

# Agenda

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## Audit and Governance Committee

Date: **Thursday 30 June 2011**

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Time: **6.00 pm**

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Place: **St Aldate's Room, Town Hall**

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For any further information please contact:

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# Audit and Governance Committee

## Membership

<b>Chair</b>	<b>Councillor Beverley Hazell</b>	Marston;
<b>Vice-Chair</b>	<b>Councillor Clark Brundin</b>	North;
	<b>Councillor Roy Darke</b>	Headington Hill and Northway;
	<b>Councillor Bryan Keen</b>	Cowley;
	<b>Councillor Mark Mills</b>	Holywell;
	<b>Councillor Matt Morton</b>	St Mary's;
	<b>Councillor Oscar Van Nooijen</b>	Hinksey Park;

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## AGENDA

### Pages

#### 1 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS

The Quorum for this Committee is 3 and substitutes are permitted.

#### 2 DECLARATIONS OF INTERESTS

Councillors serving on the Committee are asked to declare any personal or personal prejudicial interests they may have in any of the following agenda items.

#### 3 STATEMENT OF ACCOUNTS 2010/11

1 - 128

The Head of Finance has submitted a report which presents the Council's Statement of Accounts for the year ending 31<sup>st</sup> March 2011.

The Committee will receive separately the Statement of Accounts document, prior to the meeting.

The Committee is asked to note the contents of the Statement of Accounts, certified by the Director of Finance and Efficiency prior to their submission to the external auditors,

#### 4 2010/11 ANNUAL GOVERNANCE STATEMENT

129 - 136

The Head of Law and Governance has submitted a report, which present to the Committee the 2010/11 Annual Governance Statement.

The Committee is asked to approve the 2010/11 Annual Governance Statement.

#### 5 AUDIT COMMISSION PROGRESS REPORT

137 - 146

The Head of Finance has submitted a report on behalf of the Audit Commission which details the progress made in delivering the work set out in the 2010/11 audit plan.

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

#### 6 AUDIT COMMISSION - INTERIM MEMO

147 - 162

The Head of Finance has submitted a report on behalf of the Audit Commission which sets out the findings from the interim audit in preparation for work on the 2010/11 financial statements for the Council.

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

**7      AUDIT COMMISSION - 2011/12 FEE LETTER** 163 - 168

The Head of Finance has submitted a letter received from the Audit Commission confirming the audit work that is proposed to be undertaken for the 2011/12 financial year at the City Council and the fee for this work.

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

**8      INTERNAL AUDIT ANNUAL REPORT 2010/11 -  
PRICEWATERHOUSECOOPERS (PWC)** 169 - 184

The Head of Finance has submitted a report on behalf of the Council's Internal Auditors, Pricewaterhousecoopers (PWC), which provides a commentary of internal audit activity for the 2010/11 year.

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

**9      INTERNAL AUDIT SUMMARY REPORT - 2011/12 PLAN -  
PRICEWATERHOSUECOOPERS (PWC)** 185 - 194

The Head of Finance has submitted a report on behalf of the Council's Internal Auditors, Pricewaterhousecoopers (PWC) which provides an update of the work undertaken as part of the audit plan.

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

**10     DATA LOSS PREVENTION - PRICEWATERHOUSECOOPERS  
(PWC)** 195 - 218

The Head of Finance has submitted a report on behalf of the Council's Internal Auditors. The report details the outcomes of a recent audit undertaken into data loss prevention.

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

**11     DEBTORS - PRICEWATERHOUSECOOPERS (PWC)** 219 - 248

The Head of Finance has submitted a report on behalf of the Council's Internal Auditors. The report details the findings of a recent audit of debtors.

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

**12     PARIS/ITRENT CONTROLS - PRICEWATERHOUSECOOPERS  
(PWC)** 249 - 270

The Head of Finance has submitted a report on behalf of the Council's Internal Auditors, Pricewaterhousecoopers (PWC) which details the findings of a recent audit undertaken of IT and process controls for Parish and Payroll System.

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

**13      AUDIT RECOMMENDATION TRACKER      271 - 280**

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

The Committee is asked to note the progress and approve the recommendations listed at appendix B to the report.

**14      AVOIDING BRIBERY, FRAUD AND CORRUPTION POLICY      281 - 296**

The Head of Finance has submitted a report the purpose of which is to seek adoption of an Avoiding Bribery, fraud and Corruption Policy in place of the existing Avoiding Fraud and Corruption Policy.

The Committee is asked to note the report and endorse the Avoiding Bribery Fraud and Corruption Policy.

**15      INVESTIGATION TEAM, FINANCE, PERFORMANCE 2010/11      297 - 310**

The Head of Finance has submitted a report which details the performance of the Investigation Team for the period 2010/2011.

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

**16      MINUTES      311 - 320**

Minutes of:

(a)      The ordinary meeting held on 28 March 2011

(b)      The special meeting held on 1 June 2011

**17      DATES OF FUTURE MEETINGS**

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

Thursday 29 September 2011

Monday 28 November 2011

Monday 6 February 2012

Monday 16 April 2012

## **18 MATTERS EXEMPT FROM PUBLICATION**

If the Committee wishes to exclude the press and the public from the meeting during consideration of any of the items on the exempt from publication part of the agenda, it will be necessary for the Board to pass a resolution in accordance with the provisions of Paragraph 21(1)(b) of the Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000 of the on the grounds that their presence could involve the likely disclosure of exempt information as described in specific paragraphs of Schedule 12A of the Local Government Act 1972.

## **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 personal 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 lose by the decision, you should also declare it.

You also have a personal interest in a matter if it relates to any interests, 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?**

If you 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.

