

You are requested to attend a meeting of the Corporate Governance Committee to be held in Brittons Ash Community Centre, Bridgwater Road, Bathpool on 3 December 2018 at 6.15 pm.

Agenda

- 1 Apologies.
- 2 Minutes of the previous meeting of the Corporate Governance Committee held on 17 September 2018 (attached). (Pages 5 - 10)
- 3 Public Question Time.
- 4 Declaration of Interests.

To receive declarations of Disclosable Pecuniary Interests or personal or prejudicial interests, in accordance with the Code of Conduct, in relation to items on the agenda. Such interests need to be declared even if they have already been recorded in the Register of Interests. The personal interests of Councillors who are County Councillors or Town or Parish Councillors will automatically be recorded in the minutes.
- 5 Grant Thornton External Audit - Progress Report. Report of the Interim Finance Manager (Deputy S151 Officer). (attached). (Pages 11 - 24)
- 6 SWAP Internal Audit – Progress Report 2018/19. Report of the Assistant Director, SWAP (attached). (Pages 25 - 48)
- 7 Report on Health and Safety Performance. Report of the Environmental Health Manager (attached). (Pages 49 - 54)

Bruce Lang
Assistant Chief Executive

23 November 2018

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 4 minutes per person in an overall period of 15 minutes. The Committee Administrator will keep a close watch on the time and the Chairman 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 Chairman will normally permit this to occur when that item is reached and before the Councillors begin to debate the item.

This is more usual at meetings of the Council's Planning Committee and details of the "rules" which apply at these meetings can be found in the leaflet "Having Your Say on Planning Applications". A copy can be obtained free of charge from the Planning Reception Desk at The Deane House or by contacting the telephone number or e-mail address below.

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, Committees and Task and Finish Review agendas, reports and minutes are available on our website: www.tauntondeane.gov.uk



The meeting rooms at both Brittons Ash Community Centre and West Monkton Primary School are on the ground floor and are fully accessible. Toilet facilities, with wheelchair access, are available.

Lift access to the Council Chamber on the first floor of Shire Hall, is available from the main ground floor entrance. Toilet facilities, with wheelchair access, are available through the door to the right hand side of the dais.



An induction loop operates at Shire Hall 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 on 01823 356356 or email democraticservices@tauntondeane.gov.uk

If you would like an agenda, a report or the minutes of a meeting translated into another language or into Braille, large print, audio tape or CD, please telephone us on 01823 356356 or email: enquiries@tauntondeane.gov.uk

Corporate Governance Committee Members:

Councillor N Cavill (Chairman)

Councillor J Hunt (Vice-Chair)

Councillor M Adkins

Councillor J Blatchford

Councillor C Booth

Councillor E Gaines

Councillor A Govier

Councillor T Hall

Councillor J Horsley

Councillor S Nicholls

Councillor R Ryan

Councillor F Smith-Roberts

Councillor C Tucker

Councillor D Webber

Corporate Governance Committee - 17 September 2018

Present: Councillor N Cavill (Chairman)

Councillors J Hunt, M Adkins, E Gaines, A Govier, T Hall, S Nicholls,
R Ryan, F Smith-Roberts and D Webber

Officers: Peter Barber, Richard Bryant, Dean Emery, Yvette Kottaun, David Morris,
Andrew Stark and Alastair Woodland

Also Present: Councillors S Coles and F Smith

(The meeting commenced at 6.15 pm)

35. **Apologies.**

Apologies were received from Councillors Booth, Horsley and Parrish.

36. **Minutes of the previous meeting of the Corporate Governance Committee held on 23 July (attached).**

The Minutes of the meeting of the Corporate Governance Committee held on 23 July 2018 were taken as read and were signed.

37. **Declaration of Interests.**

Councillor Coles declared a personal interest as a Somerset County Councillor and a member of the Devon and Somerset Fire Authority. Councillor Govier declared a personal interest as a Somerset County Councillor. Councillor Hunt declared a personal interest as a Member of Somerset County Council, Exmoor National Park Authority Member, and Tacchi Morris Management Committee Member. Councillor Mrs Smith-Roberts declared a personal interest as the Chairperson of RAFT.

38. **Exclusion of Press and Public**

Resolved that the press and public be excluded from the meeting for the following items because of the likelihood that exempt information would otherwise be disclosed relating to Clauses 1 and 3 of Schedule 12A to the Local Government Act 1972 and the public interest in withholding the information outweighed the public interest in disclosing the information to the public.

39. **Confidential Report Counter Fraud Partnership - 2017/18**

Members considered the report previously circulated, concerning the Counter Fraud Partnership – 2017/18 Progress Report.

The report summarised the results of the first year of the counter-fraud partnership that the Council had undertaken. The data had been prepared by officers from the partnership who would talk members through the highlights of the year. Details were appended to the report.

During the consideration of this item, no points were made.

Resolved that the Corporate Governance Committee noted the 2017/18 progress report.

40. **Grant Thornton, External Audit - Annual Audit Letter.**

Members considered the report previously circulated, concerning the Grant Thornton External Audit, Annual Audit Letter.

The purpose of the report was to summarise the key findings from the external audit work carried out in respect of the 2017/18 financial year and detailed the actual audit fees charged.

The Annual Audit Letter for 2017/18 confirmed that:

- The Auditor issued an unqualified opinion in respect of the accounts for 2017/18
- The Auditors were satisfied that the Council put in place proper arrangements to ensure economy, efficiency and effectiveness in its use of resources during the year ended 31 March 2018;
- The fees charged for 2017/18 were £50,629 for the statutory audit.

During the consideration of this item, the following points were made:-

- Further work had been undertaken in relation to the valuation of properties. The valuation depended on usage. Different tools were used to ascertain value. Adjustments had been made to the value which was considered fair and materially accurate value.
- Overall value for money conclusion was that the external auditors were happy in all aspects.
- This was risk based and looked at informed decision making based on complete and accurate information; sustainable resource deployment based around financial challenges.
- There was strength in the financial position but it was recognised that there were significant challenges ahead. The MTFP was considered strengthened due to the closer collaboration with West Somerset District Council.
- Risks included challenges in the New Council from April 2019 and known unknowns such as Hinkley Point and changes around business rates.
- Details and decisions around changes to business rates valuation to NHS health centres were still to be determined. This was a risk faced by all local authorities.

Resolved that the Corporate Governance Committee noted the report.

41. **Grant Thornton, External Audit - Progress Report and Update.**

Members considered the report previously circulated, concerning the Grant Thornton, External Audit – Progress Report and Update.

The report provided the Corporate Governance Committee with a progress update regarding the work of the external auditors, Grant Thornton, together with information relating to emerging issues which could be relevant to the Council.

The Council's external audit function is undertaken by Grant Thornton. The external Auditors, as part of their work, provide regular progress updates to Members via the Corporate Governance Committee together with updates in relation to emerging national issues, which may be of relevance to the Council. These are detailed in the attached report.

