

## Minutes of the Corporate Management Team (CMT) Meeting 5<sup>th</sup> September 2018

### Present:

Sue Winspear (SW), Auditor General  
Garnet Harrison (GH), Deputy Auditor General and Freedom of Information Manager  
Katrina Thomas (KT) Finance & Administrative Manager  
Angela Cullen (AC), Director of Performance Audit  
Patrick Smith (PS), Director of Financial Audit

SW chaired the meeting.

### 1. Approval of Minutes

The minutes of 10<sup>th</sup> August 2018 were agreed subject to some amendments being made. SW to make the amendments and get CMT to agree them by email before SW signs and uploads them onto the OAG website (**Action: SW**)

### 2. Action items / Matters Arising

The action items still outstanding from the meeting of 10th August 2018 are:

- a) Uploading the CMT minutes from 26<sup>th</sup> June 2018 (**Action: SW**)
- b) 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**)

### 3. OAG Strategy Refresh 2019 to 2023

Ray Swarts joined the meeting to facilitate the CMT discussion on refreshing the OAG strategy for the period 2019 to 2023. The meeting focused on the vision, mission and core values and CMT agreed that these were still largely very fit for purpose with no changes to be made to the vision, "value" to be added to the mission statement and CMT were left undecided but open to changing the wording to describe the "Integrity" core value with RS offering to draft some alternatives for CMT to consider and make a final decision on at its next meeting. It was agreed that CMT should meet again next week with RS facilitating to consider the content for the strategic priorities. However, CMT did consider that the three existing strategic priorities were still apt and should continue into the next iteration of the strategy but that a fourth one around valuing staff be added (**Action: RS**).

## Leading by Example

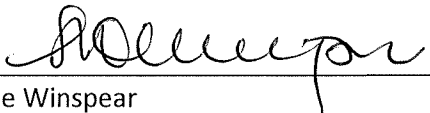
### **A well governed and transparent organisation:**

- a) The **OAG monthly detailed expenses to the end of July 2018** were considered. Pay continues to track over budget mainly as a consequence of increases in comp. time and leave accruals and overtime paid out. Non-pay costs remain considerably under budget and are probably still sufficient to compensate for the pay overage. CMT agreed that they still want to be able to pay overtime for interim financial audit work and the audit backlog to keep work on schedule and ensure that fee income is collected and not under budget as well. SW mentioned, in confidence at that time, that she had just received notification from the Acting DG that Government was to give a 5% COLA pay rise with effect from 1 July 2018 which would impact the expenditure position but CMT expected that a supplementary estimate would be approved to cover this at the Legislative Assembly. It was felt the legal budget would likely be around \$20k underspent by year end and AC offered to try to firm up on the consultancy budget needed for the remainder of the year **(Action: AC)** so that SW could contact the FS again about allowing us to vire a specific amount of our non-pay budget to the pay budget to try to rectify the position and also discuss with him our ability to spend more on pay if necessary providing we can get this recovered through additional audit fees from clients **(Action: SW)**.
- b) CMT also talked about TOIL and annual leave payouts for staff due to have their contracts renewed in the next few months and it was agreed that GH would write to OAG staff reminding them of the need to use TOIL hours before annual leave when booking time off. **(Action: GH)**.
- c) GH updated on the position with regard to the tender for financial audit services for five years from 2018. The technical evaluations were complete and the results had been sent to clients in confidence. The reverse auction is scheduled for 9am to 11am tomorrow morning and GH will set up his machine in the Board room so that CMT can watch this together. Final decisions on the award should follow shortly thereafter and CMT would meet after the reverse auction concludes tomorrow as well to conclude decisions. SW will discuss with the Acting Governor on Friday morning in the absence of the Central Procurement Committee.
- d) CMT considered the OAG risk register and following detailed discussion, GH agreed to update the mitigating actions on the register, amend the net risk scoring for the IT risk and circulate it for CMT's approval by email **(Action: GH)**. Through discussion on risks, it was also agreed by CMT that: following the two sessions provided to all staff last year, GH would arrange to conduct one training / briefing session for new OAG staff on hurricane preparedness and the OAG's role in emergencies **(Action: GH)** and Edgar Bennett would be asked to administer the implementation of Caseware audit security tools for the office when this was rolled out with the interim audits later this year **(Action: GH & PS)**.

### **Ongoing development of our corporate office practices:**

- e) The paper detailing what OAG policies were in date, needing creation or needing renewal was considered and CMT agreed that:

- I. 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)**;
  - II. Zenobia and Gay 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)**;
  - III. 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)**;
  - IV. That CMT would address many aspects of the Learning & Development and Quality Assurance Framework through their work on updating the OAG strategy and that these policies could be returned to for further consideration after that.
  - V. SW would update the Excess Leave policy by the end of November **(Action: SW)**;
  - VI. GH would update the Procurement Policy by the end of November **(Action: GH)**;
  - VII. AC would get from Judicial Administration and SW from the ACC their policies about how they keep safe their judicial and ACC staff so that at the next CMT, the group could consider further how to take forward the development of the physical security policy **(Action: AC & SW)**
4. Any Other Business
- a. CMT considered the Leadership Cayman programme kicking off shortly and invited KT to consider whether she wished to apply for a place.
  - b. CMT discussed the departure of our long standing office cleaner from Ropers and the ramifications of this. It was agreed that GH would ask the supervisor to have the new cleaner arrive for a briefing on our security systems at 5pm today and obtain assurance that the new cleaner is police cleared and that he would establish where the old cleaner's fobs and keys were and what ones had been given to the new cleaner **(Action: GH)** KT to email OAG staff reminding them of the need to clear sensitive papers off of their desks at the end of each day **(Action: KT)**

  
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Sue Winspear  
Auditor General

01.10.18  
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Date