



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

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

**Wednesday, 11 November 2020 at 1.00 pm**

**Virtual meeting via MS Teams**

Please note that due to guidelines imposed on social distancing by the Government, the meeting will be held virtually.

If you wish to view proceedings please click on this [Live Stream Link](#).

However, that will not allow you to participate in the meeting.

Yvonne Rees  
Chief Executive

November 2020

*Committee Officers:* Lucy Tyrrell, Tel 07741 607824; E-mail:  
[lucy.tyrrell@oxfordshire.gov.uk](mailto:lucy.tyrrell@oxfordshire.gov.uk)

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**Membership**

Chairman – Councillor Nick Carter  
Deputy Chairman - Councillor Tony Ilott

*Councillors*

Paul Buckley  
Dr Simon Clarke  
Charles Mathew

D. McIlveen  
Glynis Phillips  
Roz Smith

Vacancy

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*Co-optee*  
Dr Geoff Jones

**Notes:**

- ***There will be a pre-meeting held virtually on Monday 9 November 2020 at 2.30 p.m. for the Chairman, Deputy Chairman and Opposition Spokesman.***
- ***Date of next meeting: 13 January 2021***

## 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 contact Glenn Watson on **07776 997946** or [glenn.watson@oxfordshire.gov.uk](mailto:glenn.watson@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 - 8)

To approve the minutes of the meeting held on 16 September 2020 and to receive information arising from them.

## 4. Petitions and Public Address

This Cabinet meeting will be held virtually in order to conform with current guidelines regarding social distancing. Normally requests to speak at this public meeting are required by 9.00 a.m. on the day preceding the published date of the meeting. However, during the current situation and to facilitate these new arrangements we are asking that requests to speak are submitted by no later than 9.00 a.m. four working days before the meeting i.e. 9.00 a.m. on 5 November 2020. Requests to speak should be sent to [lucy.tyrrell@oxfordshire.gov.uk](mailto:lucy.tyrrell@oxfordshire.gov.uk) together with a written statement of your presentation to ensure that if the technology fails then your views can still be taken into account. A written copy of your statement can be provided no later than 9.00 a.m. 2 working days before the meeting.

Where a meeting is held virtually and the addressee is unable to participate virtually their written submission will be accepted.

Written submissions should be no longer than 1 A4 sheet.

## 5. OFRS Statement of Assurance 2019-20 (Pages 9 - 36)

1.10 p.m.

The Fire and Rescue National Framework for England (the Framework) sets out a requirement for fire and rescue authorities to provide an annual statement of assurance on financial, governance and operational matters and to show how they have due regard to the requirements of the Framework and the expectations set out in authorities' own integrated risk management plans.

To demonstrate this, the Framework requires that each authority must publish an annual statement of assurance. The Statement of Assurance 2019/20 document is intended to meet the obligation to produce this statement through reference to public webpages, existing reports and documents.

***The Audit & Governance committee is RECOMMENDED to approve the report in its entirety.***

**6. Provision Cycle (Pages 37 - 50)**

1.30 p.m.

Provision Cycle update to the Committee.

**7. Treasury Management Mid Term Review (Pages 51 - 70)**

2.00 p.m.

The report sets out the Treasury Management activity undertaken in the first half of the financial year 2020/21 in compliance with the CIPFA Code of Practice. The report includes Debt and Investment activity, Prudential Indicator monitoring and forecast interest receivable and payable for the financial year.

***The Audit & Governance Committee is RECOMMENDED to:***

- a) note the report, and***
- b) recommend Council to note the Council's Mid-Term Treasury Management Review 2020/21.***

**15 MINUTE BREAK SCHEDULED**

**8. External Auditors (Pages 71 - 172)**

2.45 p.m.

Representatives from Ernst & Young will attend to present the following:

- Oxfordshire County Council Draft Audit Results Report - Year ended 31 March 2020
- Oxfordshire Pension Fund 2019/20 Audit Results Report

**9. Counter-fraud Update (Pages 173 - 176)**

3.10 p.m.

This report presents an update on the Counter Fraud Arrangements.

***The committee is RECOMMENDED to comment and note the updated arrangements for Counter-Fraud.***

## 10. Redmond Review of Local Government Audit (Pages 177 - 186)

3.30 p.m.

In July 2019, upon the request of the Ministry of Housing, Communities and Local Government (MHCLG), Sir Tony Redmond commenced an independent review into the arrangements in place to support the transparency and quality of local authority financial reporting and external audit in England. The review received 156 responses to the Calls for Views and carried out more than 100 interviews. The report arising from the review was published on 8th September 2020. The key findings of the Review, summary of recommendations, and potential implications for the Council are set in this report.

***The Audit and Governance Committee is RECOMMENDED to note the findings of the Redmond review.***

## 11. Audit Working Group Report (Pages 187 - 190)

4.00 p.m.

This report presents the matters considered by the Audit Working Group Meeting of 21 October 2020.

***The Committee is RECOMMENDED to note the report.***

## 12. Carillion Update

4.15 p.m.

The Director for Property, Investment and Facilities Management will present a verbal update to the Committee.

## 13. Work Programme (Pages 191 - 192)

4.25 p.m.

To review the Committee's work programme.

**Close of meeting**

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

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