



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

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

Wednesday, 20 July 2022 at 2.00 pm

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

NB: There will be a training session prior to this meeting (12.45 – 1.45)

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

Stephen Chandler
Interim Chief Executive

12 July 2022

Scrutiny Officer: *Email: khalid.ahmed@oxfordshire.gov.uk*

Membership

Chair – Councillor Roz Smith
Deputy Chair - Councillor Brad Baines

Councillors

Ted Fenton
Donna Ford
Nick Leverton

Dan Levy
Ian Middleton
Freddie van Mierlo
Michele Paule

Judy Roberts
Vacancy

Co-optee

Dr Geoff Jones

Notes:

- ***Date of next meeting: 21 September 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 meetings of the Audit & Governance Committee held on 11 May 2022.

- 4. Petitions and Public Address**
- 5. Annual Governance Statement 2021/22 (Pages 13 - 36)**

2.10pm

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

The Audit & Governance Committee is RECOMMENDED to approve the Annual Governance Statement 2021/22, 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.

- 6. Ernst & Young - Update Audit**

To receive an oral update from Ernst & Young.

- 7. Statement of Accounts 2021/22 (Pages 37 - 38)**

Report by the Director of Finance.

This report sets out the latest position on the preparation and audit of the 2021/22 Statement of Accounts.

The Committee is RECOMMENDED to

Agree that the Director of Finance can approve a draft set of accounts by 29 July 2022.

- 8. Report of the Audit Working Group 22 June 2022 (Pages 39 - 42)**

Report by the Director of Finance.

This report presents the matters considered by the Audit Working Group at its meeting on meeting of 20 June 2022.

The Committee is RECOMMENDED to note the report.

9. Internal Audit Charter 2022/23 (Pages 43 - 58)

The report presents both the Internal Audit Charter and the Quality Assurance and Improvement Programme for 2022/23. 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.

10. Counter-fraud Plan 2022/23 (Pages 59 - 70)

This report presents a summary of activity against the Counter Fraud Plan for 2021/22, which was previously presented to the July 2021 Audit & Governance Committee meeting.

The reports also presents the Counter Fraud Plan for the coming year 2022/23. The Counter Fraud plan supports the Council's Anti-Fraud and Corruption Strategy by ensuring that the Council has proportionate and effective resources and controls in place to prevent and detect fraud as well as investigate those matters that do arise

The Committee is RECOMMENDED to

- a) Note the summary of activity against the Counter Fraud Plan for 2021/22.
- b) Note the Counter Fraud Plan for 2022/23.

Executive Summary

.

11. Update on Capital Governance (Pages 71 - 86)

To receive and update on Capital governance.

12. Amendments to the Council's Constitution and Its Presentation (Including Recommendations From The Constitution Review Working Group) (Pages 87 - 356)

The Committee is RECOMMENDED to recommend to Council to approve:

- (a) The changes to the presentation of the Constitution on the Council's website referred to in paragraphs 3 to 7 of the report
- (b) The video and diagram referred to in paragraphs 8 to 10 of the report for inclusion on the Council's website
- (c) The proposals for the incorporation of all of the current Articles into the main body of the Constitution referred to in paragraphs 11 to 13 of the report
- (d) The proposals for amendment to the Protocol on Members' Rights and Responsibilities, the Protocol on Member/Officer Relations, the Council Procedure Rules and the Contract Procedure Rules in the Constitution referred to in paragraphs 14 to 22 of the report; and
- (e) A delegation to the Director of Law and Governance to make textual amendments to the Constitution to address any inconsistencies or correct any cross-referencing errors

arising from or as a consequence of the amendments, along with updating job and group titles if those referred to in the Constitution are obsolete (insofar as the Director of Law and Governance does not already have such a delegation)

The Committee is also recommended:

(f) To note that the Code of Conduct adopted by Council on 5 April 2022 and the Current Scheme of Allowances referred to in paragraphs 23 to 24 below will be incorporated into the Constitution.

13. Proposed changes to the constitution of the Pension Fund Committee (Pages 357 - 364)

The Committee is RECOMMENDED to endorse the recommendations agreed by the Pension Fund Committee as set out below and RECOMMEND them to Council.

(a) That the contents of the report be noted.

(b) That approval be given to amend the Governance Policy to mandate all Members of the Committee to complete training in line with the Training Policy as set out in paragraph 18 of the report.

(c) That approval be given to only named substitutes of the Committee being allowed where they have completed training in line with the Training Policy.

(d) That Council be RECOMMENDED to make the appropriate changes to the Terms of Reference and Constitution of the Pension Fund Committee to formalise the new governance arrangements and

(e) That Audit and Governance Committee review the situation whereby Members of the Pension Fund Committee (and their trained substitute Members) and the Local Pension Board, be considered for an allowance due to the skills and expertise required in carrying out their roles.

14. Audit & Governance Committee Work Programme 2022/23 (Pages 365 - 366)

3.55 pm

To note the Audit & Governance Committee Work Programme 2022/23.

Close of meeting