



MEETING:       AUDIT AND GOVERNANCE COMMITTEE  
DATE:           Wednesday 14th December, 2022  
TIME:           3.00 pm  
VENUE:         Committee Room - Bootle Town Hall, Trinity Road, Bootle, L20 7AE

## Member

## Substitute

Councillor Robinson (Chair)	Councillor Bradshaw
Councillor Roche (Vice-Chair)	Councillor Murphy
Councillor Danny Burns	Councillor Lunn-Bates
Councillor Cluskey	Councillor Howard
Councillor Dowd	Councillor Spencer
Councillor John Joseph Kelly	Councillor Hansen
Councillor McGinnity	Councillor Halsall
Councillor Page	Councillor Hardman
Councillor Shaw	Councillor Pugh
Councillor Sir Ron Watson	Councillor Prendergast

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

**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.



**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** (Pages 7 - 14)

Minutes of the meeting held on 7 September 2022

**4. Audit Planning Report 2021/2022 - Ernst and Young (EY) LLP** (Pages 15 - 70)

Report of the Executive Director of Corporate Resources and Customer Services

**5. Corporate Risk Management** (Pages 71 - 118)

Report of the Executive Director of Corporate Resources and Customer Services

The Committee will also receive a presentation by the Assistant Director of Place (Highways and Public Protection) on the corporate risk: "Failure to adequately invest in the Highway network and associated assets".

**6. Follow up of Audit Agreed Actions** (Pages 119 - 130)

Report of the Executive Director of Corporate Resources and Customer Services

- 7. Risk and Audit Service Performance** (Pages 131 - 178)  
 Report of the Executive Director of Corporate Resources and Customer Services
- 8. Financial Procedure Rules** (Pages 179 - 252)  
 Report of the Executive Director of Corporate Resources and Customer Services
- 9. Treasury Management Position to September 2022** (Pages 253 - 264)  
 Report of the Executive Director of Corporate Resources and Customer Services
- 10. Sefton Council Anti-Money Laundering Policy Update** (Pages 265 - 288)  
 Report of the Executive Director of Corporate Resources and Customer Services
- 11. Review of Whistleblowing Complaints 2021 - 2022** (Pages 289 - 294)  
 Report of the Executive Director of Corporate Resources and Customer Services
- 12. Review of Terms of Audit and Governance Committee Terms of Reference** (Pages 295 - 310)  
 Report of the Executive Director of Corporate Resources and Customer Services
- 13. Audit and Governance Committee - Work Programme Update Report** (Pages 311 - 318)  
 Report of the Executive Director of Corporate Resources and Customer Services
- 14. Items submitted by Members in accordance with Rules 115 and 116 of Chapter 4 of the Constitution**  
 Consideration of Elected Members' reports submitted in accordance with Rules 115 and 116 of Chapter 4 of the Constitution:
- Rule 115 - Committee Members may, by giving written notice to the Chief Legal and Democratic Officer at least seven working days before the normal day for publication of agendas for a Committee meeting, submit an item for

consideration at that meeting. Items submitted shall appear on the agenda as the last item for decision and in the case of information items under the title 'items submitted by Members'.

Rule116 - A Member shall be limited to the submission of one such item per Committee meeting.

- a) **Request by Councillor Sir Ron Watson for an Amendment to the Constitution - Members' Questions to full Council** (Pages 319 - 322)

Report of the Executive Director of Corporate Resources and Customer Services