

**SWT Audit and Governance
Committee**

**Monday, 13th March, 2023,
6.15 pm**

**Somerset West
and Taunton**

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

**Members: Lee Baker (Chair), Janet Lloyd (Vice-Chair), Simon Coles,
Hugh Davies, Tom Deakin, Dawn Johnson, Marcus Kravis,
Libby Lisgo, 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 Audit and Governance Committee held on 12 December 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

(Pages 7 - 18)

webpage, but you can also access them on the [Somerset West and Taunton webcasting website](#).

5. Audit and Governance Committee Action/Recommendation Tracker (Pages 19 - 20)

To receive an update on the status and progress of actions and recommendations arising from the Audit and Governance Committee meeting held on 12 December 2022.

6. External Audit Progress Report and Sector Update (Pages 21 - 28)

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

Report Author: John Dyson, Corporate Finance Manager and Jackson Murray, Director Public Sector Audit, Grant Thornton.

This 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.

7. SWAP Internal Audit - Outturn Report 2022/23 Internal Audit Plan (Pages 29 - 48)

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

Report Author: Alastair Woodland, Assistant Director, SWAP Internal Audit Services

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

The 2022-23 Annual Internal Audit Plan is to provide independent and objective assurance on SWT Internal Control Environment. This work will support the Annual Governance Statement.

8. Internal Audit Annual Audit Opinion Report 2022/23 (Pages 49 - 68)

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

Report Author: Alastair Woodland, Assistant Director, SWAP Internal Audit Services.

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

The 2022-23 Annual Audit Plan provided independent and objective assurance on SWT Internal Control Environment. This work supported the Annual Governance Statement.

9. Summary of Level 1 and 2 Audit Actions Progress

(Pages 69 - 76)

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

Report Author: Malcolm Riches, Business Intelligence and 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 January 2023.

10. Fraud Outturn Report 2022/23

(Pages 77 - 88)

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

Report Author: Amy Tregellas, Governance Manager and Monitoring Officer.

The purpose of this report is to present the Committee with the outturn position in respect of the actions set out in the SWAP Baseline Assessment of Maturity in relation to Fraud report.

11. Annual Governance Statement 2022/23

(Pages 89 - 126)

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

Report Author: Amy Tregellas, Governance Manager and Monitoring Officer

To present the Committee with the Annual Governance Statement for 2022/23 (Appendix A) and the outturn position for the 2021/22 Action Plan (Appendix B).

12. Health and Safety Update

(Pages 127 - 138)

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

Report Authors: Sean Papworth, Assistant Director Corporate Services and Mike Barter, Health and Safety

Business Partner.

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

13. Landlord Compliance Report

(Pages 139 - 156)

This matter is the responsibility of the Portfolio Holder for Housing, Cllr 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.

14. Audit and Governance Committee Chair's Annual Report 2022/23 - For Information Only

(Pages 157 - 160)

This report provides an update from the Chair of the Audit and Governance Committee, Cllr Lee Baker, on the work of the Audit and Governance Committee for the 2022/23 financial year.



**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

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

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