



To: **Members of the Audit & Governance Committee**

***Notice of a Meeting of the Audit & Governance
Committee***

Wednesday, 21 September 2022 at 2.00 pm

Council Chamber - County Hall, New Road, Oxford OX1 1ND

If you wish to view proceedings, please click on this [Live Stream Link](#) Please note, that will not allow you to participate in the meeting.

Stephen Chandler
Interim Chief Executive

September 2022

Committee Officers: **Chris Reynolds**
Email: chris.reynolds@oxfordshire.gov.uk

Membership

Chair – Councillor Roz Smith
Deputy Chair - Councillor Brad Baines

Councillors

Ted Fenton
Donna Ford
Nick Leverton

Ian Middleton
Freddie van Mierlo
Michele Paule

Freddie van Mierlo

Co-optee

Dr Geoff Jones

Notes:

- ***Date of next meeting: 23 November 2022***

Declarations of Interest

The duty to declare.....

Under the Localism Act 2011 it is a criminal offence to

- (a) fail to register a disclosable pecuniary interest within 28 days of election or co-option (or re-election or re-appointment), or
- (b) provide false or misleading information on registration, or
- (c) participate in discussion or voting in a meeting on a matter in which the member or co-opted member has a disclosable pecuniary interest.

Whose Interests must be included?

The Act provides that the interests which must be notified are those of a member or co-opted member of the authority, **or**

- those of a spouse or civil partner of the member or co-opted member;
- those of a person with whom the member or co-opted member is living as husband/wife
- those of a person with whom the member or co-opted member is living as if they were civil partners.

(in each case where the member or co-opted member is aware that the other person has the interest).

What if I remember that I have a Disclosable Pecuniary Interest during the Meeting?.

The Code requires that, at a meeting, where a member or co-opted member has a disclosable interest (of which they are aware) in any matter being considered, they disclose that interest to the meeting. The Council will continue to include an appropriate item on agendas for all meetings, to facilitate this.

Although not explicitly required by the legislation or by the code, it is recommended that in the interests of transparency and for the benefit of all in attendance at the meeting (including members of the public) the nature as well as the existence of the interest is disclosed.

A member or co-opted member who has disclosed a pecuniary interest at a meeting must not participate (or participate further) in any discussion of the matter; and must not participate in any vote or further vote taken; and must withdraw from the room.

Members are asked to continue to pay regard to the following provisions in the code that *“You must serve only the public interest and must never improperly confer an advantage or disadvantage on any person including yourself”* or *“You must not place yourself in situations where your honesty and integrity may be questioned.....”*.

Please seek advice from the Monitoring Officer prior to the meeting should you have any doubt about your approach.

List of Disclosable Pecuniary Interests:

Employment (includes *“any employment, office, trade, profession or vocation carried on for profit or gain”*.), **Sponsorship, Contracts, Land, Licences, Corporate Tenancies, Securities.**

For a full list of Disclosable Pecuniary Interests and further Guidance on this matter please see the Guide to the New Code of Conduct and Register of Interests at Members’ conduct guidelines. <http://intranet.oxfordshire.gov.uk/wps/wcm/connect/occ/Insite/Elected+members/> or email democracy@oxfordshire.gov.uk for a hard copy of the document.

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

AGENDA

1. Apologies for Absence and Temporary Appointments

2. Declaration of Interests - see guidance note

3. Minutes (Pages 1 - 12)

To approve the minutes of the last meeting.

4. Petitions and Public Address

5. Local Government Ombudsman's Review of Oxfordshire County Council (Pages 13 - 28)

Each year, the Local Government and Social Care Ombudsman (LGSCO) issues an Annual Review Report about each council. This relates to the complaints made to the LGSCO about the Council in the previous financial year. This report updates the Committee on this area of governance for the year 2021/22, reflecting on those complaints that were considered by the LGSCO up to March 2022.

6. Monitoring Officer Annual Report (Pages 29 - 38)

This report gives an overview from the Monitoring Officer of democratic and ethical governance activity, during the year 2021/22, in relation to the functions of the Committee. The report reflects on the implications of the pandemic for democratic decision making, the occurrence of code of conduct complaints and other member-related matters.

7. Draft Statement of Accounts 2021/22 (report to follow)

8. Review of the Financial Regulations - proposed changes to the Capital section' (Pages 39 - 56)

The Council is required, under the Local Government and Housing Act 1989, to follow proper accounting practices and to secure best value. All officers and members have a duty to abide by the highest standards of probity in dealing with financial issues.

9. Constitution Review - phase two (report to follow)

10. Surveillance Commissioner's Inspection and Regulation of Investigatory Powers Act (Pages 57 - 76)

The Regulation of Investigatory Powers Act 2000 ('the Act') creates a legal framework within which public bodies can lawfully carry out covert information gathering activities. Codes of Practice under the Act require that elected members review the Authority's use of activities within the scope of the Act periodically and review the Authority's Policy

annually. This report provides a summary of the covert activities undertaken by the council between April 2021 and March 2022 for review by the committee.

11. Ernst & Young - verbal update (Pages 77 - 116)

A verbal update from Ernst and Young representatives including Oxfordshire County Council Pension Fund Audit Results Report.

12. Internal Audit Plan - Progress Report (Pages 117 - 144)

This report provides an update on the Internal Audit Service, including resources, completed and planned audits.

13. Treasury Management Strategy Performance Report (Pages 145 - 160)

This report covers the treasury management activity for the first quarter of 2022/23 in compliance with the CIPFA Code of Practice on Treasury Management 2021. It provides an update on the anticipated position and prudential indicators set out in the Treasury Management Strategy Statement & Annual Investment Strategy for 2022/23 agreed as part of the council's budget and Medium Term Financial Strategy in February 2022

14. Annual Report of Health & Safety (Pages 161 - 190)

This annual report contains information about the work of the Corporate Health and Safety Team, the Council's health and safety performance over the year 2021/22 and its plans for 2022/23.

15. Risk Management (Pages 191 - 210)

This paper provides an update on Oxfordshire County Council's risk management strategy, training completed so far and revised strategic risk register.

Close of meeting

An explanation of abbreviations and acronyms is available on request from the Chief Internal Auditor.

Pre-Meeting Briefing

There will be a pre-meeting briefing at County Hall on **Date Not Specified** at **Time Not Specified** for the Chairman, Deputy Chairman and Opposition Group Spokesman.