

These notes indicate the decisions taken at this meeting and the officers responsible for taking the agreed action. For background documentation please refer to the agenda and supporting papers available on the Council's web site ([www.oxfordshire.gov.uk](http://www.oxfordshire.gov.uk).)

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## AUDIT & GOVERNANCE COMMITTEE - WEDNESDAY, 14 JANUARY 2015

RECOMMENDATIONS FROM THE AGENDA	DECISIONS	ACTION
<p><b>1. Apologies for Absence and Temporary Appointments</b></p>	<p>Councillor Charles Mathew in place of Councillor Tim Hallchurch; Councillor Stewart Lilly in place of Councillor Simon Hoare.</p>	<p>HLC (A. Newman)</p>
<p><b>2. Declaration of Interests - see guidance note</b></p>	<p>There were none.</p>	
<p><b>3. Minutes</b></p> <p>To approve the minutes of the meeting held on 19 November 2014 (<b>AG3</b>) and to receive information arising from them.</p>	<p>The Minutes of the Meeting were approved and signed subject to the following amendments:</p> <p>(i) Add Dr Geoff Jones, Co-optee under those present;</p> <p>(ii) Minute 62/14 4<sup>th</sup> paragraph to read as follows:</p> <p>“...During debate, Councillor Bartholomew moved and Councillor Hoare seconded (supported by Councillor Hannaby)...”</p>	<p>HLC (D. Miller)</p>
<p><b>4. Petitions and Public Address</b></p>	<p>There were none.</p>	
<p><b>5. Corporate Governance Leads - Presentations to Audit &amp; Governance</b></p> <p>There are ten 'Corporate Leads' that provide assurance on an issue for governance purposes. The Audit &amp; Governance Committee has asked to be given presentations from each Corporate</p>	<p>The Committee received presentations from Corporate Leads on human Resources and Health &amp; Safety and Information, Communication &amp; Technology.</p>	

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<p>Lead during the year so that they can better understand each area, particularly focusing on the assurance process:</p> <ul style="list-style-type: none"> <li>• How Corporate Leads assure themselves (and then directors) that things are well within their areas; and</li> <li>• How Leads decide that issues need to be mentioned for 'Action'; and</li> <li>• How leads ensure that their area complies with regulations and the law.</li> </ul> <p>Steve Munn, Chief Human Resources Officer, Sue Corrigan and Paul Lundy will give a presentation on Human Resources and Health &amp; Safety and Martyn Ward, Service Manager ICT Business Delivery will give a presentation on ICT. Peter Clark, County Solicitor and Monitoring Officer will also give a presentation on Legislation.</p>		
<p><b>6. Treasury Management Strategy</b></p> <p>The report contains the annual Treasury Management Strategy Statement and Annual Investment Strategy for 2015/16 in compliance with the CIPFA Code of Practice. The report sets out the borrowing and investment strategies for 2015/16 and relevant background information.</p> <p><b><i>When the report is considered by Cabinet on 27 January it will be RECOMMENDED to RECOMMEND to Council to:</i></b></p> <p>(a) <b><i>approve the Prudential Indicators for 2015/16, 2016/17 and 2017/18 as set out in Appendix A;</i></b></p> <p>(b) <b><i>approve the Minimum Revenue Provision Policy for 2015/16 as set out in Appendix B;</i></b></p>	<p>The Committee AGREED to write to the Leader of the Council to convey its concerns regarding the ability of the Growth Board and Local Enterprise Partnership to take on liability that we have no control over but for which we have liability (especially in light of term 6.2 (Quorum &amp; Safeguard) in the draft terms of reference for Oxfordshire Growth Board.</p> <p><b>6.0 Quorum &amp; Safeguard</b></p> <p>"6.2 Where the effect of a particular proposition, if adopted by the Committee, would be to give rise to contractual or financial implications for any constituent authority, then a protocol will be established where the expectation would be that the vote of the member appointed by that constituent authority, in favour of the</p>	<p>Cllr Ian Hudspeth CFO</p>

