



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

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

**Wednesday, 22 July 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

July 2020

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

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**Membership**

Chairman – Councillor Nick Carter  
Deputy Chairman - Councillor Tony Illott

*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 Thursday 16 July 2020 at 9.30 a.m. for the Chairman, Deputy Chairman and Opposition Group Spokesman.***
- ***Date of next meeting: 16 September 2020***

## 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 27 May 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 16 July 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. Statement of Accounts 2019/20

1.10 p.m.

Report by the Director of Finance to follow.

## 6. Ernst & Young - Final Accounts Audit Progress (Pages 9 - 102)

1.40 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 Draft Audit Results Report

## 7. **Treasury Management Outturn 2019/20** (Pages 103 - 120)

2.00 p.m.

Report by Director of Finance.

The report sets out the Treasury Management activity undertaken in the financial year 2019/20 in compliance with the CIPFA Code of Practice. The report includes Debt and Investment activity, Prudential Indicator Outturn, Investment Strategy, and interest receivable and payable for the financial year.

***The Committee is RECOMMENDED to note the report, and to RECOMMEND Council to note the Council's Treasury Management Activity in 2019/20.***

**15 MINUTE BREAK SCHEDULED.**

## 8. **Annual Governance Statement** (Pages 121 - 140)

2.45 p.m.

Report by Monitoring Officer.

The Audit & Governance Committee has the responsibility of approving the Council's Annual Governance Statement (AGS) each year.

Local authorities are required to prepare an AGS to be transparent about their compliance with good governance principles. This includes reporting on how they have monitored and evaluated the effectiveness of their governance arrangements in the previous year and setting out any planned changes in the coming period.

This year, the coronavirus pandemic has affected both the timing and the content of the AGS. The timetable to produce the AGS was extended nationally. The Chartered Institute of Public Finance and Accounting has also advised that Statements should make specific reference to implications of the coronavirus pandemic for our governance.

Consequently, the AGS before you today sets out those implications and how the Council has addressed them. The Committee is asked to approve the AGS.

***The Audit & Governance Committee is RECOMMENDED to approve the Annual Governance Statement 2019/20, subject to the Monitoring Officer making any necessary amendments in the light of comments made by the Committee, after consultation with the Leader of the Council, the Chief Executive and the Section 151 officer.***

## 9. **Model Member Code of Conduct - Consultation from the LGA** (Pages 141 - 168)

3.15 p.m.

Report by the Monitoring Officer

The Local Government Association is consulting nationally on a Model Code of Member Conduct. This was drafted in response to a call to do so from the Committee on Standards in Public Life.

The Audit & Committee's role includes ethical governance for the Council including member conduct. The Committee is therefore invited to consider responding to the consultation on behalf of the Council.

This report outlines the extent of the consultation and the Council's own recent comments on member ethical governance. It also suggests how the Committee might wish to formulate comments ahead of the consultation deadline of 14 August 2020.

***The Committee is RECOMMENDED to:***

- (a) Consider the Local Government Association's potential Model Code of Member Conduct;***
- (b) Determine if the Committee wishes to respond to the national consultation on behalf of the Council; and if so***
- (c) Establish a cross-party task and finish group of the Committee to reply on behalf of the Council via the Monitoring Officer; and to***
- (d) Ask the Monitoring Officer to liaise with his colleagues in Oxfordshire's District Councils, and with the Oxfordshire Association of Local Councils, to share any comments made in response to the consultation.***

## **10. Internal Audit Charter (Pages 169 - 184)**

3.45 p.m.

Report by Director of Finance.

This report presents the Internal Audit Charter and Internal Audit Quality Assurance Programme for 2020/21. These are subject to annual review.

***The committee is RECOMMENDED to:***

- a) Approve the Internal Audit Charter.***
- b) Note the Quality Assurance and Improvement Programme.***

## **11. Internal Audit Update and 20/21 Plan (Pages 185 - 208)**

4.15 p.m.

Report by Director of Finance.

This report presents an Internal Audit update, including Internal Audit Plan for 2020/21.

*The committee is RECOMMENDED to comment and note the Internal Audit Plan for 2020/21.*

**12. Audit Working Group Report (Pages 209 - 212)**

4.45 p.m.

Report by Director of Finance.

This report presents the matters considered by the Audit Working Group Meeting of 24 June 2020.

*The Committee is RECOMMENDED to note the report.*

**13. Work Programme (Pages 213 - 214)**

4.55 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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