



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

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

Wednesday, 13 January 2021 at 2.00 pm

Held virtually via MS Teams

Please note that due to guidelines imposed on social distancing by the Government, the meeting will be held virtually.

If you wish to view proceedings please click on this [Live Stream Link](#).
However, that will not allow you to participate in the meeting.

Yvonne Rees
Chief Executive

January 2021

*Committee Officers: Lucy Tyrrell, Tel 07741 607824; E-mail:
lucy.tyrrell@oxfordshire.gov.uk*

Membership

Chairman – Councillor Nick Carter
Deputy Chairman - Councillor Tony Ilott

Councillors

Paul Buckley
Dr Simon Clarke
Charles Mathew

D. McIlveen
Glynis Phillips
Roz Smith

Vacancy

Co-optee
Dr Geoff Jones

Notes:

- ***There will be a pre-meeting held virtually on Monday 11 January 2021 at 9.30 p.m. for the Chairman, Deputy Chairman and Opposition Spokesman.***
- ***There will be a private Treasury briefing for all Councillors at 1.00 p.m. on the day of the Committee meeting.***
- ***Date of next meeting: 3 March 2021***

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. **Petitions and Public Address**

This Committee meeting will be held virtually in order to conform with current guidelines regarding social distancing. Normally requests to speak at this public meeting are required by 9.00 a.m. on the day preceding the published date of the meeting. However, during the current situation and to facilitate these new arrangements we are asking that requests to speak are submitted by no later than 9.00 a.m. four working days before the meeting i.e. 9.00 a.m. on 7 January 2021. Requests to speak should be sent to lucy.tyrrell@oxfordshire.gov.uk together with a written statement of your presentation to ensure that if the technology fails then your views can still be taken into account. A written copy of your statement can be provided no later than 9.00 a.m. 2 working days before the meeting.

Where a meeting is held virtually and the addressee is unable to participate virtually their written submission will be accepted.

Written submissions should be no longer than 1 A4 sheet.

4. **Minutes (Pages 1 - 10)**

To approve the minutes of the meeting held on 11 November 2020 and to receive information arising from them.

5. **Treasury Management Strategy Statement and Annual Investment Strategy for 2021/22 (Pages 11 - 28)**

2.10 p.m.

The report contains the annual Treasury Management Strategy Statement and Annual Investment Strategy for 2021/22 in compliance with the CIPFA Code of Practice. The report sets out the borrowing and investment strategies for 2021/22 and relevant background information.

The Audit & Governance Committee is RECOMMENDED to endorse the Treasury Management Strategy for 2021/22 as outlined in the report.

6. Financial Management Code (Pages 29 - 36)

2.25 p.m.

Report by the Director of Finance.

The Chartered Institute of Public Finance and Accountancy (CIPFA) launched the Financial Management Code of Practice (FM Code) in November 2019. The FM Code was developed on behalf of the Ministry of Housing, Communities and Local Government (MHCLG) in the context of increasing concerns about the financial resilience and sustainability of local authorities.

The Committee is RECOMMENDED to note the Summary Compliance Assessment for 2020/21 (Annex 1).

7. Internal Audit Plan (Pages 37 - 52)

2.40 p.m.

Report by the Director of Finance.

This report presents the Internal Audit progress report for 2020/21.

The committee is RECOMMENDED to note the progress with the 20/21 Internal Audit Plan and the outcome of the completed audits.

8. Cyber Security/Cyber Scams (Pages 53 - 54)

2.55 p.m.

Report by Director of IT, Digital and Transformation

This report summarises key points regarding Oxfordshire County Council (OCC) Cyber Security posture.

The Committee is RECOMMENDED to note the report.

9. Provision Cycle update

3.10 p.m.

Jeremy Richards, Interim Head of Procurement will give a verbal update on the Provision Cycle to the Committee.

10. Highways Contract Update (Pages 55 - 56)

3.25 p.m.

A report to provide a quick update on Governance arrangements and the new payment management system

11. Audit Working Group Report (Pages 57 - 60)

3.40 p.m.

Report by the Director of Finance.

This report presents the matters considered by the Audit Working Group meeting of 16 December 2020.

The Committee is RECOMMENDED to note the report.

12. Members Advisory Panel (Pages 61 - 64)

3.50 p.m.

Report by the Director of Law & Governance and Monitoring Officer

The report sets out the decision taken by the Interim Monitoring Officer with regard to a Member's Code of Conduct Complaint on the advice of the Members' Advisory Panel.

The Committee is asked to note the decision of the Interim Monitoring Officer with regard to a Members' Code of Conduct Complaint concerning Cllr Liam Walker.

13. Work Programme (Pages 65 - 66)

3.55 p.m.

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.
