

Agenda

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Audit and Governance Committee

This meeting will be held on:

Date: **Tuesday 24 November 2020**

Time: **6.00 pm**

Place: **Zoom - Remote meeting**

For further information please contact:

Jennifer Thompson, Committee and Members Services Officer, Committee Services Officer

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Members of the public can attend to observe this meeting and.

- may register in advance to speak to the committee in accordance with the [committee's rules](#)
- may record all or part of the meeting in accordance with the Council's [protocol](#)

Information about speaking and recording is set out in the agenda and on the [website](#)

Please contact the Committee Services Officer to register to speak; to discuss recording the meeting; or with any other queries.

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All public papers are available from the calendar link to this meeting once published

Committee Membership

Councillors: Membership 7: Quorum 3: substitutes are permitted.

Councillor James Fry (Chair)

Councillor Chewe Munkonge (Vice-Chair)

Councillor Tiago Corais

Councillor Michael Gotch

Councillor Pat Kennedy

Councillor Craig Simmons

Councillor John Tanner

Apologies and notification of substitutes received before the publication are shown under *Apologies for absence* in the agenda. Those sent after publication will be reported at the meeting. Substitutes for the Chair and Vice-chair do not take on these roles.

Agenda

	Pages
1 Apologies for absence and substitutions	
2 Declarations of Interest	
3 Risk Management Report - Quarter 2 November 2020	7 - 18
Report of: the Head of Financial Services	
Purpose of report: to update the Committee on both corporate and service risks as at 30 September 2020.	
Recommendation: that the Committee reviews the risk management report and notes its contents	
4 Investigation Team Annual Report 2019-2020	19 - 32
Report of: the Head of Financial Services	
Purpose of report: to appraise Members of the activity and performance of the Counter Fraud Team for the fiscal year 1 April 2019 to 31 March 2020.	
Recommendation: to discuss and note the report	
5 Internal Audit Progress report - Quarter 2 November 2020	33 - 48
Report of: the internal auditor BDO.	
Purpose of report: to inform the Committee on progress against the 2020/21 audit plan; the assessments of systems reviewed in this quarter; and the Local Government Sector update.	
Recommendation: to discuss and note the report.	
6 Internal Audit Recommendations follow up – Quarter 2 November 2020	49 - 58
Report of: the Internal Auditor BDO	
Purpose of report: to inform the Committee on progress on those recommendations raised by Internal Audit which are due for implementation.	

	Recommendation: to discuss and note the report.	
7	External Audit: Draft Audit results report for the year ending 31 March 2020	59 - 110
	Report of: the external auditor EY	
	Purpose of report: to inform the Committee of outcome of the audit of the accounts.	
	Recommendation: to discuss and note the report.	
8	Statement of accounts for the Year Ending 31 March 2020	111 - 124
	Report of: the Head of Financial Services	
	Purpose of report: to submit the Council's Statement of Accounts and Letter of Representation for approval and authorisation.	
	The Statement of Accounts and supporting documentation are attached as a separate supplement.	
	Recommendations: That the Committee:	
	1. approve the audited 2019/20 Statement of Accounts as certified by the Head of Financial Services and authorise the Chair of the Committee to sign the Accounts; and	
	2. approve the Letter of Representation to enable the opinion to be issued.	
9	Minutes of the previous meeting	125 - 130
	To approve as a true and accurate record the minutes of the meeting held on 30 July 2020.	
10	Dates and times of meetings	
	The Committee is scheduled to meet at 6.00pm on the following dates:	
	14 January 2021	
	22 April 2021	
	29 July 2021	
	Meetings will be on Zoom.	

Information for those attending

Recording and reporting on meetings held in public

Members of public and press can record, or report in other ways, the parts of the meeting open to the public. You are not required to indicate in advance but it helps if you notify the Committee Services Officer prior to the meeting so that they can inform the Chair and direct you to the best place to record.

The Council asks those recording the meeting:

- To follow the protocol which can be found on the Council's [website](#)
- Not to disturb or disrupt the meeting
- Not to edit the recording in a way that could lead to misinterpretation of the proceedings. This includes not editing an image or views expressed in a way that may ridicule or show a lack of respect towards those being recorded.
- To avoid recording members of the public present, even inadvertently, unless they are addressing the meeting.

Please be aware that you may be recorded during your speech and any follow-up. If you are attending please be aware that recording may take place and that you may be inadvertently included in these.

The Chair of the meeting has absolute discretion to suspend or terminate any activities that in his or her opinion are disruptive.

Councillors declaring interests

General duty

You must declare any disclosable pecuniary interests when the meeting reaches the item on the agenda headed "Declarations of Interest" or as soon as it becomes apparent to you.

What is a disclosable pecuniary interest?

Disclosable pecuniary interests relate to your* employment; sponsorship (ie payment for expenses incurred by you in carrying out your duties as a councillor or towards your election expenses); contracts; land in the Council's area; licenses for land in the Council's area; corporate tenancies; and securities. These declarations must be recorded in each councillor's Register of Interests which is publicly available on the Council's website.

Declaring an interest

Where any matter disclosed in your Register of Interests is being considered at a meeting, you must declare that you have an interest. You should also disclose the nature as well as the existence of the interest. If you have a disclosable pecuniary interest, after having declared it at the meeting you must not participate in discussion or voting on the item and must withdraw from the meeting whilst the matter is discussed.

Members' Code of Conduct and public perception

Even if you do not have a disclosable pecuniary interest in a matter, the Members' Code of Conduct says that a member "must serve only the public interest and must never improperly confer an advantage or disadvantage on any person including yourself" and that "you must not place yourself in situations where your honesty and integrity may be questioned". The matter of interests must be viewed within the context of the Code as a whole and regard should continue to be paid to the perception of the public.

*Disclosable pecuniary interests that must be declared are not only those of the member her or himself but also those member's spouse, civil partner or person they are living with as husband or wife or as if they were civil partners.