During the consideration of this item, the following points were made:-

- An audit plan would be considered at the committee in December. Certification work was still underway and was on track to be completed on schedule by the end of November 2018.
- Housing Capital Receipts return was smaller than in previous years. This was a claim outstanding from January. The following years claims was almost due, this was required as soon as possible to investigate the claim and expedite the claim. The portfolio holder and director were requested to investigate to make the figures available.
- The reports were tailored to individual councils and reported on general issues around local government. There were measures in place aimed at councils and were equally relevant across the tiers of local government.
- Every Council were being encouraged to comment on some of the demand led services causing councils to struggle.
- The Council was submitting a bid to be a pilot authority to generate greater income from business rates. Following 2019/20 there were changes to the local government funding regime.
- If bad debt increased due to Brexit, it was considered how the council had created provision to cope with this. A robust approach was expected which is based around the wider risk of the economy and past performance. An assumption was made in relation to collection rates which had an impact on the council's finances if this income reduced.

Resolved that the Corporate Governance Committee noted the update report.

42. **SWAP Internal Audit - Internal Audit Plan 2018/19 Progress.**

Members considered the report previously circulated, concerning SWAP Internal Audit – Internal Audit Plan 2018/19 Progress.

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

The 2018-19 Annual Audit Plan provided independent and objective assurance on TDBC's Internal Control Environment. This work would support the Annual Governance Statement.

A number of risks were highlighted which included the New Council and Transformation. There was a lot of good knowledge and information shared with the LGA to help the process and mitigate risks. There were common areas worked along where progress had been made with other councils going through the same process.

During the consideration of this item, the following points were made:-

- Loss of staff capacity would no doubt have an impact on performance. The new operating model was different than what had been in place before. There were significant pressures on IT resource.
- Members requested a better understanding of IT progression to be reported at a future meeting.
- Processes were in place to retain all necessary information and cover arrangements to mitigate risk and retain knowledge through changes encountered in the transformation process.

Resolved that the Corporate Governance Committee noted the report.

43. **Summary of Overdue Level 4/5 Actions.**

Members considered the report previously circulated, concerning Overdue High Priority SWAP Audit Recommendations

The report provided Members with a position statement on the SWAP audit recommendations for Taunton Deane Borough Council, which were assessed as high and very high priority, where the agreed remedial action was overdue.

At the start of each financial year an audit plan was agreed between SWAP and the Council which identified the areas of highest potential organisational and operational risk within the Council.

When an audit took place a report was provided to the service manager concerned which gives an audit conclusion and opinion.

Any control or procedural weaknesses are identified within an action plan appended to the audit report.

All findings will be allocated one of 5 priority ratings. With priority 5 carrying the most significant risk to the service (not necessarily to the wider Council) and priority 1 the least significant risk.

Each finding within the action plan contained a target implementation date which had been agreed between SWAP and the service manager concerned.

All priority 4 and 5 recommendations were captured in a register to ensure progress against the recommendations could be tracked and progress reported to JMT and the Audit/Corporate Governance Committees at Taunton Deane and West Somerset Councils.

The report highlighted the Priority 4 and 5 audit actions affecting Taunton Deane Borough Council, where the agreed remedial action was overdue. On this occasion there were 17 priority 4 priority actions which were overdue but zero overdue priority 5 recommendations for Taunton Deane Borough Council.

A summary of the overdue actions was provided in Appendix A.

During the consideration of this item, the following points were made:-

- Consideration was given to the functionality of the new Asset Management system.
- Concerns were expressed in relation to the issues around delaying of the procurement of new software at the crematorium. This appeared to be ongoing for a period of time.
- The Crematorium manager had been appointed 18 months ago, this was a conscious decision due to pressures around IT due to transformation. These issues were looking to be addressed in the next 4 to 6 months.
- The debt management process was questioned with the levels of aged debt high, an update was required on this and Councillors would be made aware as soon as an update was received.

Resolved that the Corporate Governance Committee noted the Overdue High Priority Audit Recommendations.

44. **Corporate Governance Action Plan.**

This report provided an update of progress against the Annual Governance Statement Action Plan for 2018/19.

The Annual Governance Statement (AGS) is a statutory document which provided assurance on the governance arrangements in place within the Council. The statement was produced following a review of the council's governance arrangements.

The AGS included an action plan to address any new governance issues identified by the Corporate Governance Officers Group; relying on reports from internal and external audit as well as their own understanding of the organisation.

The governance issues identified were:-

To implement and develop our new Risk management culture.

To implement the Corporate Governance process for the Shadow Council and the new transformed Council.

During the consideration of this item, the following points were made:-

- There was risk identified in deliverability of many services and projects due to the loss of staff and the creation of the New Council. This was recognised as a big risk amongst staff. Delays were encouraged to be reported.
- A robust risk management culture was encouraged to be put in place.

Resolved that the Corporate Governance Committee noted the progress in relation to completing the actions identified within the Annual Governance Statement.

45. **Forward Plan**

Submitted for information the proposed Forward Plan of the Corporate Governance Committee.

Resolved that the Corporate Governance Committee Forward Plan be noted.

(The Meeting ended at 6.55 pm)

Taunton Deane Borough Council

Corporate Governance Committee 3 December 2018

External Audit – Progress Report and Update

This matter is the responsibility of Leader of the Council, Councillor John Williams

Report Author: Andy Stark, Interim Finance Manager (Deputy S151 Officer)

1 Purpose of the Report

- 1.1 This is a regular report for Members by our external auditors, Grant Thornton. Specifically the report provides an update in relation to their progress in delivering the responsibilities of being the external auditors for the Council and also to provide a summary of emerging national issues and developments to consider.

2 Recommendations

- 2.1 That Members are requested to note the Report.

3 Risk Assessment

Risk Matrix

The details of any specific risks identified will be contained in the attached report.

4 Background and Full details of the Report

- 4.1 The Council's external audit function is undertaken by Grant Thornton. This report provides Members with an update on the progress as at November 2018 in delivering their responsibilities as the Council's external auditors as well as providing a summary of relevant emerging national issues and developments.

5 Links to Corporate Aims / Priorities

- 5.1 There are no direct implications.

6 Finance / Resource Implications

6.1 There are no direct implications.

7 Legal Implications

7.1 There are no legal implications from this report.

8 Environmental Impact Implications

8.1 There are no direct implications.

9 Community Safety Implications

9.1 There are no direct implications.

10 Equality and Diversity Implications

10.1 There are no direct implications.

11 Social Value Implications

11.1 There are no direct implications.

12 Partnership Implications

12.1 There are no direct implications.

13 Health and Wellbeing Implications

13.1 There are no direct implications.

14 Asset Management Implications

14.1 There are no direct implications.

15 Consultation Implications

15.1 There are no direct implications.

Democratic Path:

- **Corporate Governance Committee – Yes**
- **Executive – No**
- **Full Council – No**

List of Appendices

Appendix A	Grant Thornton – Audit Progress Report and Sector Update
-------------------	--

Contact Officers

Name	Andy Stark	Name	Paul Fitzgerald
Direct Dial	01823 219490	Direct Dial	01823 217557
Email	a.stark@tauntondeane.gov.uk	Email	p.fitzgerald@tauntondeane.gov.uk

Audit Progress Report and Sector Update

Taunton Deane Borough Council
Year ending 31 March 2019
December 2018



Contents

Section	Page
Introduction	03
Progress at November 2018	04
Audit Deliverables	05
Sector Update	06
Links	08

Introduction



Peter Barber

Engagement Lead

T 0117 305 7897
M 07880 456122
E peter.a.barber@uk.gt.com

Page 17



Geraldine Daly

Engagement Lead

T 0117 305 7741
M 07500 783992
E geri.n.daly@uk.gt.com



Sarah Crouch

Engagement Manager

T 0117 305 7881
M 07467 357042
E sarah.crouch@uk.gt.com

This paper provides the Audit Committee with a report on progress in delivering our responsibilities as your external auditors.

