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52 Derby Street  
Ormskirk  
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L39 2DF

20 January 2014

**TO: COUNCILLORS POPE, FORSHAW, DERELI, GAGEN, GRANT,  
GREENALL, G HODSON, JONES, PENDLETON,  
PRYCE-ROBERTS AND WESTLEY**

Dear Councillor,

A meeting of the **AUDIT AND GOVERNANCE COMMITTEE** will be held in the **CABINET AND COMMITTEE ROOM, 52 DERBY STREET, ORMSKIRK, L39 2DF** on **TUESDAY 28 JANUARY 2014 at 7:00PM** at which your attendance is requested.

Yours faithfully,

Gill Rowe  
Managing Director (People and Places)

**A G E N D A**  
**(Open to the Public)**

**1. APOLOGIES**

**2. MEMBERSHIP OF THE COMMITTEE**

To be apprised of any changes to the membership of the Committee in accordance with Council Procedure Rule 4.

**3. DECLARATIONS OF INTEREST**

If a member requires advice on Declarations of Interest, he/she is advised to contact the Borough Solicitor in advance of the meeting. (For the assistance of members a checklist for use in considering their position on any particular item is included at the end of this agenda sheet.) **Page(s) 293 to 294**

**4. MINUTES**

To receive as a correct record the Minutes of the Meeting of Audit and Governance Committee held on Tuesday 24 September 2013.

**Page(s) 295 to 298**

5. **DATA QUALITY PROTOCOL - UPDATE**  
To consider the report of the Transformation Manager. **Page(s) 299 to 302**
6. **RISK MANAGEMENT FRAMEWORK**  
To consider the report of the Borough Treasurer. **Page(s) 303 to 306**
7. **INTERNAL AUDIT ACTIVITY TO DECEMBER 2013**  
To consider the report of the Borough Treasurer. **Page(s) 307 to 312**
8. **ANNUAL AUDIT LETTER**  
To consider the report of the Borough Treasurer. **Page(s) 313 to 330**
9. **GRANT THORNTON UPDATE REPORT**  
To consider the report of the Borough Treasurer. **Page(s) 331 to 346**
10. **WHISTLEBLOWING CODE**  
To consider the joint report of the Borough Solicitor and the Borough Treasurer.  
**To Follow**
11. **REGULATION OF INVESTIGATORY POWERS ACT - QUARTERLY MONITORING OF USE OF POWERS**  
Improved monitoring of activity under the Regulation of Investigatory Powers Act 2000 (RIPA) introduced by the relevant Code of Practice, recommends that Members receive reports from Officers at least quarterly on RIPA activity.  
There is no relevant activity to report.
12. **WORK PROGRAMME**  
To consider the Work Programme for 2014/15. **Page(s) 347 to End**

**We can provide this document, upon request, on audiotape, in large print, in Braille and in other languages.**

**FIRE EVACUATION PROCEDURE: Please see attached sheet.**

**MOBILE PHONES: These should be switched off or to 'silent' at all meetings.**

*For further information, please contact:-*

*Jacky Denning on 01695 585384*

*or email [jacky.denning@westlancs.gov.uk](mailto:jacky.denning@westlancs.gov.uk)*

**FIRE EVACUATION PROCEDURE FOR:  
COUNCIL MEETINGS WHERE OFFICERS ARE PRESENT  
(52 DERBY STREET, ORMSKIRK)**

**PERSON IN CHARGE:** Most Senior Officer Present  
**ZONE WARDEN:** Member Services Officer / Lawyer  
**DOOR WARDEN(S)** Usher / Caretaker

**IF YOU DISCOVER A FIRE**

1. Operate the nearest **FIRE CALL POINT** by breaking the glass.
2. Attack the fire with the extinguishers provided only if you have been trained and it is safe to do so. **Do not** take risks.

**ON HEARING THE FIRE ALARM**

1. Leave the building via the **NEAREST SAFE EXIT**. **Do not stop** to collect personal belongings.
2. Proceed to the **ASSEMBLY POINT** on the car park and report your presence to the **PERSON IN CHARGE**.
3. **Do NOT** return to the premises until authorised to do so by the **PERSON IN CHARGE**.

**NOTES:**

Officers are required to direct all visitors regarding these procedures i.e. exit routes and place of assembly.

The only persons not required to report to the Assembly Point are the Door Wardens.

**CHECKLIST FOR PERSON IN CHARGE**

1. Advise other interested parties present that you are the person in charge in the event of an evacuation.
2. Make yourself familiar with the location of the fire escape routes and informed any interested parties of the escape routes.
3. Make yourself familiar with the location of the assembly point and informed any interested parties of that location.
4. Make yourself familiar with the location of the fire alarm and detection control panel.
5. Ensure that the zone warden and door wardens are aware of their roles and responsibilities.
6. Arrange for a register of attendance to be completed (if considered appropriate / practicable).

**IN THE EVENT OF A FIRE, OR THE FIRE ALARM BEING SOUNDED**

1. Ensure that the room in which the meeting is being held is cleared of all persons.
2. Evacuate via the nearest safe Fire Exit and proceed to the **ASSEMBLY POINT** in the car park.
3. Delegate a person at the **ASSEMBLY POINT** who will proceed to **HOME CARE LINK** in order to ensure that a back-up call is made to the **FIRE BRIGADE**.
4. Delegate another person to ensure that **DOOR WARDENS** have been posted outside the relevant Fire Exit Doors.

5. Ensure that the **ZONE WARDEN** has reported to you on the results of his checks, **i.e.** that the rooms in use have been cleared of all persons.
6. If an Attendance Register has been taken, take a **ROLL CALL**.
7. Report the results of these checks to the Fire and Rescue Service on arrival and inform them of the location of the **FIRE ALARM CONTROL PANEL**.
8. Authorise return to the building only when it is cleared to do so by the **FIRE AND RESCUE SERVICE OFFICER IN CHARGE**. Inform the **DOOR WARDENS** to allow re-entry to the building.

**NOTE:**

The Fire Alarm system will automatically call the Fire Brigade. The purpose of the 999 back-up call is to meet a requirement of the Fire Precautions Act to supplement the automatic call.

### **CHECKLIST FOR ZONE WARDEN**

1. Carry out a physical check of the rooms being used for the meeting, including adjacent toilets, kitchen.
2. Ensure that **ALL PERSONS**, both officers and members of the public are made aware of the **FIRE ALERT**.
3. Ensure that **ALL PERSONS** evacuate **IMMEDIATELY**, in accordance with the **FIRE EVACUATION PROCEDURE**.
4. Proceed to the **ASSEMBLY POINT** and report to the **PERSON IN CHARGE** that the rooms within your control have been cleared.
5. Assist the **PERSON IN CHARGE** to discharge their duties.

It is desirable that the **ZONE WARDEN** should be an **OFFICER** who is normally based in this building and is familiar with the layout of the rooms to be checked.

### **INSTRUCTIONS FOR DOOR WARDENS**

1. Stand outside the **FIRE EXIT DOOR(S)**
2. Keep the **FIRE EXIT DOOR SHUT**.
3. Ensure that **NO PERSON**, whether staff or public enters the building until **YOU** are told by the **PERSON IN CHARGE** that it is safe to do so.
4. If anyone attempts to enter the premises, report this to the **PERSON IN CHARGE**.
5. Do not leave the door **UNATTENDED**.