

GODALMING TOWN COUNCIL

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28 January 2022

I HEREBY SUMMON YOU to attend the **AUDIT COMMITTEE** Meeting to be held in the Council Chamber, Waverley Borough Council, The Bury, Godalming on THURSDAY, 3 FEBRUARY 2022 at 7.30pm, or at the conclusion of the preceding Extraordinary Policy & Management Committee, whichever is later.

Andy Jeffery
Town Clerk

If you wish to speak at this meeting please contact Godalming Town Council on 01483 523575 or email office@godalming-tc.gov.uk

Where possible proceedings will be live streamed via the Town Council's Facebook page. If you wish to watch the council meeting's proceedings, please go to Godalming Town Council's [Facebook](#) page.

Committee Members: Councillor Boyle
Councillor Crooks – Vice-Chair
Councillor Heagin – Chair
Councillor Stubbs
Councillor Welland

AGENDA

1. **MINUTES**

To approve as a correct record the minutes of the meeting held on the 16 September 2021, a copy of which has been circulated previously.

2. **APOLOGIES FOR ABSENCE**

3. **DISCLOSABLE PECUNIARY INTERESTS AND NON-PECUNIARY INTERESTS**

To receive from Members any declarations of interests in relation to any items included on the Agenda for this meeting required to be disclosed by the Localism Act 2011 and the Godalming Members' Code of Conduct.

4. **PETITIONS/STATEMENTS/QUESTIONS FROM MEMBERS OF THE PUBLIC**

The Chair to invite members of the public to make representations, ask or answer questions and give evidence in respect of the business on the agenda or other matters not on the agenda. This forum to be conducted in accordance with Standing Order 5.

5. **QUESTIONS BY MEMBERS**

To consider any questions from Councillors in accordance with Standing Order 6.

6. WORK PROGRAMME

Members to consider the Committee's Work Programme and to note progress on the items therein (copy attached for the information of Members).

7. BANK RECONCILIATION

The Responsible Finance Officer to table the current Bank Reconciliation for the information of Members.

Members to agree that the Chair should sign the bank reconciliation tabled.

8. INTERNAL AUDITOR'S REPORT

Members to consider the report from the Council's Internal Auditor, Mulberry & Co, on an interim internal audit conducted on 7 September 2021 for the 2021/22 financial year (report attached for the information of Members).

9. REVIEW OF RISK ASSESSMENT – ENVIRONMENT

Members to consider the risk assessment on Environment (attached for the information of Members).

10. REVIEW OF RISK ASSESSMENT – HEALTH & SAFETY

Members to consider the risk assessment on Health & Safety (attached for the information of Members).

11. REVIEW OF RISK ASSESSMENT – LEGAL

Members to consider the risk assessment on Legal (attached for the information of Members).

12. REVIEW OF BUSINESS CONTINUITY PLAN

Members to review the Business Continuity Plan (attached for the information of Members).

13. WORKPLACE ASSESSMENTS

As an employer, it is our responsibility to protect staff members from the health risks that are related to working with Display Screen Equipment (DSE), such as PCs, laptops, tablets and smartphones.

The Health & Safety (Display Screen Equipment) Regulations 1992 apply to workers who use DSE daily, for an hour or more at a time. The Health & Safety Executive refers to these workers as 'DSE users'. Prolonged use of computer workstations and display screen equipment can lead to neck, shoulder, back or arm pain, along with stress, fatigue and temporary eyestrain.

This Committee agreed that workplace assessments should be performed for all full time office based staff once the move to the new office premises had taken place. The RFO has obtained two quotes for performing workplace assessments as detailed below.

Supplier	Qualifications	Standard Fee	Comprehensive Fee
A	Trained assessor – no further details	£100.00	N/A
B	Chartered Physiotherapists	£90.00	£300.00

Comprehensive workstation assessments are recommended for people who are suffering from more significant discomfort/pain, an injury or a disability which affects their comfort at work.

The Council have six full time staff and two part time staff who require workplace assessments. Two of these staff members have pre-existing conditions that may affect their DSE assessment.

Members are requested to consider the quotes received for Workplace Assessments and resolve to approve the preferred quote.

