

# Agenda

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## Audit and Governance Committee

Date: **Tuesday 1 March 2016**

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Time: **5.30 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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Officer**

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# Audit and Governance Committee

## Membership

<b>Chair</b>	Councillor James Fry
<b>Vice-Chair</b>	Councillor Jean Fooks
	Councillor Van Coulter
	Councillor Roy Darke
	Councillor Chewe Munkonge
	Councillor Michele Paule
	Councillor David Thomas

The quorum for this meeting is three members. Substitutes are permitted

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# AGENDA

## Pages

1 **APOLOGIES FOR ABSENCE**

2 **DECLARATIONS OF INTEREST**

3 **EXTERNAL AUDIT - AUDIT PLAN 15-16 MARCH REPORT**

7 - 24

**Purpose:** the Audit Plan sets out how Ernst & Young intend to carry out their responsibilities as auditor.

**Recommendation:** the Committee is asked to discuss the plan.

4 **CERTIFICATION OF CLAIMS AND RETURNS ANNUAL REPORT FOR 2014/15**

25 - 36

**Purpose:** the report summarises the work of the external auditor on the Council's housing benefit subsidy claim.

**Recommendation:** the Committee is asked to discuss this report.

5 **LOCAL GOVERNMENT AUDIT COMMITTEE BRIEFING**

37 - 48

Local Government Audit Committee briefing presented by the Council's external auditors, Ernst & Young.

6 **INTERNAL AUDIT PROGRESS REPORT, QUARTER 3 2015/16**

**Report of the Internal Auditor (to follow)**

**Purpose:** to inform the Committee of progress made against the 2015/16 internal audit plan which was approved by Audit and Governance Committee on 23 April 2015.

The following reports were issued with a Moderate opinion for both design and effectiveness of controls and the Executive Summary is provided in this report:

- Budgetary Control and Performance Management
- Enforcement
- Homelessness Prevention

An audit for the DCLG Flood Support Scheme Grant Certification was completed. This is a certification for grant funding received: BDO issued a letter to DCLG confirming no instances of non-compliance were identified

**Recommendation:** The Committee is asked to note the report.

<b>7</b>	<b>INTERNAL AUDIT FOLLOW UP OF RECOMMENDATIONS MARCH 2016 REPORT</b> <b>Report of the internal auditor (to follow)</b>  <b>Purpose:</b> to inform the Committee of progress on those recommendations raised by Internal Audit which are due for implementation.  <b>Recommendation:</b> the Committee are asked to consider and note the report.	
<b>8</b>	<b>PROGRESS ON IMPLEMENTATION OF AUDIT RECOMMENDATIONS: QUARTER 3 2015/16</b>  <b>Purpose of report:</b> To report progress on the implementation of internal and external audit recommendations.  <b>Recommendation:</b> The Audit and Governance Committee is asked to note progress with the recommendations listed in Appendix A.	49 - 54
<b>9</b>	<b>RISK MANAGEMENT REPORT: QUARTER 3 2015/16</b>  <b>Purpose of report:</b> To update the Committee on both corporate and service risks as at the end of Quarter 3, 31st December 2016.  <b>Recommendation:</b> That the Committee notes the contents of this report, in particular that the Housing Revenue Account business plan risk has been separated from the Medium Term Financial Plan risk.	55 - 62
<b>10</b>	<b>INVESTIGATION TEAM PERFORMANCE AND ACTIVITY Q1-Q3 REPORT</b>  <b>Purpose of report:</b> To appraise Members of the activity and performance of the Corporate Investigation Team for the period 1 April 2015 to 31 January 2016  <b>Recommendation:</b> That the Committee note the report.	63 - 84
<b>11</b>	<b>OFFICER EXECUTIVE DECISIONS MAY 2015 TO FEB 2016</b>  <b>Purpose of report:</b> to inform the Committee of the Officer Executive Decisions taken in this municipal year.  <b>Recommendation:</b> that the Committee note the report and the decisions taken.	85 - 94
<b>12</b>	<b>MINUTES OF THE PREVIOUS MEETING</b>	95 - 98
<b>13</b>	<b>DATES AND TIMES OF MEETINGS</b> The Committee will meet at 6.00pm in the Town Hall on the following date:  29 June 2016	

## **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; licenses 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.

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