

**Monday, 13th June, 2022,  
6.15 pm**

**The John Meikle Room - The Deane  
House**

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**Members: Lee Baker, Simon Coles, Hugh Davies, Ed Firmin,  
Dawn Johnson, Marcus Kravis, Janet Lloyd, Andy Milne,  
Steven Pugsley and Terry Venner**

### **Agenda**

**1. Appointment of Chair**

**2. Appointment of Vice Chair**

**3. Apologies**

To receive any apologies for absence.

**4. Minutes of the previous meeting of the Audit and  
Governance Committee**

To approve the minutes of the previous meetings of the Committee. Firstly, the minutes from the special meeting held on 22<sup>nd</sup> March 2022 and secondly the minutes from the meeting held on 14<sup>th</sup> March 2022.

(Pages 7 - 24)

**5. Declarations of Interest**

To receive and note any declarations of disclosable pecuniary or prejudicial or personal interests in respect of any matters included on the agenda for consideration at this meeting.

(The personal interests of Councillors and Clerks of Somerset County Council, Town or Parish Councils and other Local Authorities will automatically be recorded in the minutes.)

**6. Public Participation**

The Chair to advise the Committee of any items on which members of the public have requested to speak and advise those members of the public present of the details of the Council's public participation scheme.

For those members of the public who have submitted any

questions or statements, please note, a three minute time limit applies to each speaker and you will be asked to speak before Councillors debate the issue.

We are now live webcasting most of our committee meetings and you are welcome to view and listen to the discussion.

The link to each webcast will be available on the meeting webpage, but you can also access them on the [Somerset West and Taunton webcasting website](#).

- 7. Audit and Governance Committee Forward Plan** (Pages 25 - 26)

To receive items and review the Forward Plan.
- 8. External Audit Progress Report and Sector Update** (Pages 27 - 42)

The attached report provides the Audit and Governance Committee with a progress update regarding the work of the external auditor, Grant Thornton LLP, together with information relating to emerging issues which may be relevant to the Council.
- 9. External Audit - Audit Plan 2021/22** (Pages 43 - 68)

This report introduces the finalised External Audit Plan for 2021/22. The Plan is prepared by the Council's external auditors, Grant Thornton, ahead of the financial year-end (31 March), and is attached as Appendix A to this report.
- 10. SWAP Internal Audit - Outturn Report 2021-22 Internal Audit Plan** (Pages 69 - 86)

This matter is the responsibility of Executive Councillor Benet Allen

Report Author: Alastair Woodland, Assistant Director, SWAP

The Internal Audit function plays a central role in corporate governance by providing assurance to the Audit, Governance and Standards Committee, looking over financial controls and checking on the probity of the organisation.

The 2021-22 Annual Internal Audit Plan is to provide independent and objective assurance on SWT Internal Control Environment. This work will support the Annual Governance Statement.
- 11. SWAP Internal Audit - Annual Opinion Report 2021/22** (Pages 87 - 104)

This matter is the responsibility of Executive Councillor Benet Allen

Report Author: Alastair Woodland, Assistant Director, SWAP

The Internal Audit function plays a central role in corporate governance by providing assurance to the Annual Audit, Governance and Standards Committee, looking over financial controls and checking on the probity of the organisation.

The 2021-22 Annual Audit Plan provided independent and objective assurance on SWT Internal Control Environment. This work supported the Annual Governance Statement.

**12. Summary of Level 1 and 2 Audit Actions**

(Pages 105 - 116)

This matter is the responsibility of Cllr Benet Allen, Portfolio Holder for Communications and Corporate Resources

Report Author: Malcolm Riches, Business Intelligence & Performance Manager

The purpose of this report is to update the Committee on progress against level 1 and 2 Internal Audit Actions as at the end of April 2022.

**13. Going Concern Assessment 2021/22**

(Pages 117 - 126)

This matter is the responsibility of Councillor Allen, Communications and Corporate Resources.

