



To: Members of the Audit & Governance Committee

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

Wednesday, 18 November 2015 at 2.00 pm

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

Peter G. Clark
Head of Paid Service

November 2015

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Membership

Chairman – Councillor David Wilmshurst
Deputy Chairman - Councillor Sandy Lovatt

Councillors

David Bartholomew
Yvonne Constance OBE
Tim Hallchurch MBE

Jenny Hannaby
Nick Hards
Roz Smith

John Tanner

Co-optee

Dr Geoff Jones

Notes:

- **Members of the Audit & Governance Committee are requested to attend a private meeting with the external auditors, Ernst & Young, during the session preceding the Committee meeting, from 13:00.**
- **Date of next meeting: 13 January 2016**

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 - 12)

To approve the minutes of the meeting held on Wednesday 16 September 2015 (**AG3**) and to receive information arising from them.

4. Petitions and Public Address

5. Treasury Management Mid-term Review (Pages 13 - 26)

14:10

The report (**AG5**) sets out the Treasury Management activity undertaken in the first half of the financial year 2015/16 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.

RECOMMENDATION

The Committee is RECOMMENDED to note the report.

6. Annual Governance Statement - Action Plan Progress (Pages 27 - 40)

14:30

Audit & Governance Committee approved the Annual Governance Statement (AGS) for 2014/15 in July 2015. The AGS lists six 'Actions' to be carried out in 2015/16. This item (**AG6**) provides a mid-year report on progress. This describes progress and any other plans that we have for each of these Actions.

RECOMMENDATION

The Audit & Governance Committee is RECOMMENDED to note the progress on the AGS Actions.

7. Ernst & Young - Annual Letter (Pages 41 - 52)

14:50

Annual Audit Letter for 2014/15 (**AG7**).

A representative from the external auditors, Ernst & Young, will present the Letter.

RECOMMENDATION

The Committee is RECOMMENDED to consider and receive the Letter.

8. Ernst & Young - Progress Report and Sector Briefing (Pages 53 - 72)

15:00

A representative from the external auditors, Ernst & Young, will attend to present the following reports:

- External Audit Progress Report
- Local Government Sector Briefing

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

15:15

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.

RECOMMENDATION

The Committee is RECOMMENDED to receive the presentation.

10. Update on Hampshire Partnership (Pages 73 - 94)

15:35

The Chief Finance Officer will provide the Committee with an update on the status of the On Boarding Project in respect of the Partnership arrangement with Hampshire County Council.

The report (**AG10**) focusses on the Finance Systems, including, purchasing and income, but does not include HR.

RECOMMENDATION

The Committee is RECOMMENDED to note the report and ask the Chief Finance Officer to report back in February 2016 once the partnership has been operational for six months.

11. Report from the Audit Working Group (Pages 95 - 98)

15:55

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

The report summarises the matters arising at the most recent meetings of the Audit Working Group (AWG).

RECOMMENDATION

The Committee is RECOMMENDED to note the report.

12. Audit & Governance Committee Work Programme (Pages 99 - 100)

16:10

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

CLOSE OF MEETING

16:20

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 at County Hall on **Thursday 12 November** at **14:00** for the Chairman, Deputy Chairman and Opposition Group Spokesman in the Members' Boardroom.