

**Monday, 12th September, 2022,  
6.15 pm**

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

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**Members: Lee Baker (Chair), Ed Firmin (Vice-Chair), Simon Coles,  
Hugh Davies, Tom Deakin, Dawn Johnson, Marcus Kravis,  
Janet Lloyd, Andy Milne, Steven Pugsley and Terry Venner**

### **Agenda**

**1. Apologies**

To receive any apologies for absence.

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

To approve the minutes of the previous meeting of the  
Committee held on 13<sup>th</sup> June 2022.

**3. 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.)

**4. 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](#).

(Pages 5 - 16)

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| <p><b>5. Audit and Governance Committee Forward Plan</b></p> <p>To receive items and review the Audit and Governance Committee Forward Plan.</p>  | <p>(Page 17)</p>       |
| <p><b>6. Audit and Governance Committee Terms of Reference Update</b></p> <p>This matter is the responsibility of the Portfolio Holder for Communications and Corporate Resources, Cllr Benet Allen</p> <p>Report Author: Amy Tregellas, Governance Manager and Monitoring Officer</p> <p>To review and approve the updated Terms of Reference for the Audit and Governance Committee</p>   | <p>(Pages 19-26)</p>   |
| <p><b>7. SWAP Internal Audit - Progress Report 2022/23</b></p> <p>This matter is the responsibility of the Portfolio Holder for Communications and Corporate Resources, Cllr Benet Allen.</p> <p>Report Author: Alastair Woodland, Assistant Director, SWAP</p> <p>This report summarises the work of the Council's Internal Audit Service and provides:</p> <ul style="list-style-type: none"><li>• Details of any new significant weaknesses identified during internal audit work completed since the start of the 2022/23 financial year</li><li>• A schedule of audits completed during the period, detailing their respective assurance opinion rating, the number of recommendations and the respective priority rankings of these</li></ul> | <p>(Pages 27 - 44)</p> |
| <p><b>8. Summary of Level 1 and 2 Internal Audit Actions</b></p> <p>This matter is the responsibility of the Portfolio Holder for Communications and Corporate Resources, Cllr Benet Allen</p> <p>Report Author: Malcolm Riches, Business Intelligence &amp; Performance Manager</p> <p>The purpose of this report is to update the Committee on progress against level 1 and 2 Internal Audit Actions as at end July 2022.</p>   | <p>(Pages 45 - 56)</p> |
| <p><b>9. SWAP Baseline Fraud Maturity Report</b></p> <p>This matter is the responsibility of the Portfolio Holder for Communications and Corporate Resources, Cllr Benet Allen</p> <p>Report Author: David Warren, Principal Investigation Officer, SWAP</p> <p>The purpose of this report is to provide the Committee with an update on the baseline assessment of organisational maturity in</p>  | <p>(Pages 57 - 76)</p> |

relation to fraud, undertaken in August 2022.

**10. Treasury Management 2021/22 Annual Report**

(Pages 77 - 94)

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

Report Author: John Dyson, Corporate Finance Manager

The purpose of this report is to provide the Committee with an update on the Treasury Management activity of the Council and performance against the Prudential Indicators in respect of the 2021/22 financial year.

**11. Local Government Ombudsman summary of complaints for 2021/22**

(Pages 95 - 102)

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

Report Author: Jess Thomas, Customer Experience Manager

The purpose of this report is to provide the Committee with details of the complaints made to the Local Government Ombudsman in 2021/22.

**12. Health and Safety Update**

(Pages 103 - 116)

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

Report Author: Sean Papworth, Assistant Director – Corporate

The purpose of this report is to provide the Committee with to provide the Audit and Governance committee with progress updates on the Health & Safety Performance Framework and delivery of the H & S Management System (HSMS) Improvement Programme.



**ANDREW PRITCHARD  
CHIEF EXECUTIVE**

Please note that this meeting will be recorded. At the start of the meeting the Chair will confirm if all or part of the meeting is being recorded and webcast. You should be aware that the Council is a Data Controller under the Data Protection Act 2018. Data collected during the recording will be retained in accordance with the Council's policy. Therefore unless you are advised otherwise, by entering the Council Chamber and speaking during Public Participation you are consenting to being recorded and to the possible use of the sound recording for access via the website or for training purposes. If you have any queries regarding this please contact the officer as detailed above.

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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