Report Authors: Paul Fitzgerald, Assistant Director – Finance (Section 151 Officer) and John Dyson, Corporate Finance Manager.

To inform the Audit and Governance Committee of the Assistant Director Finance (S151 Officer)'s assessment of Somerset West and Taunton Council as a "going concern" for the purposes of producing the Statement of Accounts for 2021/22.

**14. Annual Governance Statement 2021/22**

(Pages 127 - 174)

This matter is the responsibility of the Leader of the Council, Cllr Federica Smith-Roberts.

Report Author: Amy Tregellas, Governance Manager.

To present the Committee with the Annual Governance Statement 2021/22 (Appendix A) and accompanying Action Plan (Appendix B).

**15. Fraud Outturn Report 2021/22 and Annual Fraud Plan for 2022/23** (Pages 175 - 184)

This matter is the responsibility of Executive Councillor Member for Communications and Corporate Resources, Cllr Benet Allen

Report Author: Amy Tregellas, Governance Manager

To present the Committee with an update on progress following the last report which came before the Committee in March 2022.

**16. Landlord Health and Safety Property Compliance Update Report** (Pages 185 - 198)

This matter is the responsibility of Executive Councillor Member Francesca Smith

Report Author: Ian Candlish, Assistant Director Housing Property

This report provides an updated position for the main landlord health and safety property compliance disciplines. Whilst Covid continues to have an impact upon our ability to progress with some compliance areas, due to resourcing issues for in-house staff and contractors, we continue to maintain a clear focus on all compliance requirements and have made progress in many areas.

**17. Health & Safety Management System - Performance framework and Improvement Programme** (Pages 199 - 244)

This matter is the responsibility of Cllr Benet Allen.

Report Authors:

Kate Lusty – Health & Safety Specialist

Dan Webb – Health & Safety Improvement Programme Manager (temp)

The purpose of this report is to provide the Audit and Governance committee with:

A) a progress update on the Health & Safety Performance Framework

B) a progress update against delivery of the H & S Management System (HSMS) Improvement Programme.

A handwritten signature in black ink, appearing to read 'A Pritchard', with a horizontal line underneath.

**ANDREW PRITCHARD**  
**CHIEF EXECUTIVE**

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Members of the public are welcome to attend the meeting and listen to the discussions. There is time set aside at the beginning of most meetings to allow the public to ask questions. Speaking under "Public Question Time" is limited to 3 minutes per person in an overall period of 15 minutes. The Committee Administrator will keep a close watch on the time and the Chair will be responsible for ensuring the time permitted does not overrun. The speaker will be allowed to address the Committee once only and will not be allowed to participate further in any debate. Except at meetings of Full Council, where public participation will be restricted to Public Question Time only, if a member of the public wishes to address the Committee on any matter appearing on the agenda, the Chair will normally permit this to occur when that item is reached and before the Councillors begin to debate the item.

If an item on the agenda is contentious, with a large number of people attending the meeting, a representative should be nominated to present the views of a group. These arrangements do not apply to exempt (confidential) items on the agenda where any members of the press or public present will be asked to leave the Committee Room. Full Council, Executive, and Committee agendas, reports and minutes are available on our website: [www.somersetwestandtaunton.gov.uk](http://www.somersetwestandtaunton.gov.uk)

The meeting room, including the Council Chamber at The Deane House are on the first floor and are fully accessible. Lift access to The John Meikle Room, is available from the main ground floor entrance at The Deane House. The Council Chamber at West Somerset House is on the ground floor and is fully accessible via a public entrance door. Toilet facilities, with wheelchair access, are available across both locations. An induction loop operates at both The Deane House and West Somerset House to enhance sound for anyone wearing a hearing aid or using a transmitter. For further information about the meeting, please contact the Governance and Democracy Team via email: [governance@somersetwestandtaunton.gov.uk](mailto:governance@somersetwestandtaunton.gov.uk)

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