The paper also includes:

- a summary of emerging national issues and developments that may be relevant to you as a local authority; and
- includes a number of challenge questions in respect of these emerging issues which the Committee may wish to consider (these are a tool to use, if helpful, rather than formal questions requiring responses for audit purposes)

Members of the Corporate Governance Committee can find further useful material on our website, where we have a section dedicated to our work in the public sector. Here you can download copies of our publications www.grantthornton.co.uk ..

If you would like further information on any items in this briefing, or would like to register with Grant Thornton to receive regular email updates on issues that are of interest to you, please contact either your Engagement Lead or Engagement Manager.

Progress at November 2018

2017/18 Audit

We have completed our audit of the Council's 2017/18 financial statements. Our audit opinion, including our value for money conclusion and certificate of audit closure was issued on the 31 July 2018.

We issued:

- An unqualified opinion on the Council's financial statements; and
- An unqualified value for money conclusion on the Council's arrangements to secure economy, efficiency and effectiveness in its use of resources.

We have issued all our deliverables for 2017/18 and have concluded our work on the 2017/18 financial year. Our Annual Audit Letter, summarising the outcomes of our audit was presented at the September Committee.

2018/19 Audit

We have begun our planning processes for the 2018/19 financial year audit.

Our detailed work and audit visits will begin later in the year and we will discuss the timing of these visits with management. In the meantime we will:

- continue to hold regular discussions with management to inform our risk assessment for the 2018/19 financial statements and value for money audits;
- review minutes and papers from key meetings; and
- continue to review relevant sector updates to ensure that we capture any emerging issues and consider these as part of audit plans.

Other areas

Certification of claims and returns

We are required to certify the Council's annual Housing Benefit Subsidy claim in accordance with procedures agreed with the Department for Work and Pensions. This certification work for the 2018/19 claim is underway, and will be concluded by the end of November 2018. A verbal update on this will be given at the meeting.

The results of the certification work are reported to you in our certification letter, which will come to the March Audit Committee.

Meetings

We met with Finance Officers in October as part of our quarterly liaison meetings and continue to be in discussions with finance staff regarding emerging developments and to ensure the audit process is smooth and effective.

Events

We provide a range of workshops, along with network events for members and publications to support the Council. Further details of the publications that may be of interest to the Council are set out in our Sector Update section of this report.

Our Annual Accounts workshop is to take place early in the new year. We have invited key members of your finance team to this.

Audit Deliverables

2017/18 Deliverables	Planned Date	Status
Annual Certification Letter This letter reports any matters arising from our certification work carried out under the PSAA contract.	December 2018	Not yet due
<hr/>		
2018/19 Deliverables	Planned Date	Status
Fee Letter Confirming audit fee for 2018/19.	April 2018	Complete
Accounts Audit Plan We are required to issue a detailed accounts audit plan to the Audit Committee setting out our proposed approach in order to give an opinion on the Council's 2018-19 financial statements.	January 2019	Not yet due
Interim Audit Findings We will report to you the findings from our interim audit and our initial value for money risk assessment within our Progress Report.	March 2019	Not yet due
Audit Findings Report The Audit Findings Report will be reported to the July Audit Committee.	July 2019	Not yet due
Auditors Report This is the opinion on your financial statement, annual governance statement and value for money conclusion.	July 2019	Not yet due
Annual Audit Letter This letter communicates the key issues arising from our work.	August 2019	Not yet due
Annual Certification Letter This letter reports any matters arising from our certification work carried out under the PSAA contract.	December 2019	Not yet due

Sector Update

Local government finances are at a tipping point. Councils are tackling a continuing drive to achieve greater efficiency in the delivery of public services, whilst facing the challenges to address rising demand, ongoing budget pressures and social inequality.

Our sector update provides you with an up to date summary of emerging national issues and developments to support you. We cover areas which may have an impact on your organisation, the wider NHS and the public sector as a whole. Links are provided to the detailed report/briefing to allow you to delve further and find out more.

Our public sector team at Grant Thornton also undertake research on service and technical issues. We will bring you the latest research publications in this update. We also include areas of potential interest to start conversations within the organisation and with audit committee members, as well as any accounting and regulatory updates.

- [Grant Thornton Publications](#)
- [Insights from local government sector specialists](#)
- [Reports of interest](#)
- [Accounting and regulatory updates](#)

More information can be found on our dedicated public sector and local government sections on the Grant Thornton website

In good company: Latest trends in local authority trading companies

Our recent report looks at trends in LATC's (Local Government Authority Trading Companies). These deliver a wide range of services across the country and range from wholly owned companies to joint ventures, all within the public and private sector.

Outsourcing versus local authority trading companies

The rise of trading companies is, in part, due to the decline in popularity of outsourcing. The majority of outsourced contracts operate successfully, and continue to deliver significant savings. But recent high profile failures, problems with inflexible contracts and poor contract management mean that outsourcing has fallen out of favour. The days of large scale outsourcing of council services has gone.

Advantages of local authority trading companies

- Authorities can keep direct control over their providers
- Opportunities for any profits to be returned to the council
- Provides suitable opportunity to change the local authority terms and conditions, particularly with regard to pensions, can also bring significant reductions in the cost base of the service
- Having a separate company allows the authority to move away from the constraints of the councils decision making processes, becoming more agile and responsive to changes in demand or funding
- Wider powers to trade through the Localism act provide the company with the opportunity to win contracts elsewhere

Choosing the right company model

The most common company models adopted by councils are:

Wholly
owned

Joint
Ventures

Social
Enterprise

Wholly owned companies are common because they allow local authorities to retain the risk and reward. And governance is less complicated. Direct labour organisations such as Cormac and Oxford Direct Services have both transferred out in this way.

JVs have become increasingly popular as a means of leveraging growth. Pioneered by Norse, Corserv and Vertas organisations are developing the model. Alternatively, if there is a social motive rather than a profit one, the social enterprise model is the best option, as it can enable access to grant funding to drive growth.

Getting it right through effective governance

While there are pitfalls in establishing these companies, those that have got it right are: seizing the advantages of a more commercial mind-set, generating revenue, driving efficiencies and improving the quality of services. By developing effective governance they can be more flexible and grow business without micromanagement from the council.

LATC's need to adapt for the future

- LATC's must adapt to developments in the external environment
 - These include possible changes to the public procurement rules after Brexit and new local authority structures. Also responding to an increasingly crowded and competitive market where there could be more mergers and insolvencies.
- Authorities need to be open to different ways of doing things, driving further developments of new trading companies. Relieving pressures on councils to find the most efficient ways of doing more with less in today's austere climate.

Overall, joint ventures can be a viable alternative delivery model for local authorities. Our research indicates that the numbers of joint ventures will continue to rise, and in particular we expect to see others follow examples of successful public-public partnerships.

