

...Decisions... Decisions...

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.)

If you have a query please contact Deborah Miller, Tel: (01865) 815384; E-Mail: deborah.miller@oxfordshire.gov.uk (Tim Peart, Tel: (01865) 323569; E-Mail: timothy.peart@oxfordshire.gov.uk)

AUDIT & GOVERNANCE COMMITTEE - WEDNESDAY, 16 SEPTEMBER 2015

<i>RECOMMENDATIONS FROM THE AGENDA</i>	<i>DECISIONS</i>	<i>ACTION</i>
1. Apologies for Absence and Temporary Appointments	There were none.	
2. Declaration of Interests - see guidance note	There were none.	
3. Minutes To approve the minutes of the meeting held on Wednesday, 8 July 2015 (AG3) and to receive information arising from them.	The Minutes of the Meeting held on 8 July 2015 were approved and signed. <u>Matters arising</u> <u>42/15</u> Councillor Smith wished it to be made clear that 'in future' the Committee be consulted prior to any/all changes to governance arrangements within the Committee's remit.	HLC
4. Petitions and Public Address	There were none.	
5. Final Accounts 2014/15 The Accounts and Audit Regulations 2011 require the Statement of Accounts 2014/15 to be considered by a committee of the Council by 30 September 2015 and, following that consideration, to be approved by a resolution of that		

...Decisions... Decisions...

AUDIT & GOVERNANCE COMMITTEE - WEDNESDAY, 16 SEPTEMBER 2015

<i>RECOMMENDATIONS FROM THE AGENDA</i>	<i>DECISIONS</i>	<i>ACTION</i>
<p>committee. The regulations also require that, following approval, the Statement of Accounts is signed and dated by the chairman of the committee approving the accounts. The Chief Finance Officer must re-certify the Statement of Accounts before the committee approves it.</p> <p>The Statement of Accounts presented for the Audit & Governance Committee's approval reflects minor amendments made following the audit of the accounts. Ernst & Young LLP's annual governance reports set out that no audit issues have been identified as yet during the course of the audit of the main accounts or the Pension Fund accounts. Small changes to some of the disclosure notes have been agreed with the auditors; however these are not significant enough to be reported in their annual governance reports. There are no changes to the main financial statements.</p> <p>Given the minor nature of the changes that have been made to the accounts, the final version has not been included with the agenda papers. Members should refer to the draft version presented to the Audit & Governance Committee on 8 July 2015 available on the council's website. The changes that have been made are set out in the report (AG5).</p> <p>RECOMMENDATION</p> <p><i>The Committee is RECOMMENDED to:</i></p> <p>(i) <i>Consider and approve the Statement of Accounts for 2014/15 presented to the Committee on 8 July 2015 with the minor amendments as set out;</i></p> <p>(ii) <i>Consider and approve the Annual Governance Statement presented to the Committee on</i></p>	<p>Agreed, subject to giving Delegated Authority to the Chief Finance Officer to make any changes necessary as a result of the finalisation of the Audit and to the accounts themselves.</p>	<p>CFO (K. Wilcox)</p>

...Decisions... Decisions...

AUDIT & GOVERNANCE COMMITTEE - WEDNESDAY, 16 SEPTEMBER 2015

RECOMMENDATIONS FROM THE AGENDA	DECISIONS	ACTION
<p>8 July 2015 with the minor amendments as set out;</p> <p>(iii) Consider and approve the Letter of Representation 2014/15 for the Oxfordshire County Council accounts;</p> <p>(iv) Consider and approve the Letter of Representation 2014/15 for the Oxfordshire Pension Fund accounts.</p>		
<p>6. Ernst & Young - Annual Results</p> <p>Report to follow.</p>	<p>The Committee AGREED to note the reports and to thank Maria Grindley, Ernst & Young for all her work on the Committee.</p>	
<p>7. Local Government Ombudsman's Review of Oxfordshire County Council</p> <p>Each year, the Local Government Ombudsman (LGO) issues an Annual Review Report about each council in relation to the complaints made to the Ombudsman about that Council in the previous financial year. My report (AG7) to this Committee therefore informs members about the LGO's Annual Review Report for Oxfordshire County Council for the year 2014/15.</p> <p>In previous years, the Ombudsman issued more detailed Annual Reports with a commentary on each authority's performance. Following changes to the LGO's investigations procedures, this is no longer the case.</p> <p>However, these figures, in comparison with other information published separately by the Ombudsman for all authorities, demonstrate that the Council's system of</p>		

...Decisions... Decisions...

AUDIT & GOVERNANCE COMMITTEE - WEDNESDAY, 16 SEPTEMBER 2015

RECOMMENDATIONS FROM THE AGENDA	DECISIONS	ACTION
<p>control as expressed through the Council's engagement with the Ombudsman is working well.</p> <p>RECOMMENDATION</p> <p><i>The Committee is RECOMMENDED to note and comment upon this report and on the Local Government Ombudsman's Annual Review of Oxfordshire County Council for 2014/15.</i></p>	<p>Agreed (nem con)</p> <p><i>Note: the Committee paid tribute to Peter Clark for his work as Monitoring Officer to the Council.</i></p>	<p>Peter Clark</p>
<p>8. Internal Audit 2015/16 Progress Report</p> <p>This report (AG8) presents the Internal Audit progress report for 2015/16.</p> <p>RECOMMENDATION</p> <p><i>The committee is RECOMMENDED to approve the Q3 Internal Audit Plan.</i></p>	<p>Agreed.</p>	<p>HLC (I. Dyson)</p>
<p>9. Report on the Authority's Policy for compliance with the Regulation of Investigatory Powers Act 2000 and use of activities within the scope of this Act</p> <p>The Regulation of Investigatory Powers Act 2000 ('the Act') regulates the use of covert activities by Local Authorities. It creates the statutory framework by which covert surveillance activities may be lawfully undertaken. Special authorisation arrangements need to be put in place whenever a Local Authority considers commencing covert surveillance or considers obtaining information by the use of informants or officers acting in an undercover capacity.</p> <p>Codes of Practice issued under the Act provide guidance to authorities on the use of the Act. The Code of Practice relating to</p>		

...Decisions... Decisions...

