



To: Members of the Audit & Governance Committee

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

**Wednesday, 20 November 2013 at 2.00 pm**

**County Hall, Oxford, OX1 1ND**

*Peter G. Clark.*

Peter G. Clark  
County Solicitor

November 2013

Contact Officer:

**Deborah Miller**

Tel: (01865) 815384; E-Mail: [deborah.miller@oxfordshire.gov.uk](mailto:deborah.miller@oxfordshire.gov.uk)

**Andrea Newman**

Tel: (01865) 810283; E-Mail: [andrea.newman@oxfordshire.gov.uk](mailto:andrea.newman@oxfordshire.gov.uk)

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**Membership**

Chairman – Councillor David Wilmshurst  
Deputy Chairman - Councillor Charles Mathew

*Councillors*

Surinder Dhesi  
Janet Godden  
Sandy Lovatt

Caroline Newton  
Susanna Pressel  
Roz Smith

Lawrie Stratford

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*Co-optee*

Dr Geoff Jones

**Notes:**

- **Date of next meeting: 15 January 2014**



## **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 Rachel Dunn on (01865) 815279 or [Rachel.dunn@oxfordshire.gov.uk](mailto:Rachel.dunn@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 - 6)

To approve the minutes of the meeting held on 18 September 2013 (**AG3**) and to receive information arising from them.

4. **Petitions and Public Address**
5. **Treasury Management Mid Term Review 2013/14** (Pages 7 - 20)

2.10pm

Report by Lorna Baxter, Chief Finance Officer (**AG5**).

***The Committee is RECOMMENDED to note the report, and to RECOMMEND Cabinet to note the Council's Mid-Term Treasury Management Review 2013/14.***

6. **Audit Working Group Report** (Pages 21 - 26)

2.30pm

Report by the Chief Internal Auditor (**AG6**).

The report summarises the matters arising at the meetings of the 10 October and 7 November 2013.

***The Committee is RECOMMENDED to***

- (a) note the attached reports;***
- (b) the timetable of future meetings;***
- (c) Nominate one or two members to attend tender presentations for the new social care management information system;***
- (d) Suggest the Cabinet Member for Adult Social Care attends the presentations from potential suppliers for the new social care management information system.***

**7. Ernst & Young - Progress Report including Sector Up-date (Pages 27 - 44)**

**2.50pm**

Report by Maria Grindley, Audit Director, and Alan Witty, Audit Manager, Ernst & Young (**AG7**).

*The Committee is asked to note the report.*

**8. Review of Governance Arrangements (Pages 45 - 48)**

**3.20pm**

Report by Peter Clark, County Solicitor & Monitoring Officer (**AG8**).

The report is to inform Committee of the timetable of the Monitoring Officer's review of the governance arrangements and formation of an informal sounding board (comprising of 3 members of the Committee) to assist the Monitoring Officer.

*The Committee is RECOMMENDED to:*

- (a) Note the Monitoring Officer's proposed review of governance arrangements and the Committee's role in receiving interim and final reports;*
- (b) Nominate three councillors from the Committee to act as an informal sounding board for the Monitoring Officer during the conduct of the review.*

**9. Fire & Rescue Service Annual Statement of Assurance (Pages 49 - 78)**

**3.50pm**

Report by the Chief Fire Officer and Head of Community Safety (**AG9**).

The Fire and Rescue National Framework for England (the Framework) sets out a new 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 2012/13 document is intended to meet the obligation to produce this statement through reference to public webpages, existing reports and documents. The report was prepared following the Department for Communities and Local Government guidance on statements of assurance for fire and rescue authorities in England. The structure of the report was based on guidance contained in Chief Fire Officers Association (CFOA) Circular 2013-10 appendix - draft table of contents statement of assurance. The statement of assurance is intended to be

published on the public website only, it is not intended to produce hard copy versions.

The OCC Annual Governance Statement 2012/13 makes reference to the statement of assurance and provides a link to the web address. The statement of assurance should be signed on behalf of Oxfordshire County Council by Councillor Louise Chapman, Cabinet Member with responsibility for the fire and rescue service.

**RECOMMENDATION**

***The Audit and Governance Committee is asked to approve the publication of this Statement of Assurance 2012/13.***

**10. Committee Work Programme 2013/14 (Pages 79 - 80)**

**3.50pm**

To review / update the Committee's Work Programme **(AG10)**.

**4.00pm - Close of meeting**

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

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**Pre-Meeting Briefing**

There will be a pre-meeting briefing at County Hall on **Thursday, 14 November 2013** at **2.00pm, Meeting Room 1** for the Chairman, Deputy Chairman and Opposition Group Spokesman.