



To: **Members of the Audit & Governance Committee**

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

Wednesday, 20 April 2016 at 1.00 pm

Room 2&3 - County Hall, New Road, Oxford

Peter G. Clark
Head of Paid Service

April 2016

Contact Officers: *Deborah Miller, Tel: (01865) 815384; E-Mail:
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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:

- ***Date of next meeting: 13 July 2016***
 - ***Members are asked to note that the meeting starts at 1.00 pm.***

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 24 February 2016 (**AG3**) and to receive information arising from them.

4. Petitions and Public Address

5. Internal Audit Services - Internal Audit Strategy & Annual Plan (Pages 13 - 50)

1.10 pm

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

This report presents the Internal Audit progress report for 2015/16 and the Internal Audit Strategy for 2016/17 including the first quarter's plan.

The Committee is RECOMMENDED to:

- (a) *note the progress with the 15/16 Audit Plan, 15/16 Compliance Plan, 15/16 Counter Fraud Plan and the outcome of the completed audits;*
- (b) *approve the interim Internal Audit Strategy for 2016/17 and the Q1 Plan; and*
- (c) *agree the 2016/17 performance indicators.*

6. Review of Effectiveness of Internal Audit (Pages 51 - 58)

1.30 pm

Report by the Monitoring Officer (**AG6**).

Each year the Monitoring Officer undertakes a survey of senior managers about the effectiveness of Internal Audit at Oxfordshire County Council. There is no longer a statutory requirement for a formal annual review of the effectiveness of Internal Audit, however this Committee last year agreed that the Monitoring Officer should continue to undertake this survey and report its outcomes to the Committee.

This report summarises the responses to the survey. In short, the survey of the extended County Council Management Team reveals a positive picture of the

effectiveness of Internal Audit during the year 2015/16.

The Committee is RECOMMENDED to note and comment upon the report.

7. Progress Report on the Actions in the 2014/15 Annual Governance Statement (Pages 59 - 66)

1.50 pm

Report by the Chief Legal Officer and Monitoring Officer (**AG7**)

Audit & Governance Committee approved the Annual Governance Statement (AGS) for 2014/15 in July 2015. This included six actions to be followed up by the relevant corporate lead and/or directorates in 2015/16. This is the final progress report on the actions and will be reflected in the 2015/16 Annual Governance Statement.

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

8. Annual Monitoring Officer Report (Pages 67 - 76)

2.10 pm

Report by the Monitoring Officer (**AG8**)

The Audit and Governance Committee is responsible for promoting standards of conduct for elected councillors and co-opted members and for ensuring the integrity of the democratic decision-making process. Consequently, the Monitoring Officer reports annually to this Committee on relevant actions and issues that have occurred in the previous year. This report therefore summarises certain activities for the year 2015/16.

The Committee is RECOMMENDED to consider and endorse the report.

9. Code of Corporate Governance (Pages 77 - 122)

2.30 pm

Report by the County Solicitor & Monitoring Officer (**AG9**).

The Audit & Governance Committee has within its Terms of Reference responsibility for governance. The views of the Committee are therefore sought on the Code of Corporate Governance a copy of which is included as an Annex to this report.

The Committee is RECOMMENDED to:

(a) *comment upon the Code;*

(b) *subject to any amendments agreed at the meeting, amend and update the Code of Corporate Governance for Oxfordshire County Council;*

(c) ***agree that the Code continues to be reviewed every two years.***

10. SCS LEAN and IT System update

2.50 pm

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

The presentation will update the Committee on the Adult Social Care IT Project which went live in November 2015.

The Committee is RECOMMENDED to receive the presentation.

11. Hampshire Update

3.10 pm

At its last meeting the Audit & Governance Committee received a presentation which provided an overview of the first six months operation of the shared service arrangement between Hampshire and Oxfordshire County Council, from July to the end of December 2015. Following the presentation the Committee requested to receive a presentation on Aged Debt and duplicate payments .The Assistant Chief Finance Officer (Assurance) will give a presentation on these issues.

12. External Auditors Progress Report (Pages 123 - 154)

3.30

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

- Local Government Audit Committee Briefing
- Audit Plan

The Committee is RECOMMENDED to note the reports.

13. Scrutiny Committees Annual Report (Pages 155 - 180)

3.50 pm

The Committee is asked to consider the report prior to full Council in May.

14. Report from the Audit Working Group (Pages 181 - 182)

4.10 pm

Report by the Chief Internal Auditor (**AG14**).

The report summarises the matters arising from the most recent meeting of the Audit Working Group (**AWG**).

The Committee is RECOMMENDED to note the report.

15. Audit & Governance Committee Work Programme (Pages 183 - 184)

4.30 pm

To review the Committee's Work Programme (**AG15**).

Pre-Meeting Briefing

There will be a pre-meeting briefing at County Hall on **Thursday 14 April 2016 at 2.00 pm** for the Chairman, Deputy Chairman and Opposition Group Spokesman.