

Minutes of the Corporate Management Team (CMT) Meeting Held 17th July 2020

Present:

Sue Winspear (SW), Auditor General
Angela Cullen (AC), Deputy AG (Performance Audit)
Katrina Thomas (KT), Corporate Services Manager

Apologies: Patrick Smith (PS), Deputy AG (Financial Audit)

SW chaired the meeting.

1. Approval of Minutes

The minutes of 24th June 2020 meeting were agreed, SW to sign and upload them onto the OAG website (**Action: SW**)

2. Action items / Matters Arising

The **action items** still outstanding from the meeting of 24th June 2020 are:

- a) KT and AC would take forward the update of a slimmed-down OAG HR manual (last updated 2012) on a "slow burn" basis given other work priorities (**Action: KT & AC**)
- b) PS and JA to bring to CMT the work done on the IT strategy / policies / options appraisal on future IT arrangements so that CMT could consider next steps. (**Action: PS**)
- c) SW to discuss and take forward the changes to the TRS Admin codes with PS (**Action: SW**)
- d) KT (possibly with JA) to prepare a memo to all staff outlining their responsibilities in terms of accessing, storing and using data for their work given the new DP Act (**Action: KT**).
- e) AC to work with KT and others as necessary on capturing the corporate aspects of the OAG operational and resourcing plans and establishing hyperlinks for recording evidence on progress (**Action: AC & others as necessary**)
- f) PWC should be awarded the contract for IT controls work but that the date of implementation should be later and subject to mutual agreement between OAG & PWC (**Action: JA**)

Matters Arising:

- g) KT reported that she was paying back the 2018 surplus that day and the sum was \$446,364.57

Business Items:

3. The **half yearly financial statements and expenditure report to end of June** was presented by KT who said that ZB had helped her by reviewing them. Virtually everything was tracking under budget as expected save fee income for financial audits. KT was thanked for her work in getting CMT a comprehensive half year position and several clarificatory questions were asked.

Professional Fees was still showing the wrong the budget profile which needed correcting
(action: KT).

4. KT to circulate the **leave balances** after the meeting and queries to be dealt with by email. She mentioned TOIL and leave payout requested by three staff with contract renewals which had / been were agreed.
5. KT was thanked for updating the **Complaints policy** this was agreed by CMT.
6. SW introduced the updated and enhanced **Countering Fraud and Corruption Policy & Response Plan** and paid tribute to GF who had undertaken the work on this. This was discussed and agreed subject to a few final tweaks to be made which AC agreed to do **(Action: AC).**
7. The **OAG Risk Register** was given a thorough review given the onset of COVID-19 and while it was felt that it held up reasonably well, some changes were agreed. The most significant changes being separating the first operational risk into two risks with one dealing with office disruption and the other dealing with the risks arising from remote working. Action dates were amended and further controls and mitigations were suggested along with changes to the gross risk value of the financial risk and the net risk value of our IT related risk. SW to amend based on changes agreed and re-circulate to CMT **(Action: SW)**
6. **Any Other Business:**
 - Senior management were reminded of the need to submit SIPL declarations for year to 30th June by 31st July. KT will notarize them for us.
 - There was an update on the position on the APL recruitment exercise.
 - KT / WMcL was asked to move forward on ordering the floor to ceiling filing for the document / break out room and organizing the document shredding **(Action: KT)**
 - A six month review of the strategic plan and the business continuity plan to come to the September meeting **(Action: SW & AC)**



Sue Winspear
Auditor General

15th September 2020
Date