14. FINANCIAL REGULATIONS

At the Full Council meeting on 23 September 2021 when the recommendations from this Committee regarding Financial Regulations was considered, Members requested the Audit Committee consider a timeframe for reviewing suppliers used under 11.1a (Min No 302-21 refers).

This Regulation states:

11.1. Procedures as to contracts are laid down as follows:

- a. Every contract shall comply with these financial regulations, and no exceptions shall be made otherwise than in an emergency provided that this regulation need not apply to contracts which relate to items (i) to (vi) below:*
 - i. for the supply of gas, electricity, water, sewerage and telephone services;*
 - ii. for specialist services such as are provided by legal professionals acting in disputes;*
 - iii. for work to be executed or goods or materials to be supplied which consist of repairs to or parts for existing machinery or equipment or plant;*
 - iv. for work to be executed or goods or materials to be supplied which constitute an extension of an existing contract by the Council;*
 - v. for additional audit work of the external auditor up to an estimated value of £500 (in excess of this sum the Clerk and RFO shall act after consultation with the Chair and Vice Chair the Policy & Management Committee); and*
 - vi. for goods or materials proposed to be purchased which are proprietary articles and / or are only sold at a fixed price.*

Members are asked to consider Full Council's request and propose a recommendation.

15. DATE OF NEXT MEETING

The next meeting of the Audit Committee is scheduled to be held in The Pepperpot on Monday, 25 April 2022 at 7.00pm.

16. ANNOUNCEMENTS

Brought forward by permission of the Chair. Requests to be submitted prior to commencement of the meeting.

AUDIT COMMITTEE WORK PROGRAMME

SUBJECT	NAME OF PERSON UNDERTAKING REVIEW	PREVIOUS COMPLETION DATE	ACTIONS BROUGHT FORWARD	STATUS	ACTIONS CARRIED FORWARD
Bank Reconciliation	Cllr Heagin/RFO	16 September 2021	Latest Bank recs reviewed at each meeting of Audit Committee	Chair to review and sign at each meeting of the Audit Committee	Ongoing
Internal Control – Meeting 1					
Income Controls	Cllr Heagin	1 July 2021	Conducted 1 July 2021 – no issues identified	Annual review to be completed by July 2022	
Payment Controls	Cllr Heagin	1 July 2021	Conducted 1 July 2021 – no issues identified	Annual review to be completed by July 2022	
Payroll Controls	Cllr Heagin	1 July 2021	Conducted 1 July 2021 – no issues identified	Annual review to be completed by July 2022	
Petty Cash	Cllr Heagin	16 September 2021	Consult with staff about removing petty cash	Petty cash to be removed	Bank remaining petty cash into Council bank account and close petty cash.
Proper Book-keeping	Cllr Heagin	1 July 2021	Conducted 1 July 2021 – no issues identified	Annual review to be completed by July 2022	
VAT Controls	Cllr Heagin	1 July 2021	Conducted 1 July 2021 – no issues identified	Annual review to be completed by July 2022	

SUBJECT	NAME OF PERSON UNDERTAKING REVIEW	PREVIOUS COMPLETION DATE	ACTIONS BROUGHT FORWARD	STATUS	ACTIONS CARRIED FORWARD
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Miscellaneous – Meeting 2					
External Auditor's Report	RFO	16 September 2021	Annual report received 16 September 2021. Onward recommendation to Full Council on 23 September 2021	Annual review to be completed by September 2022	Chair to write to SAAA and PKF Littlejohn regarding poor process.
Asset Control	Cllr Boyle/RFO	16 September 2021	Onward recommendation to Full Council on 23 September 2021 of new Fixed Asset Disposal Policy	Annual review to be completed by September 2022	
Review of Suppliers	RFO /Facilities Supervisor /TC	Ongoing	Telephone services – as part of move to new offices, quotes received from three suppliers. Decision to go with Phones for Business.	On this agenda	
Financial Regulations	RFO	16 September 2021	Review of Financial Regulations completed by this Committee 16 September 2021. Onward recommendation to Full Council on 23 September 2021	On this agenda	
Procedures	Cllr Welland	Ongoing	Creating a Standard Operating Procedures File for each position	Ongoing task	
Budgetary Controls	Cllr Welland	16 September 2021	Conducted 16 September 2021 – to be reviewed in 12 months	Annual review to be completed by September 2022	

