

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.oconomhanaigh@oxfordshire.gov.uk

AUDIT & GOVERNANCE COMMITTEE - WEDNESDAY, 25 JULY 2018

RECOMMENDATIONS FROM THE AGENDA	DECISIONS	ACTION
1. Election of Chairman for the Council Year 2018/19	RESOLVED: that Councillor Nick Carter be elected Chairman of the Committee for the 2018/19 Council Year.	
2. Election of Deputy Chairman for the Council Year 2018/19	RESOLVED: that Councillor Tony Ilott be elected Deputy Chairman of the Committee for the 2018/19 Council Year.	
3. Apologies for Absence and Temporary Appointments	Apologies were received from Councillor Paul Buckley (Councillor John Howson substituting) and Councillor Helen Evans (Councillor Liz Brighthouse substituting).	
4. Declaration of Interests - see guidance note	In relation to Agenda Item 12, Councillor Ian Corkin and Councillor Tony Ilott declared that they were also councillors for Cherwell District Council.	
5. Minutes To approve the minutes of the meeting held on 25 April 2018 and to receive information arising from them.	The minutes of the meeting of 25 April 2018 were approved and signed.	DLG (C. O Caomhanai gh)
6. Petitions and Public Address	None.	
7. Statement of Accounts 2017/18 Report by the Director of Finance The Accounts and Audit Regulations 2015 require the Director of Finance to publish		

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<i>RECOMMENDATIONS FROM THE AGENDA</i>	<i>DECISIONS</i>	<i>ACTION</i>
<p>the unaudited Statement of Accounts 2017/18 no later than 31 May 2018 and certify that they give a true and fair view of the County Council's financial position and income and expenditure for the year. This was achieved on 31 May 2018 and the unaudited accounts were published on the Council's website for public inspection. The Regulations require the Statement of Accounts to be considered by a committee of the Council by 31 July 2018 and, following that consideration, to be approved by resolution of that committee. This report presents the accounts to the Audit & Governance Committee for consideration and approval, with the findings of the audit available in Ernst & Young LLP's audit results reports.</p> <p>The Committee is RECOMMENDED to:</p> <p>(a) Consider and approve the Statement of Accounts 2017/18 at Annex 1;</p> <p>(b) Note the Summary Accounts 2017/18 at Annex 2;</p> <p>(c) Agree that no changes are required to the Annual Governance Statement, previously approved by the Committee on 25 April 2018;</p> <p>(d) Consider and approve the Letter of Representations 2017/18 for the Oxfordshire County Council accounts at Annex 3;</p> <p>(e) Consider and approve the Letter of Representations 2017/18 for the Oxfordshire Pension Fund accounts at Annex 4;</p> <p>(f) Agree that the Director of Finance, in consultation with the Chairman of the Committee (or Deputy Chairman in his</p>	<p>Recommendations agreed as amended by the Addenda.</p>	<p>DoF (H. Doney)</p>

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<p><i>absence), can make any further changes to the Statement of Accounts 2017/18 and / or letters of representation that may arise during completion of the audit.</i></p>		
<p>8. Ernst & Young - Final Accounts Audit</p> <p>A representative from the external auditors Ernst & Young, will attend to present the following item:</p>	<p>RESOLVED: to note the reports.</p>	<p>(P. King)</p>
<p>9. Treasury Management Outturn 2017/18</p> <p>Report by the Director of Finance</p> <p>The report sets out the Treasury Management activity undertaken in the financial year 2017/18 in compliance with the CIPFA Code of Practice. The report includes Debt and Investment activity, Prudential Indicator Outturn, Investment Strategy, and interest receivable and payable for the financial year.</p> <p><i>The Committee is RECOMMENDED to note the report, and to RECOMMEND Council to note the Council's Treasury Management Activity in 2017/18.</i></p>	<p>Recommendations agreed.</p>	<p>DoF (T. Chapple)</p>
<p>10. Internal Audit Charter</p> <p>Report by the Director of Finance</p> <p>This report presents the Internal Audit Charter and Internal Audit Quality Assurance Programme for 2018/19. These are subject to annual review. The report also provides an update on the implementation of recommendations from the External Assessment of Internal Audit against the Public Sector Internal Audit Standards.</p>		

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<p>The Committee is RECOMMENDED to:</p> <p>(a) approve the Internal Audit Charter;</p> <p>(b) note the Quality Assurance and Improvement Programme; and</p> <p>(c) note that the recommendations from the External Assessment have been fully implemented.</p>	<p>Recommendations agreed.</p>	<p>DoF (S. Cox)</p>
<p>11. Counter-fraud Plan 2018/19</p> <p>Report by the Director of Finance</p> <p>This report presents the Counter Fraud Strategy and Plan for 2018/19.</p> <p>The Committee is RECOMMENDED to comment and note the Counter Fraud Strategy and Plan for 2018/19.</p>	<p>Recommendations agreed.</p>	<p>DoF (S. Cox)</p>
<p>12. Joint Working Arrangements with Cherwell DC: Managing Conflicts of Interest</p> <p>Report by the Director of Law & Governance</p> <p>Cabinet agreed on 4 June 2018 to approve, in principle, a joint working arrangement with Cherwell District Council. These arrangements are to be governed by a formal "s113 Agreement" which is currently being finalised. The decision to enter into joint working arrangements, and an s113 Agreement, was also endorsed by Cherwell District Council at its meeting on 16 July.</p> <p>It is intended by both authorities that the governance arrangements will include the appointment of a joint Chief Executive and statutory Head of Paid Service (agreed by this Council on 10 July and Cherwell on 16</p>		

