

Agenda

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Audit and Governance Committee

This meeting will be held on:

Date: **Wednesday 28 September 2022**

Time: **6.00 pm**

Place: **Long Room - Oxford Town Hall**

For further information please contact:

Lucy Tyrrell, 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 Tiago Corais

Councillor James Fry

Councillor Duncan Hall

Councillor Chris Jarvis

Councillor Dr Amar Latif

Councillor Chewe Munkonge

Councillor Roz Smith

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 Annual Governance Statement 2021/22	7 - 34
Report of: the Head of Law & Governance	
Purpose of report: to present the 2021/22 Annual Governance Statement for consideration and approval.	
Recommendation: that the Audit & Governance Committee resolves to:	
1. Approve the Annual Governance Statement for the 2021/22 financial year.	
2. Note that the Action Plan for 2022/23 will be reported at a future meeting.	
4 Risk Management Report: Quarter 2 30 September 2022	35 - 58
Report of: the Head of Financial Services	
Purpose of report: to update the Committee on both corporate and service risks as at 30 September 2022	
Recommendation: that the Committee reviews the risk management report and notes its contents.	
5 External Audit: Draft Audit Results Report for the year ended 31 March 2022 - verbal update	
6 Internal Audit: Progress Report September 2022	59 - 106
Report of: the Internal Auditor BDO	
Purpose of report: to inform the Committee on progress made against the Internal Audit work plan and on the outcome of their reviews (including the audit conclusion for Oxford Direct Services Limited and Oxford City Housing Limited).	
Recommendation: to discuss and note the report.	
7 Internal Audit: Follow Up Report September 2022	107 - 120
Report of: the Internal Auditor BDO	

	Purpose of report: to inform the Committee on the implementation of the recommendations from their previous internal audit reviews.	
	Recommendation: to discuss and note the report.	
8	Local Authority Audit Benchmarking Report	121 - 128
	Report of: the Internal Auditor BDO	
	Purpose of report: to provide comparative information across Local Authority clients relating to the internal audit assurance opinions provided in 2021-22, along the number and relative proportion of recommendations and the priority level assigned.	
	Recommendation: to discuss and note the report.	
9	Minutes of the previous meeting	129 - 134
	To approve as a true and accurate record the minutes of the meeting held on 27 July.	
10	Matters exempt from publication and exclusion of the public	
	If the Committee wishes to exclude the press and the public from the meeting during consideration of any aspects of the preceding agenda items it will be necessary for the Committee to pass a resolution in accordance with the provisions of Section 100A(4) of the Local Government Act 1972 specifying the grounds on which their presence could involve the likely disclosure of exempt information as described in specific paragraphs of Part 1 of Schedule 12A of the Act if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.	
	(The Access to Information Procedure Rules – Section 15 of the Council’s Constitution – sets out the conditions under which the public can be excluded from meetings of the Council).	
11	Confidential Minutes of the previous meeting	135 - 136
	To approve as a true and accurate record the confidential minutes of the meeting held on 27 July 2022.	
12	Dates and times of meetings	
	The Committee is scheduled to meet at 6.00pm in the Town Hall on the following dates:	

01 November 2022
18 January 2023
26 April 2023



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.