



# Audit Committee

**A meeting of the Audit Committee will be held as a Remote meeting on Thursday 30 July 2020 at 5.00 pm**

## Agenda

<b>1</b>	<b>Apologies for Absence and Notification of Substitute Members</b>
<b>2</b>	<b>Declarations of Interest</b> 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.
<b>3</b>	<b>Minutes</b> (Pages 7 - 10) To confirm the Minutes of the meeting of the Committee held on 28 May 2020.
<b>4</b>	<b>Chairman's Announcements</b> To receive communications from the Chairman.
<b>5</b>	<b>Urgent Business</b> The Chairman to advise whether they have agreed to any items of urgent business being admitted to the agenda.
<b>6</b>	<b>Draft External Audit Results 2019/20</b> (Pages 11 - 58) Report of the Executive Director – Finance <b>Purpose of report</b> To receive a draft report setting out the External Audit Results for 2019/20. <b>Recommendations</b> The meeting is recommended:  1.1 To note the contents of the draft External Audit Results for 2019/20 from our External Auditors, Ernst & Young (EY).

<p><b>7</b></p>	<p><b>Internal Audit Annual Report &amp; Opinion 2019/20</b> (Pages 59 - 72)  Report of the Executive Director – Finance</p> <p><b>Purpose of report</b></p> <p>To receive the CW Audit Service Annual Report and Audit Opinion 2019/20.</p> <p><b>Recommendations</b></p> <p>The meeting is recommended:</p> <p>1.1 To note the contents of the 2019/20 Internal Audit Annual Report &amp; Opinion from CW Audit Services.</p>
<p><b>8</b></p>	<p><b>Internal Audit Update July 2020</b> (Pages 73 - 84)  Report of the Executive Director – Finance</p> <p><b>Purpose of report</b></p> <p>To receive the CW Audit Service Update Report for July 2020.</p> <p><b>Recommendations</b></p> <p>The meeting is recommended:</p> <p>1.1 To note the contents of the July 2020 Internal Audit Update Report from CW Audit Services.</p>
<p><b>9</b></p>	<p><b>Quarterly Performance, Risk and Finance Monitoring Report - June 2020</b>  Report of the Assistant Director – Customers and Corporate Services</p> <p>Please note, that the report and appendices will be to follow.</p>
<p><b>10</b></p>	<p><b>Revised Anti-Money Laundering Policy</b> (Pages 85 - 106)  Report of the Executive Director – Finance</p> <p><b>Purpose of report</b></p> <p>To present for approval a revised Anti-Money Laundering Policy.</p> <p><b>Recommendations</b></p> <p>The meeting is recommended:</p> <p>1.1 To approve the revised Anti-Money Laundering Policy contained at Appendix 1.</p>
<p><b>11</b></p>	<p><b>Revised Whistleblowing Policy</b> (Pages 107 - 116)</p>

	<p>Report of the Executive Director – Resources</p> <p><b>Purpose of report</b></p> <p>To present for approval a revised Whistleblowing Policy.</p> <p><b>Recommendations</b></p> <p>The meeting is recommended:</p> <p>1.1 To approve the Revised Whistleblowing Policy contained at Appendix 1.</p>
12	<p><b>Treasury Management Report - Q1 - June 2020</b> (Pages 117 - 124)</p> <p>Report of the Executive Director – Finance</p> <p><b>Purpose of report</b></p> <p>To receive information on treasury management performance and compliance with treasury management policy for 2020/21 as required by the Treasury Management Code of Practice.</p> <p><b>Recommendations</b></p> <p>The meeting is recommended:</p> <p>1.1 To note the contents of the Q1 June 2020 Treasury Management Report.</p>
13	<p><b>Review of Committee Work Programme</b> (Pages 125 - 126)</p> <p>To review and note the Committee Work Programme.</p>
14	<p><b>Exclusion of Press and Public</b></p> <p>The following items contain exempt information as defined in the following paragraphs of Part 1, Schedule 12A of Local Government Act 1972.</p> <p>3– Information relating to the financial or business affairs of any particular person (including the authority holding that information).</p> <p>7 – Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime.</p> <p>Members are reminded that whilst the following items 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.</p> <p>Should Members decide not to make a decision in public, they are recommended to resolve as follows:</p> <p>“That under Section 100A of the Local Government Act 1972, the public and press be</p>

	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, Paragraphs 3 and 7 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.”
<b>15</b>	<b>Exempt Appendix to Treasury Management Report - Q1 - June 2020</b> (Pages 127 - 128) To consider the exempt appendix to the Treasury Management Report – Q1 – June 2020.
<b>16</b>	<b>Progress of Counter Fraud Service</b> (Pages 129 - 134) Exempt report of the Senior Investigation Officer – Corporate Fraud Team

Richard Ellis  
Chief Executive  
22 July 2020

**Audit Committee Members:**

Councillor David Harries BEM (Chairman)

Councillor Hywel Davies (Vice-Chairman)

Councillor Anthony S. Bagot-Webb

Councillor Sandra Barnes MBE

Councillor Phil Bignell

Councillor Chris Lofts

### **Queries Regarding this Agenda**

If you have any queries about this agenda please contact Richard Woods, Democratic and Elections, [democracy@cherwellandsouthnorthants.gov.uk](mailto:democracy@cherwellandsouthnorthants.gov.uk), 01327 322043

### **Apologies for Absence**

Apologies for absence and appointment of substitutes should be notified to [democracy@cherwellandsouthnorthants.gov.uk](mailto:democracy@cherwellandsouthnorthants.gov.uk) 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.

### **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.