SUBJECT	NAME OF PERSON UNDERTAKING REVIEW	PREVIOUS COMPLETION DATE	ACTIONS BROUGHT FORWARD	STATUS	ACTIONS CARRIED FORWARD
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Risk Management – Meeting 3					
Risk Assessment – Business Continuity	Cllr Heagin /RFO	6 February 2020	To be reviewed at least every three years	On this agenda	
Risk Assessment – Environmental	Cllr Crooks/RFO	6 February 2020	To be reviewed at least every three years	On this agenda	Cllr Crooks to discuss developing an Environment Sustainability Policy with Cllr Follows
Risk Assessment – Legal	Cllr Boyle/RFO	6 February 2020	To be reviewed at least every three years	On this agenda	
Risk Assessment – Physical & Information Security	Cllr Welland/RFO	10 September 2020	To be reviewed at least every three years	Next review to be completed by 31 March 2023	
Risk Assessment – Reputation	Cllr Stubbs /RFO	6 February 2020	To be reviewed at least every three years	Next review to be completed by 31 March 2023	
Risk Assessment – Health & Safety	Cllr Stubbs /RFO	6 February 2020	To be reviewed at least every three years	On this agenda	RFO to organise Workplace Assessments for full time staff – when staff have moved into new premises – on this agenda
Risk Assessment – Financial	Cllr Crooks /RFO	10 September 2020	To be reviewed at least every three years	Next review to be completed by 31 March 2023	
Insurance	Town Clerk/RFO/ Cllr Heagin	29 April 2021	To be reviewed annually	Next review to be completed by 31 March 2022	.
Risk Assessment – Safeguarding	Cllr Boyle	21 January 2021	To be reviewed at least every three years	Next review to be completed by 31 March 2024	

SUBJECT	NAME OF PERSON UNDERTAKING REVIEW	PREVIOUS COMPLETION DATE	ACTIONS BROUGHT FORWARD	STATUS	ACTIONS CARRIED FORWARD
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Year End – Meeting 4					
Internal Auditor's Reports	RFO	29 April 2021	Interim audit report received and responses given. Onward recommendation to next Full Council meeting	On this agenda	
Management of Debt (particularly Bad Debt)	RFO	29 April 2021	To be reviewed annually	Annual review completed by March 2022	
Review of Effectiveness of Internal Control	Cllr Heagin /RFO	22 April 2021 (at Full Council due to COVID-19)	To be reviewed annually	Annual review to be completed as part of Annual Governance and Accountability Return process.	
Annual Governance Statement	Cllr Heagin /RFO	22 April 2021 (at Full Council due to COVID-19)	To be reviewed annually	Annual review to be completed as part of Annual Governance and Accountability Return process.	
Annual Accounting Statements	Cllr Heagin /RFO	22 April 2021 (at Full Council due to COVID-19)	To be reviewed annually	Annual review to be completed as part of Annual Governance and Accountability Return process.	
Review of Credit Control Procedures	RFO	21 January 2021	To be reviewed at least every three years	Next review to be completed by 31 January 2024	
Review of Council Banking Arrangements	Cllr Heagin /RFO	16 September 2021 – on the 13 January 2022 Full Council agenda	To be reviewed each Administration	Next review to be completed after May 2023	

SUBJECT	NAME OF PERSON UNDERTAKING REVIEW	PREVIOUS COMPLETION DATE	ACTIONS BROUGHT FORWARD	STATUS	ACTIONS CARRIED FORWARD
Review of Treasury & Investment Policy		29 April 2021	To be reviewed at least every three years	Next review to be completed by April 2024	



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Our Ref: MARK/GOD001

Ms R Tong
Godalming Town Council
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7th September 2021

Dear Rita

Re: Godalming Town Council
Internal Audit Year Ended 31st March 2022

Executive Summary

Following completion of our interim internal audit on the 7th September 2021 we enclose our report for your kind attention and presentation to the Council. The audit was conducted in accordance with current practices and guidelines and testing was risk based. Whilst we have not tested all transactions, our samples have where appropriate covered the entire year to date. **Testing requirements are shown in Red** and where appropriate **recommendations for future action are shown in bold text and summarised in the tables at the end of the report.**

Our report is presented in the same order as the assertions on the internal auditor report within the published AGAR. The start of each section details the nature of the assertion to be verified, followed by recommended minimum testing requirements. Each section is then concluded with an opinion as to whether the assertion has been met or not.

