

**Committee:**           **Accounts, Audit and Risk Committee**

**Date:**               **Tuesday 6 December 2016**

**Time:**              **6.30 pm**

**Venue:**             **Bodicote House, Bodicote, Banbury, OX15 4AA**

### **Membership**

<b>Councillor Mike Kerford-Byrnes (Chairman)</b>	<b>Councillor Ian Corkin (Vice-Chairman)</b>
<b>Councillor Hugo Brown</b>	<b>Councillor Sean Gaul</b>
<b>Councillor Nicholas Mawer</b>	<b>Councillor Barry Richards</b>
<b>Councillor Tom Wallis</b>	<b>Councillor Sean Woodcock</b>

## **AGENDA**

**1. Apologies for Absence and Notification of Substitute Members**

**2. Declarations of Interest**

Members are asked to declare any interest and the nature of that interest which they may have in any of the items under consideration at this meeting.

**3. Petitions and Requests to Address the Meeting**

The Chairman to report on any requests to submit petitions or to address the meeting.

**4. Urgent Business**

The Chairman to advise whether they have agreed to any item of urgent business being admitted to the agenda.

**5. Minutes (Pages 1 - 6)**

To confirm as a correct record the Minutes of the meeting of the Committee held on 21 September 2016.

**6. Chairman's Announcements**

To receive communications from the Chairman.

**7. Internal Audit - Progress Report 2016/17 (Pages 7 - 10)**

Report of Chief Finance Officer

**Purpose of report**

To receive PwC's verbal progress report summarising their internal audit work to date.

**Recommendations**

The meeting is recommended:

- 1.1 To note the internal audit progress 2016/17 verbal update.

**8. External Audit: Annual Audit Letter 2015/16 (Pages 11 - 40)**

Report of Chief Finance Officer

**Purpose of report**

To allow Members to consider the Ernst and Young LLP Annual Audit Letter. This includes comments on the external audit of the 2015/16 Statement of Accounts.

**Recommendations**

The meeting is recommended to:

- 1.1 consider the key issues raised in the Letter

**9. Corporate Fraud Team Update (Pages 41 - 66)**

Report of Chief Finance Officer

**Purpose of report**

To provide members of Accounts, Audit and Risk Committee with an update on the joint Corporate Fraud team including a progress report for quarter two of 2016-2017 and to present members with the updated Joint Sanctions and Prosecutions Policy.

**Recommendations**

The meeting is recommended:

- 1.1 To note the contents of the report
- 1.2 To consider and endorse the updated Joint Sanctions and Prosecutions Policy

**10. Quarter Two Risk Review 2016-17 (Pages 67 - 88)**

Report of Director - Strategy and Commissioning

**Purpose of report**

To update the Committee on the management of Strategic, Corporate and Partnership risks during the second quarter of 2016/17.

**Recommendations**

The meeting is recommended:

- 1.1 To review the full Strategic, Corporate and Partnership Risk Register for 2016/17 and identify any issues for further consideration or referral to Executive.
- 1.2 To note the risk exceptions highlighted and proposed actions.

**11. Q2 Treasury Management Report (Pages 89 - 94)**

Report of Chief Finance Officer

**Purpose of report**

To receive information on treasury management performance and compliance with treasury management policy for 2016/17 as required by the Treasury Management Code of Practice.

**Recommendations**

The meeting is recommended:

- 1.1 To note the contents of the second quarter (Q2) Treasury Management Report.

**12. Work Programme (Pages 95 - 96)**

To consider and review the Work Programme.

**13. Exclusion of the Press and Public**

The following reports contain exempt information as defined in the following paragraph of Part 1, Schedule 12A of Local Government Act 1972.

3– Information relating to the financial or business affairs of any particular person (including the authority holding that information).

Members are reminded that whilst the following item(s) have been marked as exempt, it is for the meeting to decide whether or not to consider each of them in private or in public. In making the decision, members should balance the interests of

individuals or the Council itself in having access to the information. In considering their discretion members should also be mindful of the advice of Council Officers.

Should Members decide not to make a decision in public, they are recommended to resolve as follows:

“That under Section 100A of the Local Government Act 1972, the public and press be excluded from the meeting for the following items of business on the grounds that, if the public and press were present, it would be likely that exempt information falling under the provisions of Schedule 12A, Part I, Paragraph 3 would be disclosed to them, and that in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.”

14. **Q2 Treasury Management Report - Exempt Appendix** (Pages 97 - 98)

15. **Finance Improvement Plan - Update** (Pages 99 - 106)

Exempt report of Chief Finance Officer

**Councillors are requested to collect any post from their pigeon hole in the Members Room at the end of the meeting.**

## **Information about this Meeting**

### **Apologies for Absence**

Apologies for absence should be notified to [democracy@cherwellandsouthnorthants.gov.uk](mailto:democracy@cherwellandsouthnorthants.gov.uk) or 01295 227956 prior to the start of the meeting.

### **Declarations of Interest**

Members are asked to declare interests at item 2 on the agenda or if arriving after the start of the meeting, at the start of the relevant agenda item.

### **Local Government and Finance Act 1992 – Budget Setting, Contracts & Supplementary Estimates**

Members are reminded that any member who is two months in arrears with Council Tax must declare the fact and may speak but not vote on any decision which involves budget setting, extending or agreeing contracts or incurring expenditure not provided for in the agreed budget for a given year and could affect calculations on the level of Council Tax.

### **Evacuation Procedure**

When the continuous alarm sounds you must evacuate the building by the nearest available fire exit. Members and visitors should proceed to the car park as directed by Democratic Services staff and await further instructions.

## **Access to Meetings**

If you have any special requirements (such as a large print version of these papers or special access facilities) please contact the officer named below, giving as much notice as possible before the meeting.

## **Mobile Phones**

Please ensure that any device is switched to silent operation or switched off.

## **Queries Regarding this Agenda**

Please contact Aaron Hetherington, Democratic and Elections  
aaron.hetherington@cherwellandsouthnorthants.gov.uk, 01295 227956

**Sue Smith**  
**Chief Executive**

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