

...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 Colm Ó Caomhánaigh, Tel 07393 001096; E-mail: colm.ocaomhanaigh@oxfordshire.gov.uk

AUDIT & GOVERNANCE COMMITTEE - WEDNESDAY, 13 NOVEMBER 2019

RECOMMENDATIONS FROM THE AGENDA	DECISIONS	ACTION
1. Apologies for Absence and Temporary Appointments	None	DLG (A Newman)
2. Declaration of Interests - see guidance note	In relation to Agenda Item 9 Changes to Constitution of Pension Fund Committee, Councillors Charles Mathew and Roz Smith are members of the Pension Fund Committee.	
3. Minutes To approve the minutes of the meeting held on 11 September 2019 and to receive information arising from them.	The minutes of the meeting on 11 September 2019 were approved and signed.	DLG (C O Caomhanai gh)
4. Petitions and Public Address	None	
5. Update on Highways Payments Report by the Interim Director for Community Operations Further to the report to the meeting on May 2019, this paper provides ongoing feedback on the progress of addressing issues raised within the audit inspection of Highway Contract Payments. The Committee is RECOMMENDED to note progress to date.	Recommendation agreed	DCO (S Smith)
6. External Auditors A representative from the external auditors Ernst & Young will attend to present the following item: <ul style="list-style-type: none">Local Government Audit Committee Briefing – Quarter 3, September 2019.		

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<i>RECOMMENDATIONS FROM THE AGENDA</i>	<i>DECISIONS</i>	<i>ACTION</i>
<p>7. Treasury Management Mid Term Review</p> <p>Report by the Director of Finance</p> <p>The report sets out the Treasury Management activity undertaken in the first half of the financial year 2019/20 in compliance with the CIPFA Code of Practice. The report includes Debt and Investment activity, Prudential Indicator monitoring and forecast interest receivable and payable for the financial year.</p> <p>The Committee is RECOMMENDED to:</p> <p>a) note the report, and b) recommend Council to note the Council's Mid-Term Treasury Management Review 2019/20.</p>	<p>Recommendations agreed</p>	<p>DF (T Chapple)</p>
<p>8. Financial Management Code</p> <p>CIPFA issued its Financial Management Code in October 2019. The Code is designed to support good practice financial management and to assist local authorities in demonstrating their financial sustainability and sets standards of financial management for local authorities. Local authorities are required to demonstrate compliance with the Code from 1 April 2020 CIPFA issued its Financial Management Code in October 2019. The Code is designed to support good practice financial management and to assist local authorities in demonstrating their financial sustainability and sets standards of financial management for local authorities. The first full year of compliance will be 2021/22. This reflects the recognition that organisations will need time to reflect on the contents of the code and can use 2020/21 to demonstrate how they are working towards compliance. This presentation sets out the requirements of the code and an early assessment of compliance.</p>		

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<i>RECOMMENDATIONS FROM THE AGENDA</i>	<i>DECISIONS</i>	<i>ACTION</i>
<p>9. Changes to Constitution of Pension Fund Committee</p> <p>Report by the Director for Finance.</p> <p>At their meeting on 6 September 2019, the Pension Fund Committee considered potential changes to their Constitution. The recommended changes are outlined in this report.</p> <p>The Committee is RECOMMENDED to endorse the recommendations agreed by the Pension Fund Committee as set out below and RECOMMEND them to Council:</p> <ul style="list-style-type: none"> a) Ask Officers to draw up a Training Policy consistent with the proposals contained in the annex and summarised in paragraph 4 of this report; b) Agree to amend the Pension Fund Committee Governance Policy to mandate all Members of the Pension Fund Committee to complete training in line with the Training Policy; c) Amend the constitution so that no substitutions are allowed for Members of the Pension Fund Committee; d) Ask Officers in consultation with the Chairman, Deputy chairman and Opposition Spokesperson of the Pension Fund Committee to amend their Governance Policy/Terms of Reference to ensure the independence and impartiality of the Pension Fund Committee Members is assured; and e) Make the appropriate changes to the Terms of Reference and Constitution to formalise the new governance arrangements. 	<p>The recommendation was adopted by six votes to two. Councillor Roz Smith asked that it be recorded that she was only opposed to part c) of the recommendation.</p>	<p>DF (S Collins)</p>

