

Audit and Governance Committee Agenda



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A meeting of the
Audit and Governance Committee
will be held on Wednesday 11 July 2012 at 6.30pm
Abbey House, Abingdon, OX14 3JE

Members of the Committee:

Councillors

Mike Murray (Chairman)	Jane Crossley
Simon Howell (Vice-Chairman)	Dudley Hoddinott
Mike Badcock	Kate Precious
Julia Bricknell	Judy Roberts
Andrew Crawford	Robert Sharp

A large print version of this agenda is available. In addition any background papers referred to may be inspected by prior arrangement.

Please note that this meeting will be held in a wheelchair accessible venue. If you would like to attend and have any special access requirements, please let the Democratic Services Officers know beforehand and they will do their very best to meet your requirements.

A handwritten signature in black ink, appearing to read "M Reed".

Margaret Reed
Head of Legal and Democratic Services

Agenda

Open to the Public including the Press

Map and vision

(Page 6)

A map showing the location of the venue for this meeting is attached. A link to information about nearby car parking is http://www.whitehorsedc.gov.uk/transport/car_parking/default.asp

The council's vision is to take care of your interests across the Vale with enterprise, energy and efficiency.

1. Notification of substitutes and apologies for absence

To record apologies for absence and the attendance of substitute councillors.

2. Declarations of interest

To receive any declarations of personal or personal and prejudicial interests in respect of items on the agenda for this meeting.

3. Urgent business and chairman's announcements

To receive notification of any matters, which the chairman determines should be considered as urgent business and the special circumstances that have made the matters urgent, and to receive any announcements from the chairman.

4. Statements, petitions and questions from the public relating to matters affecting the Audit and Governance Committee

To receive any statements, petitions and questions from the public under standing order 32.

5. Health and safety annual report

(Pages 7 - 23)

To consider the report of the head of corporate strategy. Reporting officer: Sally Truman

Purpose: To scrutinise the councils' progress against our statutory health and safety responsibilities.

Recommendation: To note the annual Health and Safety report and endorse the health and safety action plan for 2012/13

6. May 2011 district and parish council elections

(Pages 24 - 29)

To consider the report of the chief executive and returning officer. Reporting officer: David Buckle

Purpose: To provide information to the committee on the cost of and accounting arrangements for the district and parish council elections in May 2011.

Recommendation: To note the information provided in the report on the costs of and accounting arrangements for the May 2011 elections.

7. Complaints procedure

(Pages 30 - 38)

To consider strategic management team's report. Reporting officer: David Buckle

Purpose: To seek agreement to proposed changes to the corporate complaints system.

Recommendations: To

1. approve the revised corporate complaints procedure attached as appendix one to this report; and
2. carry out a short review of the complaints procedure every twelve months and a thorough evaluation every three years.

8. Code of conduct procedure

(Pages 39 - 69)

To consider the report of the head of legal and democratic services. Reporting officer: Margaret Reed

Purpose: To adopt procedures for dealing with code of conduct complaints and to note the frequently asked questions that we will publish on the council's website to help people understand the process for dealing with code of conduct complaints.

Recommendations: To

1. adopt the procedures for dealing with code of conduct complaints set out in appendix 1 to this report with effect from 12 July 2012 and in place of the council's existing arrangements for dealing with code of conduct complaints;
2. authorise the monitoring officer to make minor amendments to the procedures including minor or consequential amendments required for clarification, consistency and compliance with the council's style guide;
3. note the document entitled Code of conduct complaints: frequently asked questions that will provide information for members of the public when making code of conduct complaints.

9. Treasury management strategy update

(Pages 70 - 86)

To consider the head of finance's report. Reporting officer: Bob Watson

Purpose: to inform the committee of two changes made to the Treasury Management Strategy approved by Council in February 2012. The strategy approved by Council on 22 February 2012 is appended from page 72.

Recommendation: To note the changes to the treasury management strategy.

10. Statement of accounts 2011/12

To receive the draft statement of accounts for 2011/12 (see separate document). Reporting

officer: William Jacobs

Purpose: To consider the process for the production of the statement of accounts.

11. Internal audit annual report 2011/12

(Pages 87 - 129)

To consider the audit manager's report. Reporting officer: Adrianna Partridge

Purpose: to report on the work of internal audit in the year ended 31 March 2012, and to advise the committee of the audit manager's opinion on the overall adequacy and effectiveness of the internal control environment. This looks at:

- systemic control weaknesses
- planned, unplanned and follow-up audits
- self-assessment
- feedback on the internal audit service

Recommendation: to note the report.

12. Internal audit management report - quarter 1, 2012/13

(Pages 130 - 140)

To consider the audit manager's report. Reporting officer: Adrianna Partridge

Purpose: To report on management issues within internal audit; to summarise the progress against the 2012/13 audit plan up to 20 June 2012; and to summarise the priorities for quarter two 2012/13. Appendix 2 shows the audit plan schedule for 2012/13; this appears on pages 139-140.

Recommendation: to note the report.

13. Internal audit activity report - quarter 1, 2012/13

(Pages 141 - 154)

To consider the audit manager's report. Reporting officer: Adrianna Partridge

Purpose: To summarise the outcomes of recent internal audit activity for the committee to consider. The committee is asked to review the report and the main issues arising, and seek assurance that action will be/has been taken where necessary.

Recommendation: to note the report.

14. Comments on internal audit reports not presented to committee

(Pages 155 - 160)

To consider the audit manager's report. Reporting officer: Adrianna Partridge

If committee members have any comments/questions on any of the internal audit reports not presented to the committee, they should submit these in advance of the meeting to the audit manager.

Purpose: To respond to questions raised on internal audit reports not presented to committee from quarter 1 2012/13.

Recommendation: To note the report.

15. Draft annual governance statement 2011/12

(Pages 161 - 183)

To consider the draft annual governance statement 2011/12. Reporting officer: Steve Culliford

Recommendation: To comment on the draft annual governance statement.

16. Audit Commission: verbal update on transition to Ernst & Young

To consider a verbal update from the Audit Commission on the transition to Ernst & Young.

17. Letter to the Audit Commission - understanding how the committee gains assurance from management

(Pages 184 - 190)

To note the chairman's attached response to the Audit Commission on understanding how the committee gains assurance from management.

18. Minutes

(Pages 191 - 198)

To adopt and sign as a correct record the minutes of the meeting of the committee held on 21 March 2012.

19. Actions arising

(Pages 199 - 202)

To consider the strategic director's report. Reporting officer: Steve Bishop

Purpose: To review the actions arising from the last two committee meetings and receive an update on progress.

20. Audit and governance work programme

(Pages 203 - 208)

To review the audit and governance work programme and note the training programme.
Reporting officer: Steve Culliford

Exempt information under Section 100A(4) of the Local Government Act 1972

None