

Committee: Accounts, Audit and Risk Committee
Date: Wednesday 28 June 2017
Time: 6.30 pm
Venue: Bodicote House, Bodicote, Banbury, OX15 4AA

Membership

Councillor Ian Corkin (Chairman)
Councillor Sean Gaul
Councillor Nicholas Mawer
Councillor Tom Wallis

Councillor Hugo Brown (Vice-Chairman)
Councillor Mike Kerford-Byrnes
Councillor Barry Richards
Councillor Sean Woodcock

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 22 March 2017 and 16 May 2017.

6. Chairman's Announcements

To receive communications from the Chairman.

7. External Audit Progress Report (verbal)

Verbal update by Chief Finance Officer

8. External Audit Letter to the Committee (Pages 7 - 16)

Report of the Chief Finance Officer

Purpose of report

The purpose of this report is to inform members of the response to the Ernst Young letter to the Chairman of this Committee.

Recommendations

The meeting is recommended:

- 1.1 To approve the response to external audit's request for management assurances from Those Charged With Governance in Appendix 1.

9. Internal Audit - Annual Report for 2016/17 and Progress Report 2017/18 (Pages 17 - 90)

** Please note that Appendix 1 to this report will follow as it is currently being reviewed and finalised **

Report of the Chief Finance Officer

Purpose of report

To receive PwC's annual report for 2016/17, internal audit reports finalised since the last meeting and the CWAS progress report for 2017/18.

Recommendations

The meeting is recommended to note:

- 1.1 The contents of the 2016/17 annual report from PWC and audit reports finalised since the last meeting.
- 1.2 The contents of the 2017/18 progress report from CWAS.

10. Corporate Fraud Team Update (Pages 91 - 112)

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 an end of year performance summary for 2016-2017 and to present members with the Corporate Fraud Business Plan for 2017-2018.

Recommendations

The meeting is recommended:

- 1.1 To note the contents of the report
- 1.2 To request that members consider and endorse the Corporate Fraud Business Plan for 2017-2018.

11. End of year Risk Review 2016-17 (Pages 113 - 132)

Report of Director - Strategy and Commissioning

Purpose of report

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

Recommendations

The meeting is recommended:

- 1.1 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 Note the risk exceptions highlighted and the risks continuing into 2017/18.

12. 2016/17 Treasury Management Annual Report (Pages 133 - 136)

** Appendix 1 to this report will follow as it is currently being reviewed and finalised
**

Report of the Chief Finance Officer

Purpose of report

This report presents information on treasury management performance and compliance with treasury management policy during 2016/17 as required by the Treasury Management Code of Practice.

Recommendations

- 1.1 To note the contents of this report in line with the Treasury Management Strategy.

13. Annual Governance Statement 2016/17 (Pages 137 - 156)

Report of the Chief Finance Officer

Purpose of report

To report the Annual Governance Statement. The Annual Governance Statement will be considered at the same time as the Statement of Accounts for 2016/17.

Recommendations

The meeting is recommended:

- 1.1 The Committee is recommended to consider and endorse the Annual Governance Statement 2016/17 (Appendix 1).

14. Housing Benefit and Council Tax Reduction Risk Based Verification Policy (Pages 157 - 170)

Report of the Chief Finance Officer

Purpose of report

To seek support from members of this Committee for the introduction of a Risk Based Verification Policy for new claims for Housing Benefit and Council Tax Reduction with effect from 28th June 2017 or from the date that the Benefits work is insourced from Capita and the Academy processing system is introduced whichever is the later.

Recommendations

The meeting is recommended:

- 1.1 To note the contents of this report.
- 1.2 To recommend to the section 151 officer the adoption of the Risk Based Verification Policy in determining the evidence requirements for the assessment of new Housing Benefit and Council Tax Reduction claims.

15. KPMG NNDR Audit Follow-up (Pages 171 - 204)

Report of the Chief Finance Officer

Purpose of report

The purpose of this report is to inform members of the findings of the KPMG follow-up review of their NNDR report.

Recommendations

The meeting is recommended:

1.1 To note the report.

16. Closedown Update (verbal)

Verbal update by Chief Finance Officer

17. Work Programme (Pages 205 - 206)

To consider and review the Work Programme.

18. Exclusion of Press and Public

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

2 – Information which is likely to reveal the identity of an individual.

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 item 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, Paragraphs 2 and 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.”

19. Corporate Fraud Team Update - Exempt Appendices (Pages 207 - 246)

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 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

Ian Davies
Interim Head of Paid Service

Published on Tuesday 20 June 2017