**Report by Director of Finance**

**RECOMMENDATION**

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

**Executive Summary**

The Audit Working Group (AWG) met on 20 October 2021. The group received an update on Risk Management, which included review of the leadership risk register. The Draft Fire and Rescue Statement of Assurance was considered. The group also reviewed the draft revised Whistleblowing Policy.

**Introduction**

Attendance:

Full Meeting: Chairman Dr Geoff Jones Councillors: Roz Smith, Brad Baines, Donna Ford, Judy Roberts.

Sarah Cox, Chief Internal Auditor, Lucy Tyrrell, Committee Officer, Sukdave Ghuman, Head of Legal, Ian Dyson, Assistant Director of Finance.

Part Meeting:

Celia Prado-Teeling, Team Leader Performance, Paul Bremble, Organisational Assurance Manager, Glenn Watson, Principal Governance Officer.

**Matters to Report:**

**AWG 21.30 Risk Management Update, including leadership risk register**

2. The group received an update on OCC's risk management strategy. This also included review of 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, considering the scoring, controls and mitigating actions.
3. The group requested that future risk management updates include detail on the ongoing implementation of the Risk Development Plan, which include actions from the recent internal audit of risk management.

4. It was confirmed that members will be included within the rollout of risk management training.
5. When considering the Leadership Risk Register the group felt that it would be useful for a more detailed review of LR8 Capital Infrastructure Governance Delivery and for officers to be invited to allow questions from members around this risk area. The group requested that they would like the committee to consider whether this item should be considered at the next meeting of the Audit Working Group (15 December 2021) on behalf of the Audit and Governance Committee.

### **AWG 21.31 Statement of Assurance - Fire and Rescue**

6. The Fire and Rescue National Framework for England (the Framework) sets out a requirement for fire and rescue authorities to provide an annual statement of assurance on financial, governance and operational matters and to show how they have due regard to the requirements of the Framework and the expectations set out in authorities' own integrated risk management plans.
7. The Group reviewed and offered comments on the Statement of Assurance, considering areas of the report which commented on Finance, Governance and Operational. The Statement of Assurance will be presented to the November 2021 Audit & Governance Committee.

### **AWG 21.32 Whistleblowing Policy**

8. The group reviewed the revised draft of the County Council's Whistleblowing Policy. Comments and recommended amendments/requests for further clarity were made, which will be reviewed and updated by officers, prior to presentation to Audit & Governance Committee.

**LORNA BAXTER,**  
Director of Finance

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Date of next AWG meeting Wednesday 15 December 2021 at 14:00

Agenda items for AWG December 2021 meeting:

- Internal Audit Update
- TBC – Review of leadership risk LR8