Our sample testing did not uncover any errors or misstatements that require reporting to the external auditor, nor did we identify any significant weaknesses in the internal controls such that public money would be put at risk.

It is clear the council takes governance, policies and procedures very seriously and I am pleased to report that overall the systems and procedures you have in place are fit for purpose. The existence of an audit committee with its own detailed scope of works, testing & reporting regimen is very much best practice. I would recommend the continuance of this into the future.

I would like to thank Rita for her assistance and whilst my report contains recommendations to change these are not indicative of any significant failings, but rather are pointers to improving upon an already well ordered system.

It is therefore our opinion that the systems and internal procedures at Godalming Town Council are well established, and followed.

Regulation

The Accounts and Audit Regulations 2015 require smaller authorities, each financial year, to conduct a review of the effectiveness of the system of internal control and prepare an annual governance statement in accordance with proper practices in relation to accounts. In addition to this, a smaller authority is required by Regulation 5(1) of the Accounts and Audit Regulations 2015 to “undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account public sector internal auditing standards or guidance.”

Internal auditing is an independent, objective assurance activity designed to improve an organisation’s operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes. The purpose of internal audit is to review and report to the authority on whether its systems of financial and other internal controls over its activities and operating procedures are effective.

Internal audit’s function is to test and report to the authority on whether its specific system of internal control is adequate and working satisfactorily.

The internal audit reports should therefore be made available to all members to support and inform them when they considering the authority’s approval of the annual governance statement.

Independence & Competence

Your audit was conducted by Mark Mulberry of Mulberry & Co. We confirm we are independent from the management of the financial controls and procedures of the council and neither the internal auditor or the firm have any conflicts of interest with the audit client, nor do they provide any management or financial assistance to the client.

Your auditor is a qualified practicing accountant with over 20 years’ experience as a registered statutory auditor.

Engagement Letter

An engagement letter was issued In August 2021 covering the 2021/22 internal audit assignment. Copies of this document are available on request.

Planning & Inherent Risk Assessment

The scope and plan of works including fee structure was issued to the council on the 1st September 2020 under separate cover. Copies of this document are available on request. In summary, our work will address each of the internal control objectives as stated on the Annual Internal Audit Report of the AGAR.

- There have been no instances of breaches of regulations in the past
- The client uses an industry approved financial reporting package
- The client regularly carries out reconciliations and documents these
- There is regular reporting to council
- The management team are experienced and informed
- Records are neatly maintained and referenced
- The client is aware of current regulations and practices
- There has been no instance of high staff turnover
- The client has an audit committee with detailed terms of reference and work programme

It is my opinion that the inherent risk of error or misstatement is low and the controls of the council can be relied upon and as such substantive testing of individual transactions is not required. Testing to be carried out will be “walk through testing” on sample data to encompass the period of the council year under review.

Contents

A. BOOKS OF ACCOUNT (INTERIM AUDIT).....	5
B. FINANCIAL REGULATIONS, GOVERNANCE & PAYMENTS (INTERIM & FINAL AUDIT).....	7
C. RISK MANAGEMENT & INSURANCE (INTERIM AUDIT)	11
D. BUDGET, PRECEPT & RESERVES (INTERIM & FINAL AUDIT)	12
E. INCOME (INTERIM & FINAL AUDIT)	13
F. PETTY CASH (INTERIM AUDIT).....	14
G. PAYROLL (INTERIM & FINAL AUDIT)	15
H. ASSETS AND INVESTMENTS (INTERIM & FINAL AUDIT)	16
I. BANK & CASH (INTERIM & FINAL AUDIT).....	17
J. YEAR END ACCOUNTS (INTERIM & FINAL AUDIT)	18
K. LIMITED ASSURANCE REVIEW (INTERIM & FINAL AUDIT)	21
L: TRANSPARENCY (INTERIM & FINAL AUDIT)	21
M: EXERCISE OF PUBLIC RIGHTS - INSPECTION OF ACCOUNTS	21
N. PUBLICATION REQUIREMENTS (INTERIM & FINAL AUDIT)	23
O. TRUSTEESHIP (INTERIM AUDIT)	23

