

AUDIT AND GOVERNANCE COMMITTEE

A G E N D A

Date : Tuesday 28th April 2009

Venue : The Town Hall, St. Aldate's at 5.00 pm

Members of the Committee

Councillor Stephen Brown	Tel: 01865 311535
Councillor Clark Brundin (Chair)	Tel: 01865 510868
Councillor Beverley Hazell	Tel: 07726 943801
Councillor Bryan Keen	Tel: 01865 776948
Councillor Craig Simmons (Vice-Chair)	Tel: 01865 202257
Councillor Oscar Van Nooijen	Tel: 01865 251757
Vacant seat	Tel:

Please note that the Quorum of the Committee is 3 members.

WHO TO CONTACT AT THE COUNCIL

Sarah Fogden, Head of Finance, Tel: 01865 252708, E-mail:
sfogden@oxford.gov.uk

Penny Gardner, Head of Finance, Tel: 01865 252708, E-mail:
pgardner@oxford.gov.uk

Mathew Metcalfe, Democratic Services Officer, Tel: 01865 252214, E-mail:
mmetcalfe@oxford.gov.uk

Peter McQuitty, Policy, Performance and Communications Manager, Tel: 01865 252780, E-mail: pmcquitty@oxford.gov.uk

DECLARING INTERESTS

What is a personal interest?

You have a personal interest in a matter if that matter affects the well-being or financial position of you, your relatives or people with whom you have a close association more than it would affect the majority of other people in the ward(s) to which the matter relates.

A personal interest can affect you, your relatives or people with whom you have a close personal association positively or negatively. If you or they would stand to gain or lose by the decision, you should also declare it.

You also have a personal interest in a matter if it relates to any interest, which you must register.

What do I need to do if I have a personal interest?

You must declare it when you get to the item on the agenda headed “Declarations of Interest” or as soon as it becomes apparent to you. You may still speak and vote unless it is a prejudicial interest.

If a matter affects a body to which you have been appointed by the authority, or a body exercising functions of a public nature, you only need declare the interest if you are going to speak on the matter.

What is a prejudicial interest?

You have a prejudicial interest in a matter if;

- (a) a member of the public, who knows the relevant facts, would reasonably think your personal interest is so significant that it is likely to prejudice your judgment of the public interest; and
- (b) the matter affects your financial interests or relates to a licensing or regulatory matter; and
- (c) the interest does not fall within one of the exempt categories at paragraph 10(2)(c) of the Code of Conduct.

What do I need to do if I have a prejudicial interest?

You must withdraw from the meeting. However, under paragraph 12(2) of the Code of Conduct, if members of the public are allowed to make representations, give evidence or answer questions about that matter, you may also make representations as if you were a member of the public. However, you must withdraw from the meeting once you have made your representations and before any debate starts.

1. APOLOGIES FOR ABSENCE AND SUBSTITUTIONS

Please note that the Quorum of the Committee is 3 Members.

2. DECLARATIONS OF INTEREST

Councillors serving on the Committee are asked to declare any personal and prejudicial interests they may have in any of the following agenda items. Guidance on this is detailed above.

3. NOTIFICATION OF URGENT BUSINESS

Items of business notified to Mathew Metcalfe (Legal and Democratic Services) by no later than 4.30pm Friday 24th March 2009 and which, in the opinion of the Chair, should be considered by the Committee as a matter of urgency for reasons of special circumstances.

4. INTERNAL AUDIT PROGRESS 2008/09 – KPMG – PROGRESS, FINDINGS AND PERFORMANCE

Contact Officers: Penny Gardner, Tel: 01865 252708, E-mail: pgardner@oxford.gov.uk and Sarah Fogden, Tel: 01865 252708, E-mail: sfogden@oxford.gov.uk

The Head of Finance has submitted a report on behalf of KPMG, the Council's Internal Auditors. The report gives a statement of the progress made against the 2008/09 Internal Audit Plan and details Internal Audit reports on the following:

- (a) Statement of progress against Internal Audit Plan
- (b) Leaseholders
- (c) Development Control/Planning
- (d) Fixed Assets
- (e) Governance
- (f) Local Financial Systems
- (g) Performance Information
- (h) Audit and Governance Committee reporting schedule

The Committee is asked to comment on and or note the reports.

5. INTERNAL AUDIT – ANNUAL REPORT 2008/09 - KPMG

Contact Officers: Penny Gardner, Tel: 01865 252708, E-mail: pgardner@oxford.gov.uk and Sarah Fogden, Tel: 01865 252708, E-mail: sfogden@oxford.gov.uk

The Head of Finance has submitted a report on behalf of the Councils Internal Auditors, KPMG. The report provides a commentary of internal audit activity for the 2008/09 year.

The Committee is asked to comment on and note the report.

6. INFORMATION AND DATA SECURITY ACTION UPDATE

Contact Officers: Ben Brownlee, Tel: 01865 252220, E-mail: bbrownlee@oxford.gov.uk and David Oaks, Tel: 01865 252284, E-mail: doakes@oxford.gov.uk

The Head of Business Transformation has submitted a report , which details progress against the KPMG audit report on the Review of Information and Data Security 2008/09 which was dated 7th November 2008.