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<p>July), together with arrangements for a partnership working group, joint committees and a process for managing potential conflicts of interest.</p> <p>This report seeks the Committee's comments on the last of these issues – the process for managing conflicts of interest. A report on the other governance aspects will then be brought to the Committee for comment once these have been worked up in more indicative detail.</p> <p>The report therefore sets out the proposed governance arrangements for managing conflicts of interest under joint working arrangements.</p> <p>The Committee is RECOMMENDED:</p> <p>(a) To note and endorse the potential adoption of a conflicts of interests protocol and ethical walls policy;</p> <p>(b) To regularly monitor the operation of the protocols and policy; and</p> <p>(c) To delegate authority to the Monitoring Officer to make any further minor adjustments to these documents and make the necessary changes to the Council's Constitution.</p>	<p>RESOLVED:</p> <p>(a) To note and endorse the potential adoption of a conflicts of interests protocol and ethical walls policy;</p> <p>(b) To regularly monitor the operation of the protocols and policy; and</p> <p>(c) To delegate authority to the Monitoring Officer to make any further adjustments to these documents and bring them back to the next meeting of the Committee with the S113 agreement for endorsement and make the necessary changes to the Council's Constitution thereafter.</p>	<p>DLG (G. Watson)</p>
<p>13. County Returning Officer Appointment</p> <p>Report by the Director of Law & Governance</p> <p>On 10 July 2018, Full Council agreed to appoint Yvonne Rees as Joint Chief Executive and Head of Paid Service of Oxfordshire County Council. This arose from the decision by Cabinet to enter into partnership arrangements with Cherwell District Council. It was agreed by Council that the appointment should commence on</p>		

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<p>1 October 2018 and it was also decided that the employment of the current Chief Executive and Head of Paid Service, Peter Clark, should cease on 30 September.</p> <p>Peter Clark had been appointed to the statutory role of County Returning Officer in 2015 by this Committee. Under the Council's Constitution, this Committee has the delegated decision making to appoint the County Returning Officer.</p> <p>As a consequence of the decision to appoint Yvonne Rees and to terminate the employment of Peter Clark, the Audit & Governance Committee, under its delegated powers, must make an appointment to the statutory role of County Returning Officer so that there is no discontinuity after 30 September.</p> <p>The Council is required to appoint a County Returning Officer under Section 35(1) of the Representation of the People Act 1983. The Returning Officer is responsible for the arrangement of elections to the County Council. This report therefore asks the Committee to make an appointment to this role, with effect from 1 October 2018.</p> <p>This report proposes that Yvonne Rees be appointed County Returning Officer given her significant experience as a Returning Officer and Electoral Registration Officer with her current and previous authorities.</p> <p><i>The Committee is RECOMMENDED to appoint Yvonne Rees, in her capacity as Joint Chief Executive and Head of Paid Service, to the role of County Returning Officer as from 1 October 2018.</i></p>	<p>Recommendations agreed.</p>	<p>DLG (G. Watson)</p>
<p>14. Safer Recruitment Audit</p> <p>Report by the Director of Human Resources</p>		

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<p>This report provides an update on the findings of the Review of the DBS* data held against employee records on SAP; the root causes of the omissions and errors; the actions being put in place to correct the data on SAP; and the controls being put in place to monitor DBS compliance and data quality going forward.</p> <p>*DBS – Disclosure and Barring Service</p> <p><i>The Committee is RECOMMENDED to support the actions being taken to resolve the discrepancies in our recording system and the actions being taken to ensure rechecks are consistently carried out every three years.</i></p>	<p>Recommendations agreed.</p>	<p>DHR (F. Percival)</p>
<p>15. Update on Carillion Recovery Plan</p> <p>Report by the Director, Capital, Investment & Delivery</p> <p>Report updating on the ongoing work being undertaken.</p> <p><i>The Committee is recommended to:</i></p> <p><i>(a) consider and comment on progress in implementation of the Recovery Plan;</i></p> <p><i>(b) note that there are likely to be substantial rectification costs relating to a range of legacy issues, which will be more fully quantified following completion of the assessments and audits now underway;</i></p> <p><i>(c) note that these costs will be considered within the council's annual budget cycle and processes for 2019/2020.</i></p>	<p>Recommendations agreed.</p>	<p>DCID (F. Dick)</p>

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<i>RECOMMENDATIONS FROM THE AGENDA</i>	<i>DECISIONS</i>	<i>ACTION</i>
<p>16. Audit Working Group Report</p> <p>This report presents the matters considered by the Audit Working Group Meeting of 27 June 2018.</p> <p>The Committee is recommended to note the report.</p>	<p>Recommendations agreed.</p>	<p>DoF (S. Cox)</p>
<p>17. Committee Work Programme</p> <p>To review the Committee's Work Programme.</p>	<p>The Committee made the following changes to the Work Programme:</p> <p><u>12 September 2018</u> Add "Update on the Financial Management Action Plan". Add "Joint Working Arrangements with Cherwell".</p> <p>Defer "Governance of the Housing and Growth Deal" to 14 November 2018.</p> <p><u>14 November 2018</u> Add "Update on Carillion Recovery Plan"</p>	<p>DLG (C. O Caomhánai gh)</p>