A. BOOKS OF ACCOUNT (INTERIM AUDIT)

Internal audit requirement

Appropriate accounting records have been properly kept throughout the financial year.

Recommended Minimum Testing

- Ensure the correct roll forward of the prior year cashbook balances to the new financial year
- Check a sample of financial transactions in cashbooks to bank statements, etc: the sample size dependent on the size of the authority and nature of accounting records maintained

The Council continues to use RBS Rialtus suite. This an industry specific accounting package. The RBS system is used daily to report and record the financial transactions of the council.

There are a number of access users. The system is cloud based and access is by secure log on to the local machine and a separate password for the cloud system.

- RFO -full access all areas
- Clerk – Read only all areas
- Facilities supervisor – read write to bookings
- Support services – read write to bookings.

The system encompasses, sales ledger, purchase ledger and cashbook. It provides for reconciliation of key control accounts and regular reporting against budget.

Every month, a month end close down is performed by the RFO, various reports are printed in soft copy and filed in logical order on the “W” drive, these include but are not limited to; income and expenditure against budget, bank reconciliations and other reports as fit. The W drive is backed up daily.

The RFO makes use of a control sheet to tick off the various reconciliations and financial activities that must be completed to finalise a month end. I have reviewed the April, May & June months and can confirm the tick sheet is completed and the various reconciliations are in evidence. This is a robust, clear to follow system of internal control and demonstrates good working practices.

I also reviewed the bank reconciliation file and can confirm for June, July & August there was evidence of the RFO preparing and signing off the bank reconciliations, together with counter signatures for council approval. This demonstrates internal controls are in evidence and being followed.

The cashbooks are routinely saved and are also retrospectively accessible via the RBS package. The system requires the population of key data fields to enable the user to record a transaction with sufficient detail to understand the nature and scope of the transaction. This is a clear and easy to follow system and a review of the cashbook shows that all data fields are being entered, the reports are easy to read and logically filed.

My walk through audit testing of receipts and payments to underlying documentation chosen at random from month five showed that the referencing system can be relied upon, and that the source documents could be easily located in the council records. I make no recommendation to change in this system.

I tested opening balances as at 1/4/21 and confirmed they could be agreed back to the audited accounts for 2020/21.

The Council is VAT registered and the last VAT return was for quarter ended 30th June 2021. This was submitted using the software package under the making tax digital rules and was submitted on time ahead of the deadline. The return was a refund return and I proved the amount shown on the return to the HMRC system and to the physical bank statements. This test indicates that the council is up to date with its postings on the financial package and that these can be verified to third party evidence.

Overall, I have the impression that the accounting systems are well ordered and routinely maintained and as such I make no recommendation to change.

Section Conclusion

I am of the opinion that the control assertion of “Appropriate accounting records have been properly kept throughout the financial year” has been met.

B. FINANCIAL REGULATIONS, GOVERNANCE & PAYMENTS (INTERIM & FINAL AUDIT)

Internal audit requirement

This authority complied with its financial regulations, payments were supported by invoices, all expenditure was approved and VAT was appropriately accounted for.