AUDIT & GOVERNANCE COMMITTEE - WEDNESDAY, 16 SEPTEMBER 2015

<i>RECOMMENDATIONS FROM THE AGENDA</i>	<i>DECISIONS</i>	<i>ACTION</i>
<p>covert surveillance specifies that elected members should review the authority's use of the Act and set the policy at least once a year. They should also consider internal reports on the use of the Act periodically.</p> <p>This paper (AG9) provides an overview of the use of activities falling within the scope of the Regulation of Investigatory Powers Act 2000 by Oxfordshire County Council in the period from April 2014 to March 2015. The report also provides an overview of the authority's Policy and the full policy is provided as an annex for committee members to review.</p> <p>RECOMMENDATION</p> <p><i>The Committee is RECOMMENDED to consider and note the periodic and annual use of RIPA by Oxfordshire County Council.</i></p>	<p>Agreed, subject to requesting an Annual Update report.</p>	<p>CFO (R. Webb)</p>
<p>10. Governance Arrangements</p> <p>As a result of the current Chief Executive leaving the Council at the end of September 2015, the Committee at its last meeting asked for assurance that the Council's corporate governance arrangements would continue to be fully managed.</p> <p>This followed the Council's intention to appoint Mr Peter Clark as the Head of Paid Service and, consequently, to appoint Mr Nick Graham as the Council's Monitoring Officer with effect from the cessation of the current Chief Executive's employment with the Council.</p> <p>This report (AG10) sets out the planned arrangements to give appropriate assurance to the Committee as to how the corporate governance framework is to be maintained and the management</p>		

...Decisions... Decisions...

AUDIT & GOVERNANCE COMMITTEE - WEDNESDAY, 16 SEPTEMBER 2015

RECOMMENDATIONS FROM THE AGENDA	DECISIONS	ACTION
<p>arrangements that will be put in place going forward.</p> <p>RECOMMENDATION</p> <p><i>The Committee is RECOMMENDED to comment on and note the limited amendments to senior officer responsibilities for governance outlined in paragraph 10 of this report.</i></p>	<p>Agreed to:</p> <p>(a) <i>note the limited amendments to senior officer responsibilities for governance outlined in paragraph 10 of this report;</i></p> <p>(b) <i>that in future large committee reports should not be appended to the Agenda sent to members of the Committee, but be available upon request.</i></p>	<p>HLC (G. Watson/W. Whitehead)</p>
<p>11. County Returning Officer Appointment</p> <p>As a result of the current Chief Executive leaving the Council at the end of September 2015, it is a legal requirement for the Council to appoint a new County Returning Officer.</p> <p>The Council is required to appoint a County Returning Officer under Section 35(1) of the Representation of the People Act 1983. The Returning Officer is responsible for the arrangement of elections to the County Council.</p> <p>Under the Council's Constitution, the Audit & Governance Committee retains delegated responsibility for appointing the Council's Returning Officer and it is for the Committee to appoint a suitably qualified person to fulfil the role.</p> <p>RECOMMENDATION</p> <p><i>The Committee is RECOMMENDED to appoint Mr Peter Clark, the current Chief Legal Officer, as the County Returning Officer for the Council, with</i></p>	<p>The Committee AGREED to appoint Mr Peter Clerk, the current Chief Legal Officer, as the interim County Returning Officer for the Council, with effect from the cessation of the current Chief Executive's employment</p>	<p>Steve Munn/ Sue Corrigan</p>

...Decisions... Decisions...

AUDIT & GOVERNANCE COMMITTEE - WEDNESDAY, 16 SEPTEMBER 2015

RECOMMENDATIONS FROM THE AGENDA	DECISIONS	ACTION
<p>effect from the cessation of the current Chief Executive's employment with the Council.</p>	<p>with the Council until the conclusion of the Senior Management Review.</p>	
<p>12. Update on Hampshire Partnership</p> <p>The Chief Finance Officer will provide the Committee with a verbal update on the status of the On Boarding Project in respect of the Partnership arrangement with Hampshire County Council for the provision of HR and Finance Services.</p> <p>RECOMMENDATION</p> <p><i>The committee is RECOMMENDED to receive the presentation.</i></p>	<p>The Committee received an update of the Review.</p>	
<p>13. Report from the Audit Working Group</p> <p>The report summarises the matters arising at the most recent meeting of the Audit Working Group (AWG).</p> <p>RECOMMENDATION</p> <p><i>The Committee is RECOMMENDED to note the report.</i></p>	<p>Agreed</p>	
<p>14. Audit & Governance Committee Work Programme</p> <p>4:00</p> <p>To review the Committee's Work Programme (AG14).</p>	<p>The Committee Agreed the Work Programme for 2015, subject to the following additions:</p> <p>18 November 2015</p> <p>Special Meeting of the Audit Working Group - 1.00 pm - 2.00 pm Private Session with the External Auditor</p> <p>SCS LEAN and IT system update (Kate Terroni)</p>	<p>HLC (T. Peart)</p>