

## Minutes of the Corporate Management Team (CMT) Meeting 15<sup>th</sup> December 2016

### Present:

Sue Winspear (SW), Auditor General  
Garnet Harrison (GH), Deputy Auditor General and Freedom of Information Manager  
Kim Lutz (KL), Finance & Administration Manager

### Apologies:

Martin Ruben (MR), Director of Performance Audit  
Patrick Smith (PS), Director of Financial Audit

SW chaired the meeting.

### 1. Approval of Minutes

The minutes of 21<sup>st</sup> October meeting were reviewed and signed by SW and so can be put on the OAG website (**Action GH**).

### 2. Action items

The action items from the meeting of 21<sup>st</sup> October 2016 were discussed. Items to carry forward are a) SW meeting with others in CMT to review all old outstanding CMT actions and reallocate to CMT, PMT or drop (**Action SW**) and b) GH passing the hard copy performance audit tenders file to KL (**Action GH**).

On billings, it was noted that cash flow wise we could afford to move to quarterly billings and so would but this would keep this under review along with cash levels during the course of the year. The only exception would be billing PAC in February because of the dissolution of the Legislative Assembly with the upcoming 2017 election.

### 3. Leading by Example

#### **A well governed and transparent organisation:**

- a. The **OAG monthly financial statements and detailed expenses for November 2016** were presented and discussed. A reasonable level of underspend was noted on both personnel and operating cost lines. The team recognized that the pay stagnation remedy was being actioned in December and so we would look more critically at the staffing position next month.
- b. SW presented a paper detailing all existing **OAG policies** and their given expiry date. It was noted that many were overdue an update and reissue and CMT agreed that these should be reviewed ASAP. The policies to be reviewed are:

Review Date	Policy
January 2012	Complaints
	Ethics & Independence
	Learning & Development
	Raising concerns about organisations we audit
	Proactive Disclosure
	Register of Interests
	Quality assurance Framework
? July 2012	Public Interest Reports
January 2014	Risk Management
January 2015	Reporting the Results of our Work
January 2016	Travel & Subsistence
January 2017	Code of Conduct

The Corporate Credit Card policy was also due to be updated in January 2016 but as no corporate credit card had existed since AS left as AG, CMT agreed to suspend this policy and therefore not update it.

SW suggested a number of other areas where she would expect to see policies in place and of these it was agreed that security, both data and physical were most urgent along with a review of OAG HR policies & procedures. SW would take this and the other policy reviews forward over the next few months and involve others as necessary. Updated policies to be either brought back to CMT for agreement or agreed by CMT via email (**Action SW**).

- c. SW had reviewed and updated the **Proactive Disclosure policy**. The old policy just required disclosures from senior management and SW wanted all disclosures, other than pay, to be for the entire OAG staff in the interests of openness and transparency. For pay disclosures, SW suggested that senior management be defined as AG, DAG and the two directors only. This was agreed by CMT. **Action: SW to circulate revised proactive disclosure policy around CMT for agreement by email and then staff to be updated on what the policy means for them.**

- d. SW had reviewed and made some suggested updates to the Learning & Development policy but recognized this needed a wider discussion before it could be concluded. GH said that PS had been working on this and it was agreed that SW would take this update forward with PS in January. **Action SW / PS.**
- e. CMT discussed cover in the run up to Christmas and into the New Year and office closure arrangements. KL confirmed that a message had been put on the Hub. GH agreed to put a similar message on the website (**Action GH**). It was agreed that SW would be contactable for the Christmas duration save between 29<sup>th</sup> December and 2<sup>nd</sup> January when SW would be off island and GH would act as the contact. **Action: SW to inform the Governor just in case.**

**A well organized and sustainable organisation:**

- a. Following an APL's recent resignation, PoCS had agreed that an APL position could be offered to the other appointable candidate from July's recruitment round. Unfortunately, that person was about to start a new job elsewhere and so could not take up the offer and so KL was checking with PoCS that we could then move to recruit to the APL post in January. **Action KL .**
- b. There was a discussion to check that all arrangements were in place for the new Director of Performance Audit's arrival on 6<sup>th</sup> January. She would probably be taking paid leave for a few days at the start but would start in the office as **Performance Audit Director** at some point in early / mid-January. KL said she had chased the IRIS team to action her request to set her up in the last few days.

**A motivated, high performing and skilled workforce:**

- a. There was a conversation about the updated position on various pay matters and it was agreed that CMT would return to the consideration of their policy on duty / acting up allowances and payments for qualifications at a future meeting once the pay stagnation changes had been effected and some conversations had taken place offline.
- b. KL had emailed CMT, Winston and Julius to ask about the nature of the work station assessments we had agreed to undertake at the last CMT following some staff health issues arising out of audit peak. A discussion was had and it was agreed that every person should have a work station assessment but that there was no need to have an assessment done of meeting rooms as well as it was felt that we should be capable of mitigating any risks there. KL relayed the cost per workstation and CMT agreed this could be funded from our non-payroll budget and should be taken forward in early 2017, probably February / March. **Action KL**
- c. The January Retreats were not discussed. SW to pick up on the plans for these with PS on their return in the New Year. **Action SW/PS**

  
Sue Winspear, CPFA  
Auditor General

27<sup>th</sup> February 2017  
Date