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<i>RECOMMENDATIONS FROM THE AGENDA</i>	<i>DECISIONS</i>	<i>ACTION</i>
<p>10. Update on Counter Fraud Strategy and Plan for 2019/20</p> <p>Report by the Director for Finance.</p> <p>This report presents an Update on the Counter Fraud Strategy and Plan for 2019/20.</p> <p>The Committee is RECOMMENDED to note the progress with delivery of Counter Fraud Strategy and Plan for 2019/20.</p>	<p>Recommendation agreed</p>	<p>DF (S Cox)</p>
<p>11. Audit Working Group Report</p> <p>Report by the Director for Finance.</p> <p>This report presents the matters considered by the Audit Working Group Meeting of 23 October 2019.</p> <p>The Committee is RECOMMENDED to note the report.</p>	<p>Recommendation agreed</p>	<p>DF (S Cox)</p>
<p>12. Audit & Governance Committee Terms of Reference</p> <p>Report by the Director for Finance</p> <p>This report presents a revised draft of the Audit & Governance Committee Terms of Reference, for approval at the Committee and for inclusion within the December review/update to the Constitution.</p> <p>The Committee is RECOMMENDED to approve the updated terms of reference for the Audit & Governance Committee and request that this is included within the December 2019 review and update of the Constitution.</p>	<p>Recommendation agreed</p>	<p>DF (S Cox)</p>
<p>13. Corporate Security Update</p> <p>This will be a verbal update by the Director for Property, Investment and Facilities Management.</p>		

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<i>RECOMMENDATIONS FROM THE AGENDA</i>	<i>DECISIONS</i>	<i>ACTION</i>
<p>14. Carillion Recovery Plan Update</p> <p>Report by the Director of Community Operations.</p> <p>This report gives the latest position on all the line items paid to Carillion during the Carillion contract and the latest position on this.</p> <p>The Committee is RECOMMENDED to note the contents of the report.</p>	<p>Recommendation agreed</p>	<p>DCO (G Eleftheriou)</p>
<p>15. Exempt Item</p> <p>In the event that any Member or Officer wishes to discuss the information in the report to Item 16, the Committee will be invited to resolve to exclude the public for the consideration of that report by passing a resolution in relation to that item in the following terms:</p> <p><i>"that the public be excluded during the consideration of the report since it is likely that if they were present during that discussion there would be a disclosure of "exempt" information as described in Part I of Schedule 12A to the Local Government Act, 1972 and specified below the item in the Agenda".</i></p> <p>THE REPORT TO THE ITEM NAMED HAS NOT BEEN MADE PUBLIC AND SHOULD BE REGARDED AS 'CONFIDENTIAL' BY MEMBERS AND OFFICERS ENTITLED TO RECEIVE THEM.</p> <p>THIS IS FOR REASONS OF COMMERCIAL SENSITIVITY.</p> <p>THIS ALSO MEANS THAT THE CONTENTS SHOULD NOT BE DISCUSSED WITH OTHERS AND NO COPIES SHOULD BE MADE.</p>		

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<p>16. Carillion Legacy Programme - Negotiation Activity</p> <p>Report by the Director of Community Operations.</p> <p><i>The information contained in the report is exempt in that it falls within the following prescribed categories:</i></p> <p><i>3. Information relating to the financial or business affairs of any particular person (including the authority holding that information);</i></p> <p><i>5. Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings.</i></p> <p><i>and since it is considered that, in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information, in that the disclosure could affect the negotiations with the liquidators of Carillion.</i></p> <p>This report provides a requested update on the negotiation with the Liquidators for Carillion, over their claim against OCC, our counter claim, and related matters.</p> <p>The Committee is RECOMMENDED to note the contents of the report.</p>	<p>Recommendation agreed</p>	<p>DCO (A Fairweather)</p>
<p>17. Work Programme</p> <p>To review the Committee's work programme and meeting dates.</p>	<p>The following changes were agreed:</p> <ul style="list-style-type: none"> • Add Counter Fraud Update to the 18 March 2020 meeting. • The meeting on 15 January 2020 will start at 2.30pm. • The meeting in September 2020 will be changed to 16th. 	<p>DLG (C O Caomhanai gh)</p>