



To: Members of the Audit & Governance Committee

***Notice of a Meeting of the Audit & Governance
Committee***

Wednesday, 22 April 2015 at 2.00 pm

Rooms 1&2 - County Hall, New Road, Oxford OX1 1ND

Peter G. Clark.

Peter G. Clark
County Solicitor

April 2015

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Membership

Chairman – Councillor David Wilmshurst
Deputy Chairman - Councillor Sandy Lovatt

Councillors

Jamila Azad
David Bartholomew
Yvonne Constance OBE

Tim Hallchurch MBE
Jenny Hannaby
Nick Hards

Roz Smith

Co-optee

Dr Geoff Jones

Notes:

- ***Date of next meeting: 1 July 2015***
- ***Members are asked to note that from 1.00 – 2.00 pm on Wednesday, 22 April 2015 (i.e. pre the Audit & Governance Committee Meeting) there will be a training session for Members on understanding and interpreting the statements of accounts***

Declarations of Interest

The duty to declare.....

Under the Localism Act 2011 it is a criminal offence to

- (a) fail to register a disclosable pecuniary interest within 28 days of election or co-option (or re-election or re-appointment), or
- (b) provide false or misleading information on registration, or
- (c) participate in discussion or voting in a meeting on a matter in which the member or co-opted member has a disclosable pecuniary interest.

Whose Interests must be included?

The Act provides that the interests which must be notified are those of a member or co-opted member of the authority, **or**

- those of a spouse or civil partner of the member or co-opted member;
- those of a person with whom the member or co-opted member is living as husband/wife
- those of a person with whom the member or co-opted member is living as if they were civil partners.

(in each case where the member or co-opted member is aware that the other person has the interest).

What if I remember that I have a Disclosable Pecuniary Interest during the Meeting?.

The Code requires that, at a meeting, where a member or co-opted member has a disclosable interest (of which they are aware) in any matter being considered, they disclose that interest to the meeting. The Council will continue to include an appropriate item on agendas for all meetings, to facilitate this.

Although not explicitly required by the legislation or by the code, it is recommended that in the interests of transparency and for the benefit of all in attendance at the meeting (including members of the public) the nature as well as the existence of the interest is disclosed.

A member or co-opted member who has disclosed a pecuniary interest at a meeting must not participate (or participate further) in any discussion of the matter; and must not participate in any vote or further vote taken; and must withdraw from the room.

Members are asked to continue to pay regard to the following provisions in the code that *“You must serve only the public interest and must never improperly confer an advantage or disadvantage on any person including yourself”* or *“You must not place yourself in situations where your honesty and integrity may be questioned.....”*.

Please seek advice from the Monitoring Officer prior to the meeting should you have any doubt about your approach.

List of Disclosable Pecuniary Interests:

Employment (includes *“any employment, office, trade, profession or vocation carried on for profit or gain”*.), **Sponsorship, Contracts, Land, Licences, Corporate Tenancies, Securities.**

For a full list of Disclosable Pecuniary Interests and further Guidance on this matter please see the Guide to the New Code of Conduct and Register of Interests at Members’ conduct guidelines. <http://intranet.oxfordshire.gov.uk/wps/wcm/connect/occ/Insite/Elected+members/> or contact Glenn Watson on (01865) 815270 or glenn.watson@oxfordshire.gov.uk for a hard copy of the document.

If you have any special requirements (such as a large print version of these papers or special access facilities) please contact the officer named on the front page, but please give as much notice as possible before the meeting.

AGENDA

1. Apologies for Absence and Temporary Appointments

2. Declaration of Interests - see guidance note

3. Minutes (Pages 1 - 8)

To approve the minutes of the meeting held on 25 February 2015 (**AG3**) and to receive information arising from them.

4. Petitions and Public Address

5. Q4 Progress Report 2014/15 and Interim Internal Audit Strategy 2015-16 (Pages 9 - 36)

2:10

Report by the Chief Internal Auditor (**AG5**).

This report presents the Internal Audit progress report for 2014/15 and the Interim Internal Audit Strategy for the first quarter of 2015/16.

The committee is RECOMMENDED to

- a) Note the progress with the 14/15 Audit Plan and the outcome of the completed audits;*
- b) Approve the Interim Internal Audit Strategy for 2015/16 and the Q1 Plan; and,*
- c) Agree the 2015/16 performance indicators.*

6. Scale of Election Fees and Expenditure 2015/16 (Pages 37 - 42)

2:30

Report by the County Solicitor & Monitoring Officer (**AG6**).

Each year the Council needs to set a scale of election fees and expenditure for the holding of elections of county councillors. The Committee is requested to approve the proposed Scale of Expenditure as set out for any by-elections of County Councillors that may be held during 2015/16.

The same scale of expenditure will be used for any local referendums e.g. a council tax or mayoral referendum.