Recommended Minimum Testing

- Review the procedures in place for acquisition of formal tenders and quotes, ensuring they are in line with the SOs and FRs which should be based on the latest version.
- Ensure that consistent values are in place for the acquisition of formal tenders between SOs and FRs (frequently different limits are recorded in the two documents)
- Review the procedures for receipt of invoices, agreement of invoice detail and confirmation of goods /services delivery and approval for payment: ideally, a suitably designed certification stamp should be in place providing for evidencing of these checks and payment authorisation
- Check that there is effective segregation between the writing of cheques or the setting up of online payments, and physical release of payments
- Check that VAT reclaims are prepared and submitted in a timely manner in line with the underlying records and in accordance with current HMRC requirements
- Where debit / credit cards are in use, establish the total monthly and individual transaction limits and ensure appropriate controls over physical security and usage of the cards are in place

Interim Audit

Check the publication & minuting of the prior year audited AGAR and notice of conclusion of audit.

The external auditors report was not qualified in 2020/21, although the external auditor made a comment regarding the order of approval.

The notice of conclusion of audit is dated 18/08/21 and is posted to the council website in accordance with regulations.

Both the auditor's report and the notice will be reported to the audit committee in September 2021. This will be ratified by full council on the 23rd September 2021.

Confirm by sample testing that councillors sign statutory office forms

I confirmed by sample testing that Councillors sign "Acceptance of Office" forms and "Register of members Interests" and "Acceptance to receive information by Electronic Means", all in line with regulations.

Each councillor is listed on the website, has a mini biography and link to their register of interests. I reviewed the website with the RFO and it was verbally confirmed all councillors were up to date. The register of interests was dated 2019.

Confirm that the Council is compliant with the relevant transparency code.

The Council is required by law to follow the 2015 Transparency Code, a review of the web site has shown that the council is routinely and properly following this.

A review of the website indicates that in general information is clear, easily accessible and readable. The council is aware of the accessibility regulations which come into effect in September 2020 – some areas were updated, however the council is in the process of changing its website provider to be fully compliant.

Confirm that the Council is compliant with the GDPR.

The council is aware of GDPR, it was noted the Council has common email addresses internally which gives a natural segregation so it is clear beyond doubt in what capacity a councillor is acting, gives control to the council, adds a degree of professionalism and in the event of a FOI request limits access to personal computers.

Confirm that the Council meets regularly throughout the year

The council has the following committees:

- Full Council; meets circa 6 times per annum
- Audit; quarterly
- Staffing; Quarterly
- Mayoralty – annual
- P&M – 6 weekly
- Environment & Planning – new
- JBC - quarterly

There are also a number of working parties and groups which meets as and when necessary to cover specific tasks, not committee have spending powers.

Check that agendas for meetings are published giving 3 clear days' notice.

I reviewed the agendas for meetings held in June, July & August and can confirm that at least 3 clear days' notice is given.

Check the draft minutes of the last meeting(s) are on the council's website

Minutes are uploaded to the council website and these agree to signed hard copies.

Confirm that the Parish Council's Standing Orders have been reviewed within the last 12 months.

The standing orders are based on the NALC model. These were adopted by full council the May 2021 meeting.

Confirm that the Parish Council has adopted and recently reviewed Financial Regulations.

Financial regulations are based on the NALC model. Financial Regulation will be reviewed by the Audit Committee in September 2021 and will be taken to Full Council on September 2021 (There is to be discussion about the order thresholds). The regulations being based on the NALC model contain provisions for the approval of spending, setting of budgets, reconciliation of the bank and reporting to council.

Check that the council's Financial Regulations are being routinely followed.

Financial regulation 2.2 deals with bank reconciliations, the council is performing a monthly bank reconciliation for all accounts and this is signed & minuted in accordance with regulations.

Financial regulation 3 deals with Annual estimates (Budget) and Forward planning. Budget monitoring reports are presented to the Policy and Management Committee at each meeting. The reports are logically presented with both summary and detailed narrative. I reviewed the June report and minutes and can confirm that councillors are well informed and this is minuted.

Financial regulation 4 deals with budgetary control and authority to spend. The office has the power to spend within a budget heading and the clerk has emergency powers up to £4,500. The internal processes of the council are sufficiently robust to ensure before an order is placed the budgets are checked. On occasion it is necessary to get retrospective approval from council.

Financial Regulation 5 deals with authorisation of payments. The minutes show authorisation of payments lists in accordance with regulations. The bank mandate is up to date.

