



To: Members of the Audit & Governance Committee

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

Wednesday, 18 September 2013 at 2.00 pm

County Hall, Oxford, OX1 1ND

Peter G. Clark.

Peter G. Clark
County Solicitor

September 2013

Contact Officer: **Deborah Miller**
Tel: (01865) 815384; E-Mail: deborah.miller@oxfordshire.gov.uk

Membership

Chairman – Councillor David Wilmshurst
Deputy Chairman - Councillor Charles Mathew

Councillors

Surinder Dhesi
Janet Godden
Sandy Lovatt

Caroline Newton
Susanna Pressel
Roz Smith

Lawrie Stratford

Co-optee

Dr Geoff Jones

Notes:

- **Date of next meeting: 20 November 2013**
- **Members are asked to note that from 1.00-2.00pm on the 18 September (i.e. pre the Audit Committee meeting) there will be a development briefing.**

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 Rachel Dunn on (01865) 815279 or Rachel.dunn@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 - 6)

To approve the minutes of the meeting held on 3 July 2013 (**AG3**) and to receive information arising from them.

4. **Petitions and Public Address**

5. **Local Government Ombudsman - Changes to Annual Reviews and to Investigations** (Pages 7 - 14)

2.10pm

Report by the County Solicitor and Monitoring Officer.

The report summarises the findings of the Local Government Ombudsman Annual Review of Oxfordshire County Council for the year ended 31 March 2013 (**AG5**)

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 2012/13.

6. **Risk Management Annual Report** (Pages 15 - 18)

2.30pm

Report by Research and Major Programmes Manager (**AG6**)

The Committee is RECOMMENDED to:

- (a) note the progress to date; and***
- (b) provide any feedback on the report.***

7. **Audit Working Group Report** (Pages 19 - 22)

2.50pm

Report by the Chief Internal Auditor (**AG7**).

The report summarises the matters arising at the meeting of the 5 September 2013.

The Committee is RECOMMENDED to note the report.

8. Final Statement of Accounts 2012/13 (Pages 23 - 240)

3.10pm

Final statement of Accounts 2012/13 and Management Representation Letter 2012/13 to the Auditors.

Reports by the Assistant Chief Executive and Chief Finance Officer (**AG8**).

The Committee is RECOMMENDED to:

- (i) ***Consider and approve the Statement of Accounts for 2012/13;***
- (ii) ***Consider and approve the Letter of Representation 2012/13 for the Oxfordshire County Council accounts;***
- (iii) ***Consider and approve the Letter of Representation 2012/13 for the Oxfordshire Pension Fund accounts.***

9. Annual Audit Letter 2012/13 (Pages 241 - 250)

3.30pm

Annual Audit Letter for 2012/13 Audit (**AG9**).

A representative of the Audit Commission will present the Letter.

The Committee is RECOMMENDED to consider and receive the Letter

10. Ernst & Young External Auditors (Pages 251 - 304)

3.50pm

A representative of Ernst & Young will attend for these items:-

- Annual Results Report – Oxfordshire County Council (**AG10a**)
- Annual Results Report – Oxfordshire Pension Fund (**AG10b**)
- Verbal Progress Report to Committee. Attached is the LG Sector Update Report – Government and Economic News for information only (**AG10c**)

11. Internal Audit 2013/14 - Progress Report and Quarter 3 Plan (Pages 305 - 334)

4.10pm

Report by Chief Internal Auditor **(AG11)**.

The report presents the Internal Audit progress report and Plan for quarter 3 2013-14 for approval of the Audit & Governance Committee.

The Committee is RECOMMENDED to approve the Q3 plan.

12. Committee Work Programme 2013/14 (Pages 335 - 338)

4.30pm

To review / update the Committee's Work Programme **(AG12)**.

CLOSE OF MEETING

4.35pm

Pre-Meeting Briefing

There will be a pre-meeting briefing at County Hall on **Thursday, 12th September 2013** at **4.00pm** for the Chairman, Deputy Chairman and Opposition Group Spokesman.