[Download the report here](#)



<https://www.grantthornton.co.uk/en/insights/the-rise-of-local-authority-trading-companies/>

Links

Grant Thornton website links

<https://www.grantthornton.co.uk/>

<http://www.grantthornton.co.uk/industries/publicsector>

<https://www.grantthornton.co.uk/en/insights/the-rise-of-local-authority-trading-companies/>

Taunton Deane Borough Council

Corporate Governance Committee – 3 December 2018

SWAP Internal Audit – Internal Audit Plan 2018/19 Progress

This matter is the responsibility of Executive Councillor Richard Parrish

Report Author: Alastair Woodland, Assistant Director, SWAP

1 Executive Summary

- 1.1 The Internal Audit function plays a central role in corporate governance by providing assurance to the Corporate Governance Committee, looking over financial controls and checking on the probity of the organisation.
- 1.2 The 2018-19 Annual Audit Plan is to provide independent and objective assurance on TDBC's Internal Control Environment. This work will support the Annual Governance Statement.

2 Recommendations

- 2.1 Members are asked to note progress made in delivery of the 2018/19 internal audit plan and significant findings since the previous update in September 2018.

3 Risk Assessment

- 3.1 Any large organisation needs to have a well-established and systematic risk management framework in place to identify and mitigate the risks it may face. TDBC has a risk management framework, and within that, individual internal audit reports deal with the specific risk issues that arise from the findings. These are translated into mitigating actions and timetables for management to implement.

Risk Matrix

Description	Likelihood	Impact	Overall
Without the delivery of the approved audit plan there is the risk of insufficient audit work being completed to provide a reasonable assurance to stakeholders that there is an effective control framework in place, adequately mitigating risks to the authority's risk appetite.	3	3	9

Risk Scoring Matrix

Likelihood	5	Almost Certain	Low (5)	Medium (10)	High (15)	Very High (20)	Very High (25)
	4	Likely	Low (4)	Medium (8)	Medium (12)	High (16)	Very High (20)
	3	Possible	Low (3)	Low (6)	Medium (9)	Medium (12)	High (15)
	2	Unlikely	Low (2)	Low (4)	Low (6)	Medium (8)	Medium (10)
	1	Rare	Low (1)	Low (2)	Low (3)	Low (4)	Low (5)
			1	2	3	4	5
			Negligible	Minor	Moderate	Major	Catastrophic
Impact							

Likelihood of risk occurring	Indicator	Description (chance of occurrence)
1. Very Unlikely	May occur in exceptional circumstances	< 10%
2. Slight	Is unlikely to, but could occur at some time	10 – 25%
3. Feasible	Fairly likely to occur at same time	25 – 50%
4. Likely	Likely to occur within the next 1-2 years, or occurs occasionally	50 – 75%
5. Very Likely	Regular occurrence (daily / weekly / monthly)	> 75%

4 Background

4.1 This report summarises the work of the Council's Internal Audit Service and provides:

- Details of any new significant weaknesses identified during internal audit work completed since the last report to the committee in September 2018.
- 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.

4.2 The Internal Audit Progress Report for 2018/19 is contained within the attached SWAP Report.

5 Links to Corporate Aims

5.1 Delivery of the corporate objectives requires strong internal control. The attached report provides a summary of the audit work carried out to date this year by the Council's internal auditors, SWAP Internal Audit Services.

6 Finance

6.1 There are no specific finance issues relating to this report.

7 Legal Implications

7.1 There are no specific legal issues relating to this report.

8 Environmental Impact Implications

8.1 There are no direct implications from this report.

9 Safeguarding and/or Community Safety Implications

9.1 There are no direct implications from this report.

10 Equality and Diversity Implications

10.1 There are no direct implications from this report.

11 Social Value Implications

11.1 There are no direct implications from this report.

12 Partnership Implications

12.1 There are no direct implications from this report.

13 Health and Wellbeing Implications

13.1 There are no direct implications from this report.

14 Asset Management Implications

14.1 There are no direct implications from this report.

15 Consultation Implications

15.1 There are no direct implications from this report.

Democratic Path:

- **Corporate Governance Committees – Yes**

- Cabinet/Executive – No
- Full Council – No

Reporting Frequency : Once only Ad-hoc Quarterly
 Twice-yearly Annually

List of Appendices (delete if not applicable)

Appendix A	SWAP Internal Audit Progress Report 2018/19
------------	---

Contact Officers

Name	Alastair Woodland
Direct Dial	07720312467
Email	alastair.woodland@swapaudit.co.uk

Name	Ian Baker
Direct Dial	07917628774
Email	ian.baker@swapaudit.co.uk

Taunton Deane Borough Council

Report of Internal Audit Activity

Plan Progress 2018/19 – December 2018

Page 29

Contents

The contacts at SWAP in connection with this report are:

Gerry Cox

Chief Executive

Tel: 01935 848540

gerry.cox@SWAPaudit.co.uk

Ian Baker

Director of Quality

Tel: 07917628774

ian.baker@SWAPaudit.co.uk

Alastair Woodland

Assistant Director

Tel: 07872500675

Alastair.woodland@SWAPaudit.co.uk

➔	Role of Internal Audit	Page 1
➔	Internal Audit Work	Page 2 - 4
➔	Approved Changes to the Audit Plan	Page 5
➔	Appendices:	
	Appendix A – Internal Audit Definitions	Page 6 – 7
	Appendix B – Internal Audit Work Plan	Page 8 – 10
	Appendix C – Summary of Key Audit Findings	Page 11 - 15
	Appendix D – Transformation Update	Page 16 - 17

Internal Audit Plan Progress 2018/2019

Our audit activity is split between:

- **Operational Audit**
- **Governance Audit**
- **Key Control Audit**
- **IT Audit**
- **Grants**
- **Follow Up**
- **Non-Opinion / Advisory Reviews**



Role of Internal Audit

The Internal Audit service for the Taunton Deane Borough Council is provided by SWAP Internal Audit Services (SWAP). SWAP is a Local Authority controlled Company. SWAP has adopted and works to the Standards of the Institute of Internal Auditors, further guided by interpretation provided by the Public Sector Internal Audit Standards (PSIAS), and also follows the CIPFA Code of Practice for Internal Audit. The Partnership is also guided by the Internal Audit Charter approved by the Corporate Governance Committee at its meeting in March 2018.

Internal Audit provides an independent and objective opinion on the Authority's control environment by evaluating its effectiveness. Primarily the work includes:

- Operational Audit Reviews
- Cross Cutting Governance Audits
- Annual Review of Key Financial System Controls
- IT Audits
- Grants
- Follow Up
- Non-Opinion / Advisory Review

Internal Audit work is largely driven by an Annual Audit Plan. This is approved by the Section 151 Officer, following consultation with the Corporate Management Team. This year's Audit Plan was reported to this Committee and approved by this Committee at its meeting in March 2018.

Audit assignments are undertaken in accordance with this Plan to assess current levels of governance, control and risk.

Internal Audit Plan Progress 2018/2019

Outturn to Date:

We rank our recommendations on a scale of 1 to 3, with 1 being a fundamental concern to the services/area being reviewed and 3 being a minor concern that requires management attention.



Internal Audit Work

The schedule provided at **Appendix B** contains a list of all audits as agreed in the Annual Audit Plan 2018/19. It is important that Members are aware of the status of all audits and that this information helps them place reliance on the work of Internal Audit and its ability to complete the plan as agreed.

