

Agenda

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Audit and Governance Committee

Date: **Wednesday 29 June 2016**

Time: **6.00 pm**

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

For any further information please contact:

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Officer**

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As a matter of courtesy, if you intend to record the meeting please let the Contact Officer know how you wish to do this before the start of the meeting.

Audit and Governance Committee

Membership

Chair

Vice-Chair

Councillor James Fry
Councillor Jean Fooks
Councillor Van Coulter
Councillor Chewe Munkonge
Councillor Michele Paule
Councillor Marie Tidball
Councillor David Thomas

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

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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 requirements. Paper copies may be looked at the Town Hall Reception and at Customer Services, St Aldate's.

A copy of the agenda may be:-

- Viewed on our website – mycouncil.oxford.gov.uk
- Downloaded from our website
- Subscribed to electronically by registering online at mycouncil.oxford.gov.uk

AGENDA

Pages

- | | | |
|---|--|-----------|
| 1 | APOLOGIES FOR ABSENCE | |
| 2 | ELECTION OF THE CHAIR FOR THE 2016/17 MUNICIPAL YEAR | |
| 3 | ELECTION OF THE VICE-CHAIR FOR THE 2016/17 MUNICIPAL YEAR | |
| 4 | DECLARATIONS OF INTEREST | |
| 5 | RISK MANAGEMENT REPORT: QUARTER 4 2015/16
Purpose of report: to update the Committee on both corporate and service risks as at the end of Quarter 4, 31 March 2016.

The Committee is recommended to discuss and note the report.

Officers have been invited to attend to answer the Committee's questions on the amber risks in planning and red risks in housing. | 9 - 16 |
| 6 | STATEMENT OF ACCOUNTS FOR THE YEAR ENDING 31 MARCH 2016

Report of the Head of Financial Services.

Purpose: to present the Council's Statement of Accounts for the year ending 31 March 2016 to the Audit and Governance Committee (attached as a supplement to this agenda).

Recommendation: that the Committee note the contents of the Statement of Accounts certified by the Head of Financial Services (Section 151 Officer) prior to their submission to the external auditors. | 17 - 174 |
| 7 | ANNUAL GOVERNANCE STATEMENT 2015/2016

Report of the Head of Law and Governance – to follow.

Purpose: to present the 2015/16 Annual Governance Statement for approval (attached as an appendix to the report).

Recommendation: to approve the 2015/16 Annual Governance Statement. | |
| 8 | EXTERNAL AUDIT : AUDIT PROGRESS REPORT FOR YEAR ENDING MARCH 2016

The External Auditors, Ernst and Young, have submitted their Audit Progress | 175 - 180 |

Report.

Purpose:

- to provide the Committee with an overview of the progress made with the work needed to complete the 2015/16 audit.
- to ensure that the audit is aligned with the Committee's service expectations.

The Committee is asked to discuss this report and any other matters which members consider may influence the audit.

9 EXTERNAL AUDIT: ANNUAL AUDIT AND CERTIFICATION FEES FOR AUDIT OF YEAR ENDING MARCH 2017 181 - 184

The External Auditor has submitted a letter setting out the audit and certification work and indicative fees for the 2016/17 financial year.

The Committee is asked to discuss and note this letter.

10 INTERNAL AUDIT: ANNUAL REPORT 2015-16 185 - 204

Report of the internal auditor.

Purpose: This report details the work undertaken by internal audit for Oxford City Council and provides an overview of the effectiveness of the controls in place for 2015-16.

Recommendation: to discuss and note the report.

11 INTERNAL AUDIT: PROGRESS REPORT TO JUNE 2016 205 - 216

Report of the internal auditor.

Purpose: to inform the Committee of progress made against the 2015/16 and 2016/17 internal audit plans.

Recommendation: to discuss and note the report.

12 INTERNAL AUDIT: AUDIT REPORTS TO COMMITTEE JUNE 2016

Reports of the internal auditor.

Purpose: to consider the reports and recommendations from audits identifying medium-level risks.

Recommendation: to discuss and note the reports.

a INTERNAL AUDIT REPORT - BUSINESS IMPROVEMENT AND TECHNOLOGY 217 - 234

Report attached.

b INTERNAL AUDIT - EMPTY AND VOID PROPERTY MANAGEMENT REPORT 235 - 258

Report attached.

13 INTERNAL AUDIT: FOLLOW UP OF RECOMMENDATIONS TO JUNE 2016 259 - 276

Report of the internal auditor.

Purpose: to inform the Committee of progress on those recommendations raised by Internal Audit which are due for implementation.

Recommendation: the Committee are asked to consider and note the report.

14 OFFICER EXECUTIVE DECISIONS FEB 2016 TO JUNE 2016

Report of the Head of Law and Governance – report to follow

Purpose: to inform the Committee of the Officer Executive Decisions taken since the last meeting.

Recommendation: that the Committee note the report and the decisions taken.

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 on the grounds that their presence could involve the likely disclosure of exempt information as described in specific paragraphs of Schedule I2A of the Local Government Act 1972.

The Committee may maintain the exemption 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.

15 INVESTIGATION TEAM PERFORMANCE FOR FINANCIAL YEAR 2015/16 277 - 286

Purpose of report: to appraise Members of the activity and performance of the Corporate Investigation Team for the period 1 April 2015 to 31 March 2016.

Recommendation: That the report be noted.

16 MINUTES OF THE PREVIOUS MEETING 287 - 290

Minutes of the meeting held on 1 March 2016.

The Committee is asked to approve these as a correct record.

17 DATES AND TIMES OF MEETINGS

The Committee is asked to agree if it wishes to meet on its scheduled dates at 6.00pm or vary the dates or start time:

21 September 2016

14 December 2016

1 March 2017

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.