

# Agenda

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## Audit and Governance Committee

Date: **Thursday 27 February 2014**

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Time: **6.00 pm**

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Place: **Town Hall**

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For any further information please contact:

**Mathew Metcalfe, Democratic and Electoral Services Officer**

Telephone: 01865 252214

Email: [mmetcalfe@oxford.gov.uk](mailto:mmetcalfe@oxford.gov.uk)

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# Audit and Governance Committee

## Membership

<b>Chair</b>	<b>Councillor James Fry</b>	North;
<b>Vice-Chair</b>	<b>Councillor Craig Simmons</b>	St. Mary's;
	<b>Councillor Tony Brett</b>	Carfax;
	<b>Councillor Roy Darke</b>	Headington Hill and Northway;
	<b>Councillor Mike Rowley</b>	Barton and Sandhills;
	<b>Councillor David Rundle</b>	Headington;
	<b>Councillor Scott Seamons</b>	Northfield Brook;

### **HOW TO OBTAIN AGENDA**

In order to reduce the use of resources, our carbon footprint and our costs we will no longer produce paper copies of agenda over and above our minimum internal and Council member requirement. Paper copies may be looked at the Town Hall Reception and at Customer Services, St Aldate's and at the Westgate Library

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## AGENDA

### Pages

#### 1 APOLOGIES FOR ABSENCE

The quorum for this Committee is three Members and substitutes are allowed.

#### 2 DECLARATIONS OF INTEREST

Members are asked to declare any disclosable pecuniary interests they may have in any of the following agenda items. Guidance on this is set out at the end of these agenda pages.

#### 3 EXTERNAL AUDIT PROGRESS REPORT 2013/14 - ERNST AND YOUNG

The Head of Finance will submit a report on behalf of the Council's External Auditors, Ernst and Young which will detail the progress made in delivering the work set out in the 2013/14 audit plan.

**This report was not available when the main agenda was published and will be circulated prior to the meeting.**

#### 4 ERNST AND YOUNG - CERTIFICATION OF CLAIMS AND RETURNS ANNUAL REPORT 2012-13

9 - 20

The Head of Finance has submitted a report on behalf of the Council's External Auditors, Ernst and Young which summarises the results of their work on the Council's 2012-13 claims and returns.

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

#### 5 INTERNAL AUDIT PROGRESS 2013/14 - PRICEWATERHOUSECOOPERS (PWC)

21 - 32

The Head of Finance has submitted a report on behalf of the council's Internal Auditors, Pricewaterhousecoopers (PWC) which details the progress made in delivering the work set out in the 2013/14 audit plan.

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

#### 6 REVIEW OF THE AVOIDING BRIBERY, FRAUD AND CORRUPTION POLICY, AND THE MONEY LAUNDERING POLICY AND PROCEDURE.

33 - 64

The Head of Finance has submitted a report which details a review the

policies and seeks endorsement of the changes to them as outlined within the body of the report.

The Committee is asked:

- (a) To note the review of the Avoiding Bribery Fraud and Corruption Policy and the Money Laundering Policy Procedures and Reporting Form:
- (b) To agree the revised documents set out in Appendices 1- 4.
- (c) To note the new iLearn module on Avoiding Bribery, Fraud and Corruption which all staff have been asked to complete.

**7      PROGRESS ON THE IMPLEMENTATION OF AUDIT  
RECOMMENDATIONS**

65 - 70

The Head of Finance has submitted a report which updates the Committee on the progress made on the implementation of internal and external audit recommendations.

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

**8      RISK MANAGEMENT QUARTERLY REPORTING - QUARTER 3 -  
2013/14**

71 - 80

The Head of Finance has submitted a report which updates Members on both corporate and service risks as at the end of quarter 3.

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

**9      MINUTES**

81 - 84

Minutes of the meeting held on 28<sup>th</sup> November 2013.

**10     DATES AND TIMES OF MEETINGS**

The Committee will meet at 6.00pm in the Town Hall on the following dates:

- Thursday 26<sup>th</sup> June 2014
- Tuesday 30<sup>th</sup> September 2014
- Thursday 18<sup>th</sup> December 2014
- Thursday 26<sup>th</sup> February 2015
- Thursday 23<sup>rd</sup> April 2015

**11     MATTERS EXEMPT FROM PUBLICATION**

If Committee wishes to exclude the press and the public from the meeting during consideration of any aspects of the preceding agenda items it will be

necessary for Council 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 described in specific paragraphs of 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 – Section 15 of the Council’s Constitution – sets out the conditions under which the public can be excluded from meetings of the Council)**

## **PART 2**

### **12 ALLEGATIONS OF INTERNAL FRAUD, INVESTIGATIONS AND OUTCOMES**

85 - 88

This item is exempt from publication by virtue of paragraphs 2, 3 and 7, Schedule 12A, Local Government Act 1971

- (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

## **DECLARING INTERESTS**

### **General duty**

You must declare any disclosable pecuniary interests when the meeting reaches the item on the agenda headed "Declarations of Interest" or as soon as it becomes apparent to you.

### **What is a disclosable pecuniary interest?**

Disclosable pecuniary interests relate to your employment; sponsorship (ie payment for expenses incurred by you in carrying out your duties as a councillor or towards your election expenses); contracts; land in the Council's area; licences for land in the Council's area; corporate tenancies; and securities. These declarations must be recorded in each councillor's Register of Interests which is publicly available on the Council's website.

### **Declaring an interest**

Where any matter disclosed in your Register of Interests is being considered at a meeting, you must declare that you have an interest. You should also disclose the nature as well as the existence of the interest.

If you have a disclosable pecuniary interest, after having declared it at the meeting you must not participate in discussion or voting on the item and must withdraw from the meeting whilst the matter is discussed.

### **Members' Code of Conduct and public perception**

Even if you do not have a disclosable pecuniary interest in a matter, the Members' Code of Conduct says that a member "must serve only the public interest and must never improperly confer an advantage or disadvantage on any person including yourself" and that "you must not place yourself in situations where your honesty and integrity may be questioned". What this means is that the matter of interests must be viewed within the context of the Code as a whole and regard should continue to be paid to the perception of the public.

<sup>1</sup> Disclosable pecuniary interests that must be declared are not only those of the member her or himself but also those of the member's spouse, civil partner or person they are living with as husband or wife or as if they were civil partners.

