

Minutes of the Corporate Management Team (CMT) Meeting 1st October 2018

Present:

Sue Winspear (SW), Auditor General
Katrina Thomas (KT) Finance & Administrative Manager
Angela Cullen (AC), Director of Performance Audit
Patrick Smith (PS), Director of Financial Audit
Ray Swarts (RS), Temporary Audit Manager attended for item 3

Apologies:

Garnet Harrison (GH), Deputy Auditor General and Freedom of Information Manager

SW chaired the meeting.

1. Approval of Minutes

The minutes of 10th August and 5th September 2018 were agreed. SW to sign these and upload them onto the OAG website (**Action: SW**)

2. Action items / Matters Arising

The **action items** still outstanding from the meeting of 5th September 2018 are:

- a) Develop a strategy, through EPS work, for dealing with old court fund trust papers and new papers going forward. Note work has started and will be dealt with through the EPS audit in January (**Action: PS**)
- b) GH to write to OAG staff reminding them of the need to use up TOIL hours before annual leave when booking time off (**Action: GH**)
- c) GH to update the mitigating actions on the OAG risk register, amend the net risk scoring for the IT risk and circulate it for CMT's approval by email (**Action: GH**)
- d) EB to be asked to administer the implementation of Caseware audit security tools for the office when this was rolled out in December time after the interim audits (**Action: GH & PS**)
- e) RS be briefed by GH and JA so that he could take forward the development of the OAG IT strategy and the related policies covering data security and information management and that he also be asked to update the existing social media policy (**Action: GH**)
- f) ZB and GF be asked to review the OAG's outdated fraud and corruption policy and response plan and offer CMT a critique of what needs to happen to update and improve upon this in light of their recent IDI training on counter corruption (**Action: SW**)
- g) KT and GH would take forward the update of the OAG HR manual (last updated 2012) on a "slow burn" basis given other work priorities (**Action: GH & KT**)
- h) SW would update the Excess Leave policy by the end of November (**Action: SW**)
- i) GH would update the Procurement Policy by the end of November (**Action: GH**)

Matters arising: AC and SW had spoken to Judicial Administration and the ACC respectively about how they keep their staff safe and neither had any policies in place. SW said the ACC said they do risk assessments for individual situations and have a portable panic alarm which staff could take with them into meetings. PS suggested he contact Richard Barrow in RCIPS to see if they could offer any advice so that CMT could consider further how to take forward the development of the physical security policy (**Action: PS**)

3. OAG Strategy Refresh 2019 to 2023

RS joined CMT and tabled a paper which summarized the contributions from the joint CMT / PMT strategy session on 13th September under each of the four pillars (this earlier meeting having agreed to there being four strategy pillars going forward; strengthening public services, demonstrating relevance, leading by example and constantly developing our people). The paper was left for CMT to ponder and RS would arrange a separate session in the near future for the joint CMT / PMT group to review this in detail (**Action: RS**)

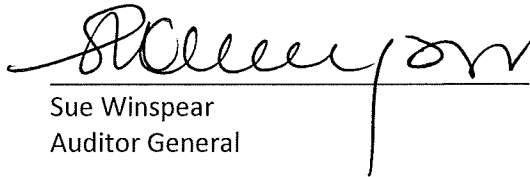
4. Leading by Example

A well governed and transparent organisation:

- a) The **OAG monthly detailed expenses to the end of August 2018** were considered. The revised basic salary figures (50011) showed that basic pay was tracking around \$40k under budget, consistent with past months but with overtime and annual leave and comp time provisions tracking significantly over budget this resulted in personnel costs being \$62k over the budget to date. Non-pay budgets, by contrast, were tracking \$112k under budget. All were presuming that the COLA increase given in September would be covered by a supplementary estimate and KT said there was a CIG CFO meeting scheduled for tomorrow afternoon where she could clarify this (**Action: KT**). SW said that both the FS and CO (PoCS) had recently given approval for a \$100k virement between OAG non-pay (consultants and legal fees) and pay budgets and this should remedy the situation and GH would be asked to ensure the practical actions on IRIS were undertaken to effect this change (**Action: GH**). The only possible new items of expenditure that CMT could think of was potential hospitality for the IDI workshop delegates in October, SW possibly going to Luxembourg in November, the CIIPA conference in December possibly followed by the OAG annual retreat. CMT would keep a close eye on this for the remainder of the year and look in depth at revenues as well as expenditure at the end of September.
- b) SW updated that all tenderers for the FA contracts for 2018-2022 would know the outcome by the end of the day. For the MACI audit, bidder number one and two both declined to take on the contract as they had realized they had bid too low during the reverse auction and so the four bidders were asked to resubmit revised prices and following a second tender evaluation exercise, Grant Thornton were awarded that contract. SW said she would schedule a debrief session for next week (**Action: SW**).

5. Any Other Business

- a) SW said she had completed the draft of the SAI PMF report and asked AC and PS if they would review the part of the report that related to the domains they each led and adapt this so that it fits with the style and formatting in the rest of the document and they insert any missing indicator data etc. **(Action: AC & PS)**. SW said they could then all do a final review and try to have the document ready to give to Defina from the IDI who would be doing our SAI PMF external review and happened to be one of the IDI people coming for the workshop event on October 15th.
- b) SW reported that WMcL, YC, GF and EMcL were jointly taking forward the organization of the OAG Christmas event.
- c) OAG were hosting an IDI workshop for CAROSAI offices on Strategy and performance reporting from 15th to 19th October and in addition to the Acting Governor offering a sundowners reception at Government House on the Tuesday evening at 6pm, CMT agreed that OAG should also sponsor a social event on the Thursday evening from 4pm for IDI facilitators, visiting audit staff from other CAROSAI offices and OAG staff. PS circulated a paper giving detailed costing of a tour of Pedro's historic house and the video presentation followed by a BBQ and drinks which would cost OAG around \$1k in total. CMT were keen to pursue this and thought the prices reasonable. PS would check the budget with GH on his return and take this forward **(Action: PS)**.


Sue Winspear
Auditor General

31.10.18
Date