



MEETING: AUDIT AND GOVERNANCE COMMITTEE  
DATE: Wednesday 15th September, 2021  
TIME: 3.00 pm  
VENUE: Birkdale Room - Southport Town Hall, Lord Street, Southport, PR8 1DA

## Member

Councillor Robinson (Chair)  
Councillor Roche (Vice-Chair)  
Councillor D'Albuquerque  
Councillor Dowd  
Councillor McGinnity  
Councillor John Joseph Kelly  
Councillor Pugh  
Councillor John Sayers  
Councillor Shaw  
Councillor Sir Ron Watson

## Substitute

Councillor Bradshaw  
Councillor Page  
Councillor Riley  
Councillor Murphy  
Councillor Yvonne Sayers  
Councillor Spencer  
Councillor Lewis  
Councillor Sonya Kelly  
Councillor Evans  
Councillor Prendergast

COMMITTEE OFFICER: Ruth Appleby  
Democratic Services Officer  
Telephone: 0151 934 2181  
E-mail: [ruth.appleby@sefton.gov.uk](mailto:ruth.appleby@sefton.gov.uk)

**See overleaf for COVID Guidance and the requirements in relation to Public Attendance.**

**If you have any special needs that may require arrangements to facilitate your attendance at this meeting, please contact the Committee Officer named above, who will endeavour to assist.**

We endeavour to provide a reasonable number of full agendas, including reports at the meeting. If you wish to ensure that you have a copy to refer to at the meeting, please can you print off your own copy of the agenda pack prior to the meeting.

## **COVID GUIDANCE IN RELATION TO PUBLIC ATTENDANCE**

In light of ongoing Covid-19 social distancing restrictions, there is limited capacity for members of the press and public to be present in the meeting room indicated on the front page of the agenda at any one time. We would ask parties remain in the meeting room solely for the duration of consideration of the Committee report(s) to which their interests relate.

We therefore request that if you wish to attend the Committee to please register in advance of the meeting via email to [ruth.appleby@sefton.gov.uk](mailto:ruth.appleby@sefton.gov.uk) by no later than **12:00 (noon) on the day of the meeting.**

Please include in your email –

- Your name;
- Your Contact telephone number; and
- The details of the report in which you are interested.

In light of current social distancing requirements, access to the meeting room is limited.

**We have been advised by Public Health that Members, officers and the public should carry out a lateral flow test before attending the meeting, and only attend if that test is negative. Provided you are not classed as exempt, it is requested that you wear a mask that covers both your nose and mouth.**

# AGENDA

**1. Apologies for absence**

**2. Declarations of Interest**

Members are requested at a meeting where a disclosable pecuniary interest or personal interest arises, which is not already included in their Register of Members' Interests, to declare any interests that relate to an item on the agenda.

Where a Member discloses a Disclosable Pecuniary Interest, he/she must withdraw from the meeting room, including from the public gallery, during the whole consideration of any item of business in which he/she has an interest, except where he/she is permitted to remain as a result of a grant of a dispensation.

Where a Member discloses a personal interest he/she must seek advice from the Monitoring Officer or staff member representing the Monitoring Officer to determine whether the Member should withdraw from the meeting room, including from the public gallery, during the whole consideration of any item of business in which he/she has an interest or whether the Member can remain in the meeting or remain in the meeting and vote on the relevant decision.

**3. Minutes of the Meeting held on 23 June 2021** (Pages 5 - 10)

**4. Statement of Accounts 2020/2021** (To Follow)

Report of the Executive Director of Corporate Resources and Customer Services

**5. Information Management and Compliance** (Pages 11 - 22)

Report of the Executive Director of Corporate Resources and Customer Services

**6. Procurement – National Procurement Policy, Contract Procedure Rules and Internal Processes** (Pages 23 - 90)

Report of the Executive Director of Corporate Resources and Customer Services

**7. Corporate Risk Management** (Pages 91 - 122)

Report of the Executive Director of Corporate Resources and Customer Services

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|------------|---|-------------------|
| <b>8.</b>  | <b>Audit and Governance Annual Report 2020-2021 - Work Programme 2021/22 and Terms of Reference</b>   | (Pages 123 - 150) |
|            | Report of the Executive Director of Corporate Resources and Customer Services   |                   |
| <b>9.</b>  | <b>Review of Whistleblowing Complaints</b>  | (Pages 151 - 158) |
|            | Report of the Executive Director of Corporate Resources and Customer Services   |                   |
| <b>10.</b> | <b>Review of Members Code of Conduct Complaints 2020-2021</b>   | (Pages 159 - 164) |
|            | Report of the Executive Director of Corporate Resources and Customer Services   |                   |
| <b>11.</b> | <b>Annual Report and Opinion of the Chief Internal Auditor</b>  | (Pages 165 - 192) |
|            | Report of the Executive Director of Corporate Resources and Customer Services   |                   |
| <b>12.</b> | <b>Risk and Audit Service Performance</b>   | (Pages 193 - 236) |
|            | Report of the Executive Director of Corporate Resources and Customer Services   |                   |
| <b>13.</b> | <b>Treasury Management Outturn 2020/21 and Position to 31 July 2021</b>   | (Pages 237 - 254) |
|            | Report of the Executive Director of Corporate Resources and Customer Services   |                   |
| <b>14.</b> | <b>Presentation on Bootle Strand and Surrounding Area</b>   |                   |
|            | Presentation by the Executive Director – Place in response to Cllr Sir Ron Watson’s report to Audit and Governance Committee on 23 June 2021. |                   |
|            | Presentation slides will be circulated to Members following the meeting.  |                   |