



To: Members of the Audit & Governance Committee

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

**Wednesday, 11 September 2019 at 2.00 pm**

**Rooms 1&2 - County Hall, New Road, Oxford OX1 1ND**

Yvonne Rees  
Chief Executive

September 2019

Committee Officer: Colm Ó Caomhánaigh, Tel 07393 001096;  
E-mail: colm.ocaomhanaigh@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  
Les Sibley

Roz Smith

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*Co-optee*

Dr Geoff Jones

**Notes:**

- ***Private briefings with the Internal and External Auditors will take place in the Members' Boardroom at 1pm on the day of the Committee meeting.***
- ***There will be a pre-meeting briefing in the Members' Boardroom at County Hall on Friday 6 September 2019 at 9.30am for the Chairman, Deputy Chairman and Opposition Group Spokesman.***
- ***Date of next meeting: 13 November 2019***

## 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 17 July 2019 and to receive information arising from them.

## 4. Petitions and Public Address

## 5. Surveillance Commissioner's Inspection and Regulation of Investigatory Powers Act (Pages 9 - 22)

2.10pm

Report by the Monitoring Officer.

The Regulation of Investigatory Powers Act 2000 regulates the use of covert activities by Local Authorities. It creates the statutory framework by which covert surveillance activities may be lawfully undertaken. Special authorisation arrangements need to be put in place whenever a Local Authority considers commencing covert surveillance or considers obtaining information by the use of informants or officers acting in an undercover capacity.

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 paper provides a summary of the activities undertaken by Oxfordshire County Council that fall within the scope of this Act for the period from April 2018 to August 2019.

**The Committee is RECOMMENDED to:**

- a) **Consider and note the use of activities within the scope of the Regulation of Investigatory Powers Act by the Council, and**
- b) **Note the Policy document at Annex 1 and to comment on any changes to the Policy for Compliance with the Regulation of Investigatory Powers Act 2000 that the committee would wish the Monitoring Officer to consider.**

**6. Draft Risk and Opportunities Management Strategy 2019-21 (Pages 23 - 46)**

2.30pm

Report by the Interim Assistant Chief Executive

This report presents the draft Risk and Opportunities Management Strategy for 2019-21 which is due for consideration by Cabinet in October. If adopted, the Strategy will be the foundation for improvement of the Council's risk management framework.

**The Committee is RECOMMENDED to comment on the draft Risk and Opportunities Management Strategy, to inform any necessary revisions before Cabinet's consideration on 15 October.**

**7. External Auditors (Pages 47 - 74)**

2.50pm

A representative from the external auditors Ernst & Young will attend to present the following item:

- Annual Audit Letter

**8. Information Governance (To Follow)**

3.10pm

Report from the Director for Law and Governance.

This report will highlight the work of the Information Management team to give assurance on how these issues are handled within the Council.

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

**9. Local Government Ombudsman - Annual Review Report (Pages 75 - 94)**

3.30pm

Report by the Monitoring Officer.

Each year, the Local Government and Social Care Ombudsman (LGO) issues an Annual Review Report about each council in relation to the complaints made to the Ombudsman about that Council in the previous financial year. My report to this Committee therefore informs members about the LGO's Annual Review Report for Oxfordshire County Council for the year 2018/19.

**The Committee is RECOMMENDED to note and comment on this report and on the Local Government Ombudsman's Annual Review of Oxfordshire County Council for 2018/19.**

**10. Monitoring Officer Annual Report (Pages 95 - 106)**

3.50pm

Report by the Director of Law & Governance and Monitoring Officer.

The Audit and Governance Committee is responsible for promoting standards of conduct for elected councillors and co-opted members and for ensuring the integrity of the democratic decision-making process. Consequently, the Monitoring Officer reports annually to this Committee on relevant actions and issues that have occurred in the previous year. This report therefore summarises activities for the year 2018/19.

**The Committee is RECOMMENDED to consider and endorse the report.**

**11. Internal Audit Plan - Progress Report 2019/20 (Pages 107 - 122)**

4.10pm

Report by the Director of Finance.

This report presents the Internal Audit progress report for 2019/20.

**The Committee is RECOMMENDED to note the progress with the 2019/20 Internal Audit Plan and the outcome of the completed audits.**

**12. Audit Working Group Report (To Follow)**

4.30pm

Report by the Director for Finance.

This report presents the matters considered by the Audit Working Group Meeting of 4 September 2019.

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

**13. Work Programme (Pages 123 - 124)**

4.40pm

To review the Committee's work programme and meeting dates.

#### **14. Transformation Sub-Committee (Pages 125 - 130)**

**For information only** – Draft Minutes from the Transformation Sub-Committee meeting held on 25 July 2019.

**Close of meeting**

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

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