



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

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

Wednesday, 10 January 2018 at 2.00 pm

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

Peter G. Clark
Chief Executive

December 2017

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

Membership

Chairman – Councillor Nick Carter
Deputy Chairman - Councillor Tony Ilott

Councillors

Paul Buckley
Ian Corkin
Helen Evans

Charles Mathew
D. McIlveen
Les Sibley

Roz Smith

Co-optee

Dr Geoff Jones

Notes:

- ***There will be a pre-meeting briefing at County Hall on Date Not Specified at 9.30am in the Members' Boardroom for the Chairman, Deputy Chairman and Opposition Group Spokesman.***
- ***Date of next meeting: 7 March 2018***

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 - 6)

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

4. Petitions and Public Address

5. Treasury Management Strategy Statement and Annual Investment Strategy for 2018/19 (Pages 7 - 32)

2.10pm

Report from the Director of Finance

The report contains the annual Treasury Management Strategy Statement and Annual Investment Strategy for 2018/19 in compliance with the CIPFA Code of Practice. The report sets out the borrowing and investment strategies for 2018/19 and relevant background information.

The Committee is RECOMMENDED to:

- a) **endorse the Treasury Management Strategy for 2018/19 as outlined in the report;**
- b) **note that due to the early timing of this report, Prudential Indicators i to vi have not been included in Appendix A as they are dependent on updates to the 2018 capital programme. Full indicators will be included when the report is considered by Council in February.**

6. Ernst & Young - Audit Plan (Pages 33 - 40)

2.40pm

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

- External Audit Progress Report

7. **Constitution Review** (Pages 41 - 44)

3.00pm

Report from the Director of Law and Governance and Chief Monitoring Officer.

Under the Constitution, the Monitoring Officer is required to monitor and review the operation of the Constitution to ensure that its aims, principles and requirements are given full effect. This includes making recommendations to Council on any necessary amendments. The Monitoring Officer is authorised to make any changes to the Constitution which are required to:

- Comply with the law
- Give effect to the decisions of Council (or Cabinet, Committees etc.)
- Correct errors and otherwise for accuracy or rectification

Other changes will only be made by Full Council, following a recommendation of the Monitoring Officer.

This report therefore asks the Audit & Governance Committee to consider the changes that will need to be notified and considered by Full Council in March 2018.

The issues are:

- A legal update of the Constitution to clarify the process on the re-election of a leader of the council, to comply with the Local Government Act 2000, for endorsement
- A summary of changes made by the Monitoring Officer in year for the reasons in paragraph 1 above, for noting.

The Committee is RECOMMENDED to:

- a) **endorse the proposed change to the Part 2, Article 6 ('The Cabinet') set out in paragraph 5 of this report;**
- b) **recommend the adoption of the change in (1) to Full Council; and**
- c) **note the changes made to the Constitution by the Monitoring Officer under delegated powers since the last annual Constitution Review report to Council (as outlined in Annex 1).**

8. **General Data Protection Regulations** (Pages 45 - 50)

3.20pm

Report from the Director for Law and Governance and Monitoring Officer

On 25 May 2018 the European Union General Data Protection Regulation (GDPR) will come into effect and will replace the Data Protection Act 1998 (DPA). Despite leaving the EU in 2019 the UK will still adopt the GDPR.

The aim of the GDPR is to protect all EU citizens from privacy and data breaches in an increasingly data-driven world that is vastly different from the time in which the Data Protection Act came into force in 1998. Although the key principles of data privacy still hold true, the new regulation reflects advances in technology, and represents a step increase in responsibilities for safeguarding personal data, and maintaining audit trails of what has been done with personal information, when it was done and why.

The report provides a high-level overview of the changes in the GDPR, the actions planned to implement and progress against those plans.

The Committee is RECOMMENDED to

- a) **note the contents of the report; and**
- b) **advise of areas of concern.**

9. Internal Audit Plan - Progress Report (Pages 51 - 86)

3.50pm

Report from the Director of Finance.

This report presents the Internal Audit progress report for 2017/18.

The committee is RECOMMENDED to note the progress with the 17/18 Internal Audit Plan and 17/18 Counter Fraud Plan and the outcome of the completed audits.

10. Audit Working Group Report (Pages 87 - 88)

4.10pm

This report presents the matters considered by the Audit Working Group Meeting of 6 December 2017.

The Committee is RECOMMENDED to note the report.

11. Work Programme (Pages 89 - 90)

4.20pm

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.
