

Agenda

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Audit and Governance Committee

This meeting will be held on:

Date: **Wednesday 26 July 2023**

Time: **6.00 pm**

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

For further information please contact:

Lucy Brown, Committee and Members Services Officer,

☎ 01865 252784

✉ lbrown@oxford.gov.uk

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 Roz Smith

Councillor Imogen Thomas

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 Election of Chair for 2023/24	
3 Election of Vice Chair for 2023/24	
4 Declarations of Interest	
5 Investigation Team Annual Report 2022/23	9 - 18
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 2022 to 31 March 2023.	
Recommendation: That the report be noted .	
6 Avoiding Bribery, Fraud and Corruption Policy	19 - 38
Report of: Head of Financial Services	
Purpose of report: To present the reviewed Anti-Bribery, Fraud and Corruption Policy for approval and adoption.	
Recommendation: That the Committee approve the reviewed policy.	
7 Risk Management Report as at 30 June 2023	
Report from: Head of Financial Services	
Purpose of report: To update the Committee on both corporate and service risks as at 30 June 2023.	
Recommendation: That the Committee reviews the risk management report and notes its contents.	
<i>Report to follow</i>	
8 Update on 2021/22 Annual Accounts	
The external auditors, Ernst & Young, will provide a verbal update to the Committee.	

9	Annual Report and Statement of Assurance 2022-23	39 - 62
	Report of: The Internal Auditor, BDO.	
	Purpose of report: To inform the Committee on the details of the work undertaken by internal audit for Oxford City Council and provide an overview of the effectiveness of the controls in place for the full year.	
	Recommendation: To discuss and note the report.	
10	Internal Audit Progress Report - July 2023	
	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.	
	Recommendation: To discuss and note the report.	
	<i>Report to follow.</i>	
11	Internal Audit Follow Up Report - July 2023	
	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.	
	<i>Report to follow.</i>	
12	Recruitment and Retention Audit Update	63 - 68
	Report of: Head of Business Improvement	
	Purpose of Report: To update the committee on recruitment and retention challenges and action.	
	Recommendations: That the Committee resolves to:	
	1. To note the report.	
	2. To confirm the committee is satisfied with the approach.	
13	Regulation of Investigatory Powers Act 2000	69 - 84
	Report of: Head of Law and Governance	
	Purpose of report: To present the revised Regulation of Investigatory	

Powers Surveillance Policy and Procedure for approval and adoption.

Recommendation: That the Committee **approves** the revised Surveillance Policy and Procedure at Appendix 1 to the report.

14 Minutes of the previous meeting

85 - 90

To **approve** as a true and accurate record the minutes of the meeting held on 26 April 2023.

15 Dates and times of meetings

The Committee is scheduled to meet at 6.00pm in the Town Hall on the following dates:

- 27 September 2023
- 31 October 2023
- 17 January 2024
- 08 April 2024

16 Matters Exempt from Publication

If the Committee wishes to exclude the press and the public from the meeting during consideration of any of the items on the exempt from publication part of the agenda, it will be necessary for Cabinet to pass a resolution in accordance with the provisions of Paragraph 4(2)(b) of the Local Decisions come into effect after the latest of the expiry of the post-meeting councillor call in period; reconsideration of a called-in decision; or Council's agreement of recommendations. Oxford City Council, Town Hall, St Aldate's, Oxford OX1 1BX Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2012 on the grounds that their presence could involve the likely disclosure of exempt information as described in specific paragraphs of Schedule 12A of the Local Government Act 1972.

The Committee may maintain the exemption 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.

16a Investigation Team Annual Report 2022/23 - Confidential Appendix

91 - 92

This item includes exempt information pursuant to Paragraphs 2, 3 & 7 of Part 1 of Schedule 12A of the Local Government Act 1972. If

the Committee wishes to discuss matters relating to the information set out in Appendix 1 to the report, it will be necessary for the Committee to pass a resolution to exclude the press and public from the meeting (as set out at agenda item 16).

16b Internal Audit Annual Report and Annual Statement of Assurance - confidential appendix

93 - 96

This item includes exempt information pursuant to Paragraph 7 of Part 1 of Schedule 12A of the Local Government Act 1972. If the Committee wishes to discuss matters relating to the information set out in Appendix 1 to the report, it will be necessary for the Committee to pass a resolution to exclude the press and public from the meeting (as set out at agenda item 16).

17 Confidential minutes of the previous meeting

97 - 98

This item includes exempt information pursuant to Paragraph 7 of Part 1 of Schedule 12A of the Local Government Act 1972. If the Committee wishes to discuss matters relating to the information set out in the document, it will be necessary for the Committee to pass a resolution to exclude the press and public from the meeting (as set out in agenda item 16).

To **approve** as a true and accurate record the minutes of the meeting held on 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.