

Minutes of the Corporate Management Team (CMT) Meeting Held 21st July 2022

Present:

Sue Winspear (SW), Auditor General
Patrick Smith (PS), Deputy AG (Financial Audit)
Angela Cullen (AC), Deputy AG (Performance Audit)
Katrina Thomas (KT), Corporate Services Manager
Julius Aurelio (JA), Quality & IT Manager
Gabriel Ncube (GN), incoming acting Corporate Services Manager

SW chaired the meeting and welcomed Julius and Gabriel to CMT.

1. Approval of Minutes

The minutes of 20th June 2022 meeting were agreed. SW to sign and upload them onto the OAG website (**Action: SW**).

2. Action items

The **action items** still outstanding from the meeting of 20th June 2022 are:

- a) Arranging the final document archiving and destruction (**Action: KT to write to NAs copying in GN & SW**).
- b) A facilitated session for staff on the staff survey results (**Action: SW**).
- c) PS to consider VFM on printer between as we are v buying new v buying a servicing contract (**Action: PS to write to Kirks re servicing contract costs**).

All other actions were cleared.

Matters Arising

- a) SW had sent a brief spec to 3 law firms regarding quoting for the AG Law drafting and she hoped EPC could consider these in late July so that the contract could be let by 1 August.
- b) SW had submitted a paper to the DG requesting the payment of a market supplement for qualified staff and was awaiting a response. She would consider the information from the APL recruitment process going on at the moment and may update the paper if it suggested the market has become even tighter. (**Action: SW**).
- c) KT's secondment to CIMA was starting on 1st August for six months and GN was to cover the first three months and Q3 month end and Ruel Huet the second three months and year end.

Business Items:

3. IT Strategy & Efficient and Acceptable Use of IT Policy.

JA said that he had written a paper on IT options which the joint CMT / PMT meeting would consider at its forthcoming meeting next week.

With regard to the policy, CMT agreed to focus their discussion on some points of principle and then await JA's redraft following feedback he had already received from SW and then CMT could return to full consideration of the updated policy paper at its next meeting (**Action: JA**). The policy discussion included:

- a) the process for checking out file (para 14) where CMT agreed that this should not be the norm and that the important thing to add was about the need to communicate with others that may need to access the file before checking anything out.
- b) Standards for email responses and other aspects in that section (para 17 to 20). CMT agreed that the policy should ask staff to respond promptly and ideally answer or at least acknowledge emails within 24 hours but hold off being totally specific as to a standard as it would depend on judgement. CMT also agreed that reference should be made to FOI and writing emails with that Law in mind.
- c) Use of thumb drives (para 29) – CMT agreed that these should not be used and that if staff were having difficulties transferring files the Quality and IT Manager should assist them in finding a way and only that person could issue and authorize the use of a thumb drive.
- d) Use of unsecured networks (para 38) – CMT agreed that sometimes the business benefits of using an unsecured network (e.g. at a hotel) is greater than the risk and that the policy should be clear that staff should not just log onto an unsecure network that they did not recognize.

4. The **half year financial statements and expenses position** to end of June was considered. A significant surplus was shown and there was a discussion about the forecast for audit fees (for both audit practices) for the remaining six months of the year. PS and AC agreed to try to do a forecast by reviewing the resource allocation schedule and job fees and bring this to the next CMT (**Action: PS / AC**). There was a brief discussion about pay and other expenses and it was noted that the pay side remained close to budget. There were no concerns on the non-pay side as this was well under budget and it was noted that OAG may need to ask to vire between non pay and pay budgets at a later stage.

JA left the meeting.

5. AC presented the **half yearly review of the operational plan** and took CMT through the areas where progress was of concern (reds and ambers). There was a good discussion on the position on a number of these such measures. It was noted that the policies and half yearly disclosures had recently been updated changing the status on these and that SW had an up to date list of laid annual reports for the June quarterly report (**Action: SW to share with WS**). The actions agreed to be necessary were: a) PA programme update to PMT, PAC and public consultation (**Action: AC**), Q3 2021 and Q1 2022 quarterly reports, our 2021 annual report and ISA260s to be uploaded onto the website (**Action: SW**), facilitated session on staff survey results (**Action: SW**),

creation of a workforce and corporate learning and development plan (**Action: AC**), SW to continue updating the out of date OAG policies (**Action: SW**).

6. SW presented the **half yearly review of the risk register**. The risks were reviewed and some changes suggested of which the most significant were a decrease in the risk relating to sickness and a broadening of the risk from a focus on COVID and indicating the transition risk on the financial side of KT going on secondment for 6 months from 1st August. SW to update the risk register for the changes agreed and circulate to CMT for agreement by email (**Action: SW**).
7. AC updated CMT on the progress with the **APL interviews** that she had undertaken yesterday with WS and AM. There were 15 applicants and the 7 that met the essential criteria had been invited for interview and only 5 of these attended the interviews held on 20th July. Two offers are to be made.

Any Other Business:

8. KT said she would work at OAG part time during the first week in August to help GN with month end processes.

GN left the meeting.

9. CMT considered half yearly TOIL balances.



Sue Winspear
Auditor General

19th August 2022

Date