The Committee is asked to note the progress made.

7. HEALTH AND SAFETY AUDIT – FOLLOW-UP 2008/09 – ACTION PLAN

Report author: Simon Howick, Tel: 01865 252486, E-mail: showeick@oxford.gov.uk

The Head of Human Resources has submitted a report, which provides the Committee with an update summarizing the actions taken since the Health and Safety audit follow-up report, which was presented on 24th March 2009, and sets out the action plan for addressing the outstanding issues.

The Committee is asked:

- (a) To note the progress and action plans in response to the Health and Safety audit follow-up;
- (b) To note the responses to question posed in appendix 1 of the Health and Safety Audit follow-up report.

8. BENEFIT INVESTIGATION 2008/09 OUTCOMES – MONEY LAUNDERING REGULATION – IMPLICATIONS AND ACTION

Contact Officers: Penny Gardner, Tel: 01865 252708, E-mail: pgardner@oxford.gov.uk and Sarah Fogden, Tel: 01865 252708, E-mail: sfogden@oxford.gov.uk

The Head of Finance has submitted a report, which details the outcomes of benefit investigations for the 2008/09 period and the implications that the Money Laundering Regulations has for Oxford City Council and the actions that need to be taken.

The Committee is asked to comment on and note the report.

9. CORPORATE RISK REGISTER – QUARTER 4 MONITORING AND OUTTURN FOR 2008/09

Contact Officers: Penny Gardner, Tel: 01865 252708, E-mail: pgardner@oxford.gov.uk and Sarah Fogden, Tel: 01865 252708, E-mail: sfogden@oxford.gov.uk

The Head of Finance has submitted a report, which presents the Committee with the Quarter 4 review of the Corporate Risk Register and Risk Status.

The Committee is asked to comment on and note the report.

10. CORPORATE RISK REGISTER – CORPORATE RISKS FOR 2009/10

Contact Officers: Penny Gardner, Tel: 01865 252708, E-mail: pgardner@oxford.gov.uk and Sarah Fogden, Tel: 01865 252708, E-mail: sfogden@oxford.gov.uk

The Head of Finance has submitted a report, which presents the Committee with the draft list of Corporate Risks for 2009/10.

The Committee is asked to comment on and note the report.

11. STATEMENT OF ACCOUNTS 2008/09 – ACCOUNTING UPDATE AND PROGRESSION 2007/08 ISSUES

Contact Officers: Penny Gardner, Tel: 01865 252708, E-mail: pgardner@oxford.gov.uk and Sarah Fogden, Tel: 01865 252708, E-mail: sfogden@oxford.gov.uk

The Head of Finance has submitted a report, which updates the Committee on the progress with the Statement of Accounts 2008/09, the key issues to consider and to inform of new requirements.

The Committee is asked to note the progress on the Statement of Accounts and the new requirements for the Accounts.

12. STATEMENT OF ACCOUNTS BRIEFING FOR AUDIT COMMITTEE MEMBERS

The Audit Commission will brief Committee Members and provide guidance on their role in scrutinising future statements of accounts.

13. INTERNAL AUDIT PLAN 2009/10 – PRICEWATERHOUSECOOPERS (PWC)

Officers from Pricewaterhousecoopers (PwC) will attend the meeting and give a presentation on proposals for the 2009/10 Internal Audit Plan.

14. MINUTES

Minutes of the meeting held on 27th January 2009

15. MATTERS ARISING FROM THE MINUTES

This item is for information only.

16. DATES OF FUTURE MEETINGS

Meetings of this Committee for the remainder of the 2008/09 and the following 2009/2010 Council Year, are programmed as follows and will start at 5.00 pm in the Town Hall.

Tuesday 30th June 2009
Thursday 24th September 2009
Tuesday 24th November 2009
Tuesday 23rd March 2010
Tuesday 27th April 2010

17. MATTERS EXEMPT FROM PUBLICATION

If the Committee wishes to exclude the press and public from the meeting during its consideration of the items on the exempt from publication part of the agenda, it will be necessary for the Committee to pass a resolution in accordance with the provisions of Section 100A(4) of the Local Government Act 1972 specifying the grounds on which their presence could involve the likely disclosure of exempt information as defined in Part 1 of Schedule 12A of the Act if and so long as, in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

(The Access to Information Procedure Rules at Section 16 of the Council's Constitution set out the conditions under which the public can be excluded from meetings).

PART II

MATTERS EXEMPT FROM PUBLICATION

(item C1 is exempt from publication by virtue of paragraphs 2, 3 and 7, Schedule 12A, Local Government Act 1972)

- (2) Information which is likely to reveal the identity of an individual;*
- (3) Information about someone's finances or business;*
- (7) Information about action to deal with a crime*

C1. ALLEGATIONS OF INTERNAL FRAUD, INVESTIGATIONS AND OUTCOMES

Report authors: Penny Gardner, Tel: 01865 252708, E-mail: pgardner@oxford.gov.uk and Sarah Fogden, Tel: 01865 252708, E-mail: sfogden@oxford.gov.uk

The Head of Finance has submitted a report.

The Committee is asked to note the report.

How to obtain agenda for the Audit and Governance Committee

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