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<p>(c) <b>approve the Treasury Management Strategy Statement &amp; Annual Investment Strategy 2015/16;</b></p> <p>(d) <b>approve the use of new instruments;</b></p> <p>(e) <b>continue to delegate the authority to withdraw or advance additional funds to/from external fund managers to the TMST;</b></p> <p>(f) <b>approve the continued delegation of changes required to the Annual Treasury Management Strategy Statement &amp; Annual Investment Strategy to the Chief Finance Officer in consultation with the Leader of the Council and Cabinet Member for Finance;</b></p> <p>(g) <b>approve the Draft Treasury Management Policy Statement as set out at Appendix E.</b></p>	<p>proposition, would be required. In respect of other matters, all other voting will be on a normal majority basis. “</p>	
<p><b>7. Internal Audit Update, including 2014/15 Plan Progress Report</b></p> <p>The report presents the Internal Audit progress report for 2014/15 (<b>AG7</b>).</p> <p><b>The Committee is RECOMMENDED to:</b></p> <p>(a) <b>approve the revised Internal Audit Plan; and</b></p> <p>(b) <b>commission the Monitoring Officer to undertake the review of the Effectiveness of Internal Audit.</b></p>	<p>Agreed.</p>	<p>HLC (P. Clark)</p>
<p><b>8. AGS Actions Progress Report</b></p> <p>Audit &amp; Governance Committee approved the Annual Governance Statement (AGS) for 2013/14 in July 2014. The AGS lists six 'Actions' to be carried out in 2014/15. This report is the SECOND of three during</p>		

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<p>2014/15 which will describe progress and any other plans that we have for each of these Actions.</p> <p><b><i>The Audit &amp; Governance Committee is RECOMMENDED to note the progress on the AGS Actions.</i></b></p>	<p>Agreed.</p>	<p>CFO (D. Illingworth)</p>
<p><b>9. Ernst &amp; Young</b></p> <p>A Local Government Audit briefing paper is attached.</p> <p>A representative of Ernst &amp; Young will attend to give the Committee a verbal update on any work undertaken since the last meeting.</p>	<p>The Committee noted the report.</p>	
<p><b>10. Audit Work Group Report</b></p> <p>The report summarises the matters arising at the most recent meeting of the Audit Working Group (AWG).</p> <p><b><i>The Committee is RECOMMENDED to note the report.</i></b></p>	<p>Agreed.</p>	<p>CFO (D. Illingworth)</p>
<p><b>11. Committee Work Programme 2015</b></p> <p>To review/update the Committee's Work Programme (<b>AG11</b>).</p>	<p>The Committee AGREED the Work Programme (attached).</p>	<p>All to note</p>

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## **AUDIT & GOVERNANCE COMMITTEE - WEDNESDAY, 14 JANUARY 2015**

### **AUDIT & GOVERNANCE COMMITTEE – 19 November WORK PROGRAMME 2015**

## **2015**

### **Wed 25 February 2015**

SCS LEAN and IT system update (Kate Terroni)  
 Audit Committee Annual Report to Council 2014 (David Illingworth)  
 Council request to look at Demographics of Council. (Peter Clark)  
 Update on Hampshire Partnership (Lorna Baxter)  
 NFI Audit Committee Checklist (Ian Dyson)  
 Audit & Governance Annual Report to Council

### **Wed 22 April 2015**

Internal Audit Services – Internal Audit Strategy & Annual Plan  
 Update on Hampshire Partnership (Lorna Baxter)  
 Review of Effectiveness of Internal Audit (Peter Clark)  
 External Auditors Progress Report (EY)  
 External Auditors Grant Claim Report (EY)

### **Wed 1 July 2015**

Update on Hampshire Partnership (Lorna Baxter)  
 Annual Governance Statement - 2013/2014 (David Illingworth)  
 Annual Report of the Monitoring Officer (Peter Clark)  
 Annual Report of the Chief Internal Auditor (Ian Dyson)  
 Statement of Accounts 14/15 (Lorna Baxter)  
 Treasury Management Outturn 2014/15  
 Fire & Rescue Service Statement of Assurance 14/15  
 Progress Report -EY

### **16 September 2015**

Final Accounts 14/15 (Lorna Baxter)  
 Local Government Ombudsman's Review of Oxfordshire County Council (peter Clark)  
 Annual Results –EY  
 Internal Audit Plan – Progress report (Ian Dyson)  
 RIPA (Richard Webb)

### **18 November 2015**

Annual Letter ( EY)  
 Treasury Management Mid Term Review (Lewis Gosling)  
 Annual Governance Statement – Action Plan Progress

### **January 2016**

Treasury Management Strategy (Lewis Gosling)  
 Internal Audit Plan Update and Progress

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## **AUDIT & GOVERNANCE COMMITTEE - WEDNESDAY, 14 JANUARY 2015**

### ***Standing Items:***

- Audit Working Group Reports  
(Ian Dyson)
- Audit & Governance Committee Work Programme – update/review  
(Committee Officer/Chairman/relevant officers)
- Future of Adult Social Care in Oxfordshire – Regular Progress update on Implementation Plan (**Quarterly**)

### ***Other matters***

Risk Management Strategy (same as Annual Report?)

Risk Management Annual Report (Ian Dyson)

Appeals & Tribunals sub-Committee – details of recommendations resulting from appeals to the Home to School Transport Appeals, and Pension Benefits sub-Committee at which issues of dismissal and redundancy were decided,

Partnerships – Progress Report

Corporate Leads – remaining