The Committee is RECOMMENDED to approve the Scale of Expenditure for the financial year 2015/2016, as shown in Annex 1 of this report, for the election of County Councillors and any other local referendums.

7. Audit & Governance Annual Report to Council (Pages 43 - 56)

2:40

Report by the Chairman of the Audit & Governance Committee to be presented to The Council (**AG7**).

The Annual Report sets out the role of the Audit & Governance Committee and summarises the work that has been undertaken both as a Committee and through the support of the Audit Working Group in 2014.

The Committee is RECOMMENDED to consider the Annual Report and suggest any additions or amendments.

8. Annual Governance Statement - Actions (Pages 57 - 70)

3:00

Report by the County Solicitor & Monitoring Officer (**AG8**)

Audit & Governance Committee agreed the Council's Annual Governance Statement (AGS) for 2013/14 in July 2014. The 'Statement' sets out details of our governance arrangements.

The AGS listed 6 'Actions' that were planned to improve our governance, for implementation in 2014/15. This report considers whether these actions have been completed or whether more work will be needed on them in 2015/16 - in which case they will be included as on-going Actions in the next AGS.

The next AGS, for 2015/16, will be considered by the Audit Working Group on 11 June and by this Committee on 1st July.

The Committee is RECOMMENDED to agree and confirm the progress made on the actions planned for 2014/15 which will be reported in the next Annual Governance Statement.

9. Future of Adult Social Care in Oxfordshire - Regular Progress update on Implementation Plan

3:20

Kate Terroni, Deputy Director Joint Commissioning, will attend to give a brief presentation to the Committee.

The presentation will update the Committee on the progress of two interlinking projects:

- The Adult Social Care IT Project which will deliver replacement computer systems for Adult Social Care (Swift) and Client Finance (Abacus); and;
- The Adult Services Improvement Programme which is delivering significantly more effective and efficient business processes using LEAN methodologies.

The Committee is RECOMMENDED to receive the presentation.

10. Update on Hampshire Partnership

3:40

Hilary Cameron, Finance Lead Transforming OCS Project, and John McKenna, Oxfordshire Customer Services, will attend to give a brief presentation to the Committee.

The presentation will update the Committee on the On Boarding Project for the Partnership arrangement with Hampshire County Council for the provision of HR and Finance Services from 1 July 2015. The presentation will set out progress to date, requirements of User Acceptance Testing and advise on arrangements for ensuring the wider Council is ready for the forthcoming changes. It will also provide an update on the related Impacts project.

The Committee is RECOMMENDED to receive the presentation.

11. Ernst & Young External Auditors - Annual Fee Letter 2015-16 (Pages 71 - 74)

4:00

The Report attached (**AG11**) contains the letter setting out the annual fee for the audit and certification work that Ernst & Young propose to undertake for the 2015-16 financial year.

A representative from Ernst & Young will attend for this item.

12. Ernst & Young External Auditors - Audit Plan 2014-15 (Pages 75 - 96)

4:10

The Audit Plan (**AG12**) is attached for the Committee's consideration. Its purpose is to set out how Ernst & Young intend to carry out their responsibilities as Oxfordshire County Council's Auditor.

A representative from Ernst & Young will attend for this item.

13. Ernst & Young External Auditors - Sector Briefing (Pages 97 - 108)

4:25

The Report attached for the Committee's consideration (**AG13**) covers issues that may have an impact on Oxfordshire County Council, the Local Government sector and the Audits that Ernst & Young undertake.

A representative from Ernst & Young will attend for this item.

The Committee is RECOMMENDED to note the report.

14. Response from the Office of Surveillance Commissioners on the use of the RIPA and under age test purchasing (Pages 109 - 110)

4:35

Following concerns raised by the Audit & Governance Committee regarding RIPA and under age sales test purchasing, the County Solicitor, on behalf of the Committee, wrote to The Office of Surveillance Commissioners. Attached is a response (**AG14**) received from The Office of Surveillance Commissioners, who appear to have taken into account the Committees concerns and have amended their procedures and guidance to be less restrictive in the requirements on test purchasing.

The Committee is RECOMMENDED to note the response from The Office of Surveillance Commissioners.

15. Audit & Governance Committee Work Programme (Pages 111 - 112)

4:40

To review/update the Committee's work programme (**AG15**).

16. Date of next meeting

4:55

In order that Members can receive the completed draft statement of accounts it is suggested that the meeting of 1 July 2015 be moved to 8 July 2015 at 2:00pm.

Taking into account the potential work programme for the Committee, the Chairman is also minded to hold an additional Committee meeting in June and members' views are requested.

CLOSE OF MEETING

5:05

An explanation of abbreviations and acronyms is available on request from the Chief Internal Auditor.

Pre-Meeting Briefing

There will be a pre-meeting briefing in the Members' Boardroom at County Hall on **Thursday 16 April 2014** at **14:00** for the Chairman, Deputy Chairman and Opposition Group Spokesman.