



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

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

Wednesday, 26 April 2017 at 1.00 pm

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

Peter G. Clark
Chief Executive

April 2017

*Committee Officers: Colm Ó Caomhánaigh, Tel 07393 001096; E-mail:
colm.oacaomhanaigh@oxfordshire.gov.uk*

Membership

Chairman – Councillor Sandy Lovatt
Deputy Chairman - Councillor David Wilmshurst

Councillors

David Bartholomew
Yvonne Constance OBE
Tim Hallchurch MBE

Nick Hards
Alison Rooke
Roz Smith

John Tanner

Co-optee

Dr Geoff Jones

Notes:

- ***Date of next meeting: 12 July 2017***

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 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 - 4)

To approve the minutes of the meeting held on 8 March 2017 (**AG3**) and to receive information arising from them.

4. Proposed change of meeting date

RECOMMENDATION: That the Committee agrees to change the date of the Committee meeting originally scheduled for 12 July 2017 to take place on 5 July 2017, starting at 2pm.

5. Petitions and Public Address

6. Annual Report of the Chief Internal Auditor 2016/17 (Pages 5 - 60)

1.10pm

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

This is the annual report of the Chief Internal Auditor, summarising the outcome of the Internal Audit work in 2016/17, and providing an opinion on the Council's System of Internal Control. The opinion is one of the sources of assurance for the Annual Governance Statement.

The committee is RECOMMENDED to consider and endorse this annual report.

7. Internal Audit Strategy & Annual Plan 2017/18 (Pages 61 - 72)

1.40pm

Report by the Director of Finance (**AG7**).

This report presents the Internal Audit Strategy and Annual Internal Audit Plan for 2017/18.

The committee is RECOMMENDED to:

- (a) **Approve the Internal Audit Strategy for 2017/18 and 2017/18 Internal Audit Plan; and,**
- (b) **Approve the 2017/18 Counter-Fraud Plan.**

8. Audit Committee Annual Report to Council 2016 (Pages 73 - 86)

2.10pm

Report by the Chairman of the Audit & Governance Committee to be presented to The Council (**AG8**).

The Annual Report sets out the role of the Audit & Governance Committee and summarises the work that has been undertaken both as a Committee and through the support of the Audit Working Group in 2016/17.

The Committee is RECOMMENDED to consider the Annual Report and suggest any additions or amendments.

9. Annual Scrutiny Report (Pages 87 - 110)

2.30pm

This Scrutiny Annual Report (**AG9**) provides a summary of the work of the council's overview and scrutiny function in 2016/17. This function includes the council's three Overview and Scrutiny Committees, and any Cabinet Advisory Groups which have been appointed by Cabinet in this time

The Committee is asked to consider the report prior to full Council in May.

10. External Auditors (Pages 111 - 116)

2.50pm

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

- Progress Report

11. OFRS Statement of Assurance 2016-17 (Pages 117 - 148)

3.10pm

Report by the Chief Fire Officer (**AG11**)

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 2016/17 document is intended to meet the obligation to produce this statement through reference to public webpages, existing reports and documents.

The Committee is RECOMMENDED to approve the report.

12. Annual Governance Statement (Pages 149 - 172)

3.40pm

Report by the Director of Law and Governance and Monitoring Officer (**AG12**).

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

Local authorities are required to prepare an AGS so as 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 actions in the coming period.

This report outlines the changes to the format of the Statement as recommended in good practice guidance, sets out a review of actions from last year's Statement and includes a proposed set of actions for the 2017/18 year.

The Committee is RECOMMENDED to approve the Annual Governance Statement 2016/17, subject to the Director of Law and Governance making any necessary amendments in the light of comments made by the Committee, after consultation with the Leader of the Council, Chief Executive and Section 151 officer.

13. Audit Working Group report (Pages 173 - 174)

4.00pm

Report by the Director of Finance (**AG13**)

This report presents the matters considered by the Audit Working Group Meeting of 5 April 2017.

The Committee is recommended to note the report.

14. Audit & Governance Committee Work Programme (Pages 175 - 176)

4.10pm

To review the Committee's Work Programme (**AG14**).

Close of meeting

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

Pre-Meeting Briefing

There will be a pre-meeting briefing at County Hall on **Date Not Specified** at **Time Not Specified** for the Chairman, Deputy Chairman and Opposition Group Spokesman.