Each completed assignment includes its respective “assurance opinion” rating together with the number and relative ranking of recommendations that have been raised with management. In such cases, the Committee can take assurance that improvement actions have been agreed with management to address these. The assurance opinion ratings have been determined in accordance with the Internal Audit “Audit Framework Definitions” as detailed on **Appendix A** of this document.

Since the September 2018 update the following audits have been finalised.

Audit Area	Quarter	Status	Opinion
2018/19			
Supplier Resilience	1	Final	Partial
Housing Compliance (Fire Safety)	1	Final	Partial
Housing Rents	2	Final	Reasonable
Insurance Arrangements	2	Final	Reasonable
GDPR – Action Plan Progress	2	Final	Reasonable
Growth Agenda – Programme & Project Development	2	Final	Reasonable

Outturn to Date:

We rank our recommendations on a scale of 1 to 3, with 1 being a fundamental concern to the services/area being reviewed and 3 being a minor concern that requires management attention.



Internal Audit Work

Overall good progress has been made on the Audit Plan 2018-19. The current position statement can be seen at [Appendix B](#). At this point I will need to bring to your attention that we have recently had two IT Audit Specialists leave the organisation and this will have an impact on our ability to delivery all the planned IT work to the originally agreed timescales.

Partial Assurance / No Assurance Audits

As agreed with this Committee where a review has a status of 'Final' and has been assessed as 'Partial' or 'No Assurance', I will provide further detail to inform Members of the key issues identified. Since the September 2018 update there are two 'Partial Assurance' reviews I need to bring to your attention, these being the Supplier Resilience review and the Housing Compliance (Fire Safety Management) review. Further details can be found within [Appendix C](#).

'High' Corporate Risk

Our audits examine the controls that are in place to manage the risks that are related to the area being audited. We assess the risk at an inherent level i.e. how significant is the risk(s) at a corporate level on a scale of High, Medium or Low. Once we have tested the controls in place we re-evaluate the risk based on how effective the control are operating to govern that risk (Residual Risk). Where the controls are found to be ineffective and the inherent and residual risk is assessed as 'high', I will bring this to your attention.

Since the September 2018 update there is one 'High' risk that I need to bring to your attention, which is in relation to Housing - Fire Safety Management. The following risk was deemed 'High':

- *Council owned properties are unsafe and non-compliant with fire safety policy and legislation resulting in tenants' lives being put at risk, the Council suffering legal recourse, increased budgetary pressure and damage to its reputation.*

Outturn to Date:

We rank our recommendations on a scale of 1 to 3, with 1 being a fundamental concern to the services/area being reviewed and 3 being a minor concern that requires management attention.

Internal Audit Work

We are conscious that management have taken a number of steps to improve the control environment. Further details can be [Appendix C](#).

We keep our audit plans under regular review so as to ensure that we audit the right things at the right time.

Approved Changes to the Audit Plan

The audit plan for 2018/19 is detailed in **Appendix B**. Inevitably changes to the plan will be required during the year to reflect changing risks and ensure the audit plan remains relevant to Taunton Deane Borough Council. Members will note that where necessary any changes to the plan throughout the year will have been subject to agreement with the appropriate Service Manager and the Audit Client Officer.

Since the September 2018 update there are a couple of plan changes that I need to bring to your attention.

- Due to the work already scheduled for Transformation the review of the Strategic Framework was dropped to supplement time needed for the Housing Compliance (Fire Safety Management) review and to allow time for us to review Redundancy Payments due the significant value expected to be paid out Circa. £5 Million.
- Homelessness Reduction has also been dropped to free up time for us to assist with the Service Mapping Activity. The Service Mapping Activity aims to ensure that the Council has the necessary knowledge / skills in place to deliver key services come the 1 April due to the volume of staff leaving.

At the conclusion of audit assignment work each review is awarded a "Control Assurance Definition";



Audit Framework Definitions

Control Assurance Definitions

- Substantial
- Reasonable
- Partial
- No Assurance
- Non-Opinion/Advisory

Substantial	▲ ★ ★ ★	I am able to offer substantial assurance as the areas reviewed were found to be adequately controlled. Internal controls are in place and operating effectively and risks against the achievement of objectives are well managed.
Reasonable	▲ ★ ★ ★	I am able to offer reasonable assurance as most of the areas reviewed were found to be adequately controlled. Generally risks are well managed but some systems require the introduction or improvement of internal controls to ensure the achievement of objectives.
Partial	▲ ★ ★ ★	I am able to offer Partial assurance in relation to the areas reviewed and the controls found to be in place. Some key risks are not well managed and systems require the introduction or improvement of internal controls to ensure the achievement of objectives.
No Assurance	▲ ★ ★ ★	I am not able to offer any assurance. The areas reviewed were found to be inadequately controlled. Risks are not well managed and systems require the introduction or improvement of internal controls to ensure the achievement of objectives.

Non-Opinion/Advisory – In addition to our opinion-based work we will provide consultancy services. The “advice” offered by Internal Audit in its consultancy role may include risk analysis and evaluation, developing potential solutions to problems and providing controls assurance. Consultancy services from Internal Audit offer management the added benefit of being delivered by people with a good understanding of the overall risk, control and governance concerns and priorities of the organisation.

We keep our audit plans under regular review, so as to ensure we are auditing the right things at the right time. Recommendations are prioritised from 1 to 3 on how important they are to the service/area audited. These are not necessarily how important they are to the organisation at a corporate level.



Audit Framework Definitions

Categorisation of Recommendations

When making recommendations to Management it is important that they know how important the recommendation is to their service. There should be a clear distinction between how we evaluate the risks identified for the service but scored at a corporate level and the priority assigned to the recommendation. No timeframes have been applied to each Priority as implementation will depend on several factors; however, the definitions imply the importance.

- Priority 1: Findings that are fundamental to the integrity of the service’s business processes and require the immediate attention of management.
- Priority 2: Important findings that need to be resolved by management.
- Priority 3: Finding that requires attention.

Each audit covers key risks. For each audit a risk assessment is undertaken whereby with management risks for the review are assessed at the Corporate inherent level (the risk of exposure with no controls in place) and then once the audit is complete the Auditors assessment of the risk exposure at Corporate level after the control environment has been tested. All assessments are made against the risk appetite agreed by the SWAP Management Board.

Definitions of Risk

Risk	Reporting Implications
Low	Issues of a minor nature or best practice where some improvement can be made.
Medium	Issues which should be addressed by management in their areas of responsibility.
High	Issues that we consider need to be brought to the attention of Senior Management & the Audit Committee.

