



To: Members of the Audit & Governance Committee

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

Wednesday, 9 November 2016 at 2.00 pm

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

Peter G. Clark
County Director

October 2016

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

Membership

Chairman – Councillor Sandy Lovatt
Deputy Chairman - Councillor David Wilmshurst

Councillors

David Bartholomew
Yvonne Constance OBE
Tim Hallchurch MBE

Nick Hards
Alison Rooke
Roz Smith

John Tanner

Co-optee

Dr Geoff Jones

Notes:

- **Pre-Meeting Briefing:** There will be a pre-meeting briefing at County Hall on **Thursday 3 November 2016** at 2pm in the Members' Board Room for the Chairman, Deputy Chairman and Opposition Group Spokesman.
- **Date of next meeting: 14 December 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 **07776 997946** 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 - 8)

To approve the minutes of the meeting held on 14 September 2016 (**AG3**) and to receive information arising from them.

4. Petitions and Public Address

5. Update on Financial Control Improvement Plan (Pages 9 - 20)

2.10pm

Report by the Chief Finance Officer (**AG5**)

In July 2016 the Committee received a report outlining the Financial Control Improvement Plan established to address weaknesses previously identified and to provide efficient financial management systems, policies and procedures that will support the Council in delivering effective services to our customers. This paper provides a progress report to the Committee.

The Committee is RECOMMENDED to note the report.

6. Update on Transformation (Pages 21 - 26)

2.40pm

Report by the Deputy Director – Transformation (**AG6**)

The Interim Transformation Director, Mark Stone provided an introduction to Transformation at the last committee meeting in September. This paper is intended to update members of the Committee on the work undertaken since then.

The Committee is RECOMMENDED to note the report.

7. External Auditors (Pages 27 - 52)

3.10pm

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

following item:

- Annual Audit Letter

8. Treasury Management Mid Term Review (Pages 53 - 68)

3.30pm

Report by the Chief Finance Officer (**AG8**)

The report sets out the Treasury Management activity undertaken in the first half of the financial year 2016/17 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.

The Committee is RECOMMENDED to note the report.

9. Audit Working Group report (Pages 69 - 70)

4pm

Report by the Chief Finance Officer (**AG9**)

This report presents the matters considered by the Audit Working Group Meeting of 27 October 2016.

The Committee is RECOMMENDED to note the report.

10. Audit & Governance Committee Work Programme (Pages 71 - 72)

4.10pm

To review the Committee's Work Programme (**AG10**).

Close of meeting

An explanation of abbreviations and acronyms is available on request from the Chief Internal Auditor.