Financial regulation 6 deals with making payments. The council makes payments by cheque, direct debit, debit card and bacs. The system in place is routinely followed and a review of the payments file showed all summaries are signed and invoices verified. There is no doubt payments are properly reported to council, approved and the physical payment authorised.

The de-minimis limit recorded in the Financial Regulations for the competitive purchase of items and services is as listed below.

- £25,000 + Tender Process
- £5,000 - £25,000 3 quotations are required.
- £1,000 - £5,000 – strive to get 2 estimates – council considering removing this category
- 0 - £1,000 – power to spend – council considering change to £5,000 (2021/22)

I discussed the purchasing system with the RFO vis-à-vis financial regulations 4, 5 & 6 and ascertained that the regulations are being followed at a local level as described below:

1. Regular and recurring expenditure (rent, rates, wages, light & heat, contractual spend etc.) is known and authorised in advance (budget setting or tender process). These are, in the main, paid via direct debit, standing order or on-line banking. Evidence was noted in the minutes of advance variable direct debits being properly authorised.
1. An ad hoc expenditure requirement is identified and noted to the clerk/RFO – this can be from a number of sources and depending on the financial amount will be discussed in advance with council, committee or chair. If required, this is approved in advance by council committee before the expenditure incurred. My audit testing showed via the minutes that there is where appropriate discussion of expenditure before the orders are placed.
2. The order is made via the office – councillors are not allowed or permitted to place amend or vary orders.
3. The supplier invoice, when received, is reviewed by the RFO and box stamped and passed to budget holder for authorisation and review. My audit testing showed that supplier invoices do all have a box stamp.
4. The authorised invoices are then returned to the RFO and are input into the financial reporting package.
5. On a weekly basis a payments list is prepared by the RFO and councillors are invited to approve the payment sheet and approve the invoices via email. The RFO sets the payments up on the on-line banking screens and prints this out in hard copy and the clerk verifies the list to the bank print. The clerk then authorises the physical payment on the bank system. Dual access is not required to access bank. The RFO accesses bank account and inputs payment and Town Clerk reviews input against schedule and signs that it is correct.
6. The payments list is taken to committee for approval in accordance with regulations.

In conducting our walk through testing we identified that the correct VAT is recorded on the system and could be agreed to physical invoices and the VAT return, which in turn was proved to the physical refund and HMRC website. We also agreed to documentary evidence and supplier invoices payments made by bacs and DD – there were no errors.

In reviewing the minutes of JBC and JTC we agreed with the clerk and the RFO that where there are instances of council reviewing and accepting quotes and or tenders for work, **there should be processes in place to ensure the**

minutes show where applicable a “resolution to accept or approve” so it is clear beyond reasonable doubt that council is making the necessary decisions based on the evidence presented.

Confirm all section 137 expenditure meets the guidelines & does not exceed the annual per elector limit of £8.41 (2021: £8.32 per elector.)

The council has no S.137 expenditure because they have GPC. This was approved in May 2019 at the annual meeting. I have verified this to the minutes.

Confirm that checks of the accounts are made by a councillor.

The client has an internal audit committee, with a detail remit and schedule of works. In July 2021 a body of review work was presented and documented. No errors or omissions were noted. I am under no doubt the council has robust internal controls in place.

Section Conclusion

I am of the opinion that the control assertion “This authority complied with its financial regulations, payments were supported by invoices, all expenditure was approved and VAT was appropriately accounted for”, has been met.

C. RISK MANAGEMENT & INSURANCE (INTERIM AUDIT)

Internal audit requirement

This authority assessed the significant risks to achieving its objectives and reviewed the adequacy of arrangements to manage these.

Recommended Minimum Testing

- Ensure that authorities have prepared, and formally adopted, at least once annually, an appropriate and comprehensive register of assessed risks, both regular and ad hoc
- Ensure that appropriate levels of insurance cover are in place for land, buildings, public, employers' and hirers' (where applicable) liability, fidelity / employees (including councillors) liability, business interruption and cyber security
- Ensure that appropriate arrangements are in place for monitoring play areas, open spaces and sports pitches: such reviews should be undertaken by appropriately qualified external inspectors or, if by officers or members, that they have received the appropriate training and accreditation

Interim Audit

As part of the audit committee remit of works the Council undertakes risk assessments that cover a number of categories. Evidence was noted in the September 2020 Audit Committee meeting of review and adoption of the risk management policy and documentation. These are very comprehensive and detailed documents.

Godalming TC is insured with Zurich on a 3 year deal. Asset cover seems consistent with the asset register, and money cover is adequate for a council of this size. The certificate is in date.

We discussed assertion 8 of the AGAR and whether or not this had any impact on the council. All appropriate transactions and events have been recorded.

“We considered whether any litigation, liabilities or commitments, events or transactions, occurring either during or after the year-end, have a financial impact on this authority and, where appropriate, have included them in the accounting statements.”

Section Conclusion

I am of the opinion that the control objective of “This authority assessed the significant risks to achieving its objectives and reviewed the adequacy of arrangements to manage these.”, has been met

D. BUDGET, PRECEPT & RESERVES (INTERIM & FINAL AUDIT)

Internal audit requirement

The precept or rates requirement resulted from an adequate budgetary process; progress against the budget was regularly monitored; and reserves were appropriate.

Recommended Minimum Testing

- Ensure that the full Authority, not a Committee, has considered, approved and adopted the annual precept in accordance with the required parent Authority timetable
- Ensure that budget reports are prepared and submitted to Authority / Committees periodically during the year with appropriate commentary on any significant variances
- Review the budget performance either during the year or at the financial year-end seeking explanations for any significant or unanticipated variances
- Ensure that the Authority has considered the establishment of specific earmarked reserves and, ideally, reviews them annually as part of the budget assessment process
- Ensure that the precept in the accounts matches the submission form to the relevant authority and the public record of precepted amounts

Interim Audit

Full council approved the 2021/22 precept at its 17th December 2020 meeting which is within the timescales set within the financial regulations and submitted its application on time to the precepting authority.

I confirmed that the 2022/23 Budget and precept setting process was underway at the time of the audit.

Councillors receive regular reports on budget against actuals via reports to the Policy and Management Committee. I reviewed the report for the period to end of September 2021 and was able to confirm that the budget is well managed and reported on. Overspends have been properly explained and approval for funding sought from Councillors.

The Council has well developed reserves, which are properly recorded. It is forecasted that at the end of the council year general reserves could be at £217k and Earmarked £230. The RFO is aware that by the end of the council year the general reserve will be below the 50% of precept rule of thumb. This has been discussed with council so that a strategy can be put in place to bring the reserves level up over time. I am of the opinion that reserves are very low for a council of this size.

I discussed the earmarked reserves with the RFO and RFO was able to provide explanations and reasons for all reserves. I am of the opinion these are bonafide reserves.

Section Conclusion

I am of the opinion that the control objective of "The precept or rates requirement resulted from an adequate budgetary process; progress against the budget was regularly monitored; and reserves were appropriate.", has been met.

E. INCOME (INTERIM & FINAL AUDIT)

Internal audit requirement

Expected income was fully received, based on correct prices, properly recorded and promptly banked; and VAT was appropriately accounted for.

Recommended Minimum Testing

- Review "Aged debtor" listings to ensure appropriate follow up action is in place
- Allotments: ensure that appropriate signed tenancy agreements exist, that an appropriate register of tenants is maintained identifying, that debtors are monitored.
- Burials: ensure that a formal burial register is maintained that it is up-to-date and that a sample of interments and memorials are appropriately evidenced, that fees have been charged at the correct approved rate and been recovered within a reasonable time: (Authorities should also acquire and retain copies of Burial / Cremation certificates)
- Hall hire: ensure that an effective diary system for bookings is in place identifying the hirer, hire times and ideally cross-referenced to invoices raised
- Leases: ensure that leases are reviewed in a timely manner in accordance with the terms of the lease and rents similarly reviewed appropriately at the due time
- Other variable income streams: ensure that appropriate control procedures and documentation are in existence to provide a clear audit trail through to invoicing and recovery of all such income
- Where amounts are receivable on set dates during the year, ensure that an appropriate control