Summary of Key Audit Findings

APPENDIX C

Audit Type	Audit Area	Quarter	Status	Opinion	No of Rec	1 = Major ← → 3 = Minor			Comments
						Recommendation			
						1	2	3	
FINAL									
Follow-up	Use of non-contracted suppliers - DLO	1	Final	Non-Opinion	2	-	2	-	
Follow-up	Housing Compliance - Gas Safety	1	Final	Non-Opinion	-	-	-	2	
Follow-up	DLO External Income	1	Final	Non-Opinion	6	-	1	5	
Follow-up	Parking Maintenance	1	Final	Non-Opinion	3	0	0	3	
Governance, Fraud & Corruption	GDPR - Members Awareness Training	1	Final	Non-Opinion	-	-	-	-	
Operational	Crematorium Service Review	1	Final	Partial	6	2	4	0	Reported September 2018
Governance, Fraud & Corruption	Supplier Resilience	1	Final	Partial	6	-	1	5	See Appendix C
Operational	Housing Compliance (Fire Safety Management)	1	Final	Partial	11	4	4	3	See Appendix C
Key Control Audit	Housing Rents	2	Final	Reasonable	5	-	1	4	
Governance, Fraud & Corruption	Insurance Arrangements	2	Final	Reasonable	2	-	2	-	
Governance, Fraud & Corruption	GDPR - Action Plan Progress	2	Final	Reasonable	7	-	-	7	
Governance, Fraud & Corruption	Growth Agenda - Programme and Project Management	2	Final	Reasonable	2	-	1	1	

Page 38

Summary of Key Audit Findings

APPENDIX C

Audit Type	Audit Area	Quarter	Status	Opinion	No of Rec	1 = Major ↔ 3 = Minor			Comments
						Recommendation			
						1	2	3	
DRAFT									
Governance, Fraud & Corruption	Healthy Organisation	2 & 3	Review	Medium	43	-	-	-	Areas for attention are advisory and therefore have not been prioritised.
IN PROGRESS									
Transformation	Service Mapping Activity (NEW)	3	In progress						See Appendix D
Information & Communication Technology	Universal Transaction Portal	1 to 3	In Progress						
Transformation	Business Process Re-engineering	1 to 4	In Progress						See Appendix D
Transformation	Benefits Realisation Management	1 to 4	In Progress						See Appendix D
Transformation	New Council Governance	1 to 4	In Progress						
NOT STARTED									
Information & Communication Technology	Refresh of Network Security Infrastructure	2 to 3	Not started						
Information & Communication Technology	Programme of Consolidation	2 to 4	Not started						
Key Control Audit	Creditors	3 & 4	Not started						

Page 39

Summary of Key Audit Findings

APPENDIX C

Audit Type	Audit Area	Quarter	Status	Opinion	No of Rec	1 = Major ↔ 3 = Minor			Comments
						Recommendation			
						1	2	3	
Key Control Audit	Debtors	3 & 4	Not started						
Key Control Audit	Treasury Management	3 & 4	Not started						
Key Control Audit	Main Accounting	3 & 4	Not started						
Transformation	Redundancy Payments (NEW)	4	Not started						
Key Control Audit	System parameter Testing	4	Not started						
DROPPED									
Transformation	Strategic Framework	1 to 4	Dropped						Time to Fire Safety Management and Redundancy Payments
Operational	Homelessness Reduction	4	Dropped						Time to Service Mapping Activity
Key Control Audit	Payroll System (Contract Arrangement)	2	Dropped						Time to Service Mapping Activity

Page 40

Audit completed since the September 2018 update: Assignments since the September 2018 update:

These are actions that we have identified as being high priority and that we believe should be brought to the attention of the Corporate Governance Committee.



Summary of Audit Findings and High Priority Service Findings

The following information provides a brief summary of each audit review finalised since the last Committee update in September 2018. Each audit review is displayed under the relevant audit type, i.e. Operational; Key Control; Governance; Fraud & Corruption; ICT and Special Review. Since the September 2018 update there are two Partial Assurance audit opinions that I need to bring to your attention.

Operational Audits

Operational audits are a detailed evaluation of a Service’s control environment. A risk matrix is devised and controls are tested that mitigate those risks. Where weaknesses or areas for improvement are identified, actions are agreed with management and target dated.

Housing Compliance (Fire Safety Management) – Partial Assurance

The Grenfell Tower Fire in North Kensington, West London in June 2017 served as a harsh reminder to Local Authorities of the need to carry out Fire Risk Assessments (FRA) on relevant Council owned properties. It is equally important that any necessary remedial works have been carried out within the required timeframes to ensure compliance with the Regulatory Reform (Fire Safety) Order 2005.

This audit was agreed as part of a cyclical programme to look at housing compliance for the Council’s properties. Fire Safety Management is the second area to be audited since this programme has been introduced. This audit sought assurance that Council owned properties are safe and compliant with fire safety policy and legislation.

Most significant of our findings was the general lack of an overview of when Extra Care Schemes, Domestic and Corporate Properties and Retail and Commercial Premises FRAs were last carried out. Based on our testing and the records maintained we could not provide absolute assurance that all properties and premises

Audit completed since the September 2018 update: Assignments since the

These are actions that we have identified as being high priority and that we believe should be brought to the attention of the Corporate Governance Committee.

Operational Audits Continued

had received FRAs within the required timescales.

While we acknowledge that Management have done a lot of work with regards to procuring a new database for managing FRAs, at the point of testing, this had not been implemented and instead records were being maintained on spreadsheets and FRAs stored within SharePoint (the intranet). The lack of a dedicated database meant that management reports could not be promptly produced on all the areas they needed to effectively manage this service. Those management reports that were produced were time consuming to compile. The lack of detailed management information made scheduling difficult.

We also noted that there was only one Asset Surveyor carrying out the FRAs and that these were not his sole responsibility. We made clear to Management that they needed to carefully assess the resources required to carry out the FRAs within the required timeframe otherwise the likelihood of injury or death of a tenant and the Council suffering legal recourse, increased budgetary pressure and damage to its reputation would increase. A follow-up audit will be carried out in Quarter 1 of 2019/20.

Audit completed since the September 2018 update: Assignments since the September 2018 update:

These are actions that we have identified as being high priority and that we believe should be brought to the attention of the Corporate Governance Committee.

Governance, Fraud and Corruption Audits

The Governance, Fraud and Corruption Audit process focuses primarily on key risks relating to cross cutting areas that are controlled and/or impact at a Corporate rather than Service specific level. It also provides an annual assurance review of areas of the Council that are inherently higher risk. This work will enable SWAP to provide management with assurance that key controls are in place. SWAP will use the findings of these reviews to support the assurance that is required as part of the Council’s Annual Governance Statement; it will also provide assurance to the External Auditor on areas that they have requested specific assurance.

Supplier Resilience – Partial Assurance

This audit sought assurance that the Council had effective arrangements in place to assess the business resilience of suppliers and ensure service continuity in the event of supplier failure.

Taunton Deane Borough Council and West Somerset Council have not outsourced many of their services; preferring to work in partnership with other councils or retain the service in-house. They also have very few suppliers that have been contracted to deliver more than one service; this does reduce the risk as the number of contracts that could impact on service delivery, as a result of supplier failure, is less than for a council with a high number of outsourced services. For this reason, the risk assessment at a corporate level returned a ‘Medium’ assessment rather than ‘High’. However, even where the delivery mechanism is outsourced, responsibility for the service remains attached to the local authority. As a result, all contracts require adequate management and monitoring of the supplier, to ensure continuity and satisfactory performance of the services provided.

Sound due diligence processes are crucial. When a council takes on a new supplier it should be thinking beyond the products and services that the contractor is supplying, and its ability to deliver them, and look at whether the contractor itself prioritises business resilience and effectively manages its own risks such as

Audit completed since the September 2018 update: Assignments since the September 2018 update:

These are actions that we have identified as being high priority and that we believe should be brought to the attention of the Corporate Governance Committee.

Governance, Fraud and Corruption Audits Continued

bribery compliance, cyber security, business continuity and data protection. The councils’ own business continuity arrangements should also be clear.

We found that some due diligence checks were undertaken at the procurement stage: the financial stability of suppliers was checked upon request, and in some but not all cases relevant insurance and business continuity arrangements were reviewed, and copies of documents obtained. There was, however, no consistency in how these documents were retained and by whom. Changes in personnel had also resulted in historic documentation being lost. There was also no evidence that the criticality of the service to either council was assessed at the procurement stage to determine the level of due diligence to be followed.

In addition, there was limited assurance that the contractors, and the supply chain as a whole, will continue to operate for the foreseeable future as there was little or no evidence of continuity plans being tested, and periodic credit checks being undertaken. Where revised business continuity plans, and updated insurance documentation was provided to the councils, there was no consistency to the retention of this documentation and the responsibility assigned for ensuring they were robust and covered the relevant areas set out within the contract / agreement. Some documents were retained by the Procurement Manager and some by the manager responsible for the contract.

The Contract Managers, responsible for monitoring the three contracts reviewed, maintained regular dialogue with the supplier in order to monitor the supplier performance and discuss any performance or contract related issues; however, the responsibility for monitoring supplier resilience within this role was not clear.

We have reported that a supplier resilience framework is required and that this should be communicated to all relevant staff. An assessment of their current suppliers to determine their criticality to each council and the delivery of services or policy outcomes should then be undertaken. The level of monitoring undertaken on the supplier needs to be proportionate to the results of this assessment.

Audit completed since the September 2018 update: **Assignments since the September 2018 update:**

These are actions that we have identified as being high priority and that we believe should be brought to the attention of the Corporate Governance Committee.

Governance, Fraud and Corruption Audits Continued

A follow-up audit will be carried out in Quarter 1 of 2019/20.

Page 45

Audit completed since the September 2018 update: Assignments since the September 2018 update:

These are actions that we have identified as being high priority and that we believe should be brought to the attention of the Corporate Governance Committee.

Page 46

Transformation

In the 2018/19 audit plan we included time to provide assurance on areas that focused on transformation, these included but were not restricted to Business Process Re-engineering (BPR) and Benefits Realisation Management (BRM). Our position statement on BPR issued to Management in April 2018 concluded that we were satisfied the methodology being applied was in line with best practice. A separate position statement on Benefits Realisation Management covering progress made over May/June 2018 raised concerns about:

- The Benefits Realisation Plan being incomplete;
- Due to the lack of up-to-date financial information and the level of uncertainty with costs in each workstream during the design phase we could not provide assurance around the delivery of financial savings at that point in time.

On 12 November 2018 a meeting was held with the Programme Manager who provided us with an update on the progress made with BPR and BRM. Following this meeting we were provided with supporting documentation to back up what was said to us. We make the following observations from our meeting and the documentation provided:

- Business Realisation Management
We note that there is a Benefits Management Plan in existence, which includes a Benefits Realisation Action Plan. With reference to redundancy costs as at November 2018 we note those for the DLO (£798k) and excluding the DLO (£4.48m). We also acknowledge the one-off funding required for maintaining business as usual service capacity at acceptable levels and observe the New Council costs have increased from £7.141m to £9.528m but appreciate that there is a plan in place to balance the increase in the budget (£2.387m). Management have confirmed that overall the savings target has been revised to £3.5m with an increase in the net pay back period to 2.7 years. Management regard this as acceptable in terms of value for money.

Audit completed since the September 2018 update: Assignments since the September 2018 update:

These are actions that we have identified as being high priority and that we believe should be brought to the attention of the Corporate Governance Committee.

Transformation (continued)

- Business Process Re-engineering
 Management have confirmed that a Process Redesign exercise identified a full list of processes carried out by Taunton Deane and West Somerset Councils. The exercise identified 721 processes of which 432 that were triggered by customers. A further detailed analysis of the list identified 401 processes that would benefit from some redesign of which 254 were aimed to Go Live by April 2019. As at August 2018 thirteen sprints had been completed and a total of fifty-one processes had been reviewed from a Process Redesign Perspective and handed over to the Tech workstream. Twenty-nine were in progress (mostly just waiting to be signed-off). Since then we noted that the review of some processes were hampered by erroneous data which impacted on the efficiency of the Business Analysts, but six more Business Analysts have since been employed to help. These additions together with end user testing to ensure the process works in practice gives us more, but not complete assurance, that Business Process Reengineering is on track.

Finally we have reviewed what Management have identified as the Top Risks with the Transformation Programme and we would concur with them. We note that the four risks identified with an amber RAG rating have permanent solutions in place and the risk identified as ‘High volume of staff gaps in new organisation’ has a red RAG rating, however strategic solution are in place to forecast a worst-case scenario and build a plan. Internal Audit is also helping with the completion of the Activity Tracker to identify where resource gaps/training needs are required to deliver key processes.

Page 47

Taunton Deane Borough Council Corporate Governance Committee – 3rd December 2018

Report on Health and Safety Performance

This matter is the responsibility of The Chief Executive and Leader of the Council

Report Author: Erica Lake, Environmental Health Manager

1 Executive Summary / Purpose of the Report

This report provides an update on the progress of a range of Health and Safety matters across the organisation. These include:

- Accident and Incident Data for the period
- Report on actions agreed by Health and Safety Committee
- Policy updates

2 Recommendations

The committee are asked to note the ongoing actions to continuously improve our health and safety operating culture.

3 **Risk Assessment** Not required – twice yearly update report.

4 Background and Full details of the Report

4.1 Accident and Incident Data for the period

Fig 1. Accident and incident statistics 1 April 2016 – 31st March 2017 as a comparison

TDBC Accident Totals 1st April 2016 - 31st March 2017				
Classification	TDBC & WSC	DLO & Crematorium	Public	Tenants (public areas)
Reportable	0	1	0	0
Non-reportable	12	40	5	6
Near Miss	4	16	0	0
Period Total	16	57	5	6

Fig 2. 1 April 2017 – 31st March 2018

TDBC Accident Totals 1st April 2017 - 31 March 2018				
Classification	TDBC & WSC	Deane Depot & Crematorium	Public	Tenants (public areas)
Reportable	0	4	0	0
Non-reportable	6	36	8	2
Near Miss	18	13	2	2
Period Total	24	53	10	4

Fig 3. 1 April 2018 – present

TDBC Accident Totals 1st April 2018 - present				
Classification	TDBC & WSC	Deane Depot & Crematorium	Public	Tenants (public areas)
Reportable	0	3 (+2 HAVS)*	0	0
Non-reportable	12	24	2	0
Near Miss	0	0	0	0
Period Total	12	29	2	0

*2 cases of Hand Arm Vibration Syndrome reported to HSE Nov 2018.

Fig 3. Accidents by month for 2015/16, 2016/17 and 2017/18 (figures for 2018-19 not included)

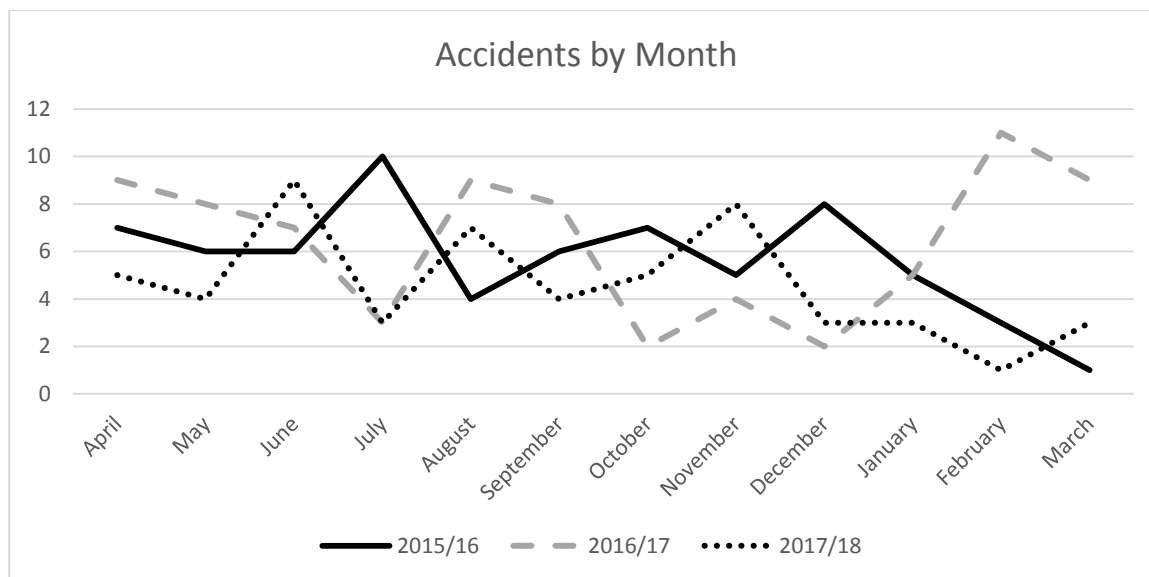
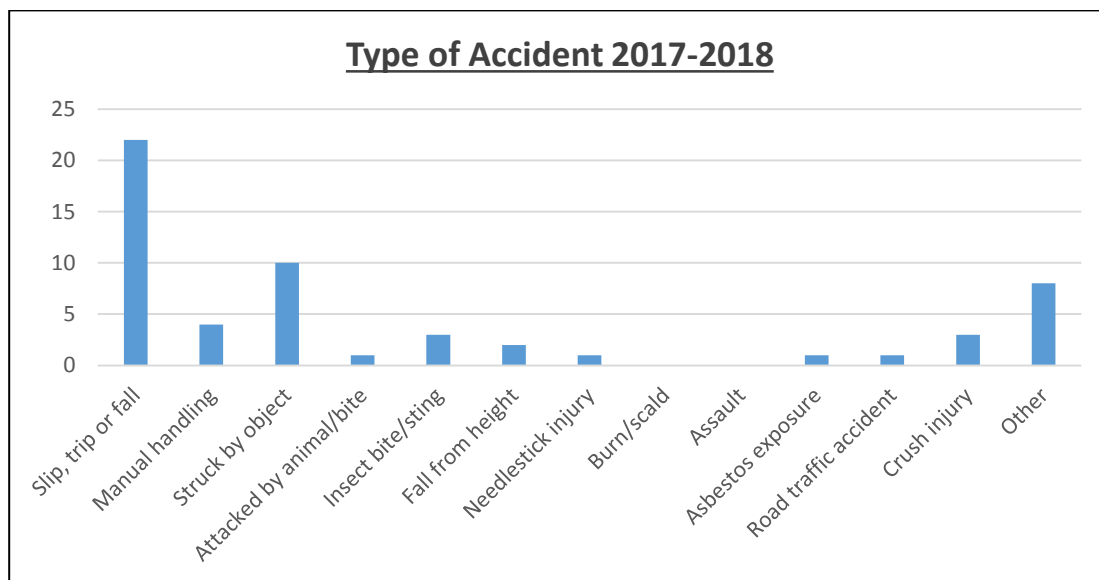


Fig. 4 Accidents by Type 2017 – 18 (figures for 2018-19 not included)



4.2 Analysis of data for 2018 - present

5 reports were made to HSE during 2018 – for notifiable diseases or injuries which meant that the employee was off work for more than 7 days.

- 1 cut to finger using hand tools and 1 fall down stairs
- 2 cases of Hand Arm Vibration Syndrome. This is a notifiable disease reportable to HSE.

Controls for Hand Arm Vibration Syndrome (HAVS)

The following interventions have been put in place to control the risk of HAVS:

- Updates to generic risk assessments
- Personal risk assessments completed
- Additional information and advice provided by the H&S advisor to individual employees and supervisors
- Exposure to equipment with high levels of vibration prohibited
- Tool box talks to be planned for all staff exposed and their supervisors
- Tools to be assessed for vibration
- Levels of vibration taken into account when allocating jobs

4.3 Report on actions agreed by Health and Safety Committee

Meetings of the Health and Safety committee continue to be eight weekly to reflect changes ongoing with the Transformation and Accommodation projects which could potentially increase risks to the safety and wellbeing of employees.

At the meeting on 4th October 2018 an update was provided on an incident which occurred in the West Somerset House reception area during September 2018. A member of the public became extremely aggressive towards staff based at WSH and attempted to enter the restricted staff area. As a result of the incident this person was banned from council buildings for 3 months, risk assessments updated and a report will

be presented to the H&S Committee on 28th November 2018 outlining options to reduce and control the risk to staff working in this area. Risk assessments for the new reception area at Deane House have also been reviewed as a result of this incident as we move towards a shared reception space with Avon and Somerset Police.

The Committee will reviewed the arrangements in place in respect of the shared reception and office space at Deane House and a draft working protocol has also been sent to Unison for consultation.

4.4 Policy Updates

Updates to a wide range of policies will be required as we move through transformation and the establishment of the new council. These will need to reflect the vision and values of the organisation and detail how we manage and monitor health and safety performance.

5 Links to Corporate Aims / Priorities

Competent employees working safely in the delivery of the Council's services form an essential contribution to the Corporate Aims.

6 Finance / Resource Implications

There are no direct finance / resource implications arising from this report. Any remedial actions arising will be financed from existing budgets.

7 Legal Implications (if any)

There are no direct legal implications as a result of the report.

8 Environmental Impact Implications

There are no environmental implications arising from the report.

9 Safeguarding and/or Community Safety Implications (if any)

There are no safeguarding /community implications arising from the report.

10 Equality and Diversity Implications (if any)

There are no equality and diversity implications arising from the report.

11 Social Value Implications (if any)

There are no social value implications arising from the report.

12 Partnership Implications

There are no partnership implications arising from the report

13 Health and Wellbeing Implications

The report supports health and wellbeing strategies for employees of Taunton Deane and West Somerset Council.

14 Asset Management Implications

There are no Asset Management implications arising from the report

15 Consultation Implications (if any)

There are no Asset Management implications arising from the report

16 Scrutiny Comments / Recommendation(s) (if any)

There are no comments.

Democratic Path:

- **Scrutiny / Corporate Governance or Audit Committees – Yes**
- **Cabinet/Executive – No** (delete as appropriate)
- **Full Council – No** (delete as appropriate)

Reporting Frequency : **Once only** **Ad-hoc** **Quarterly**
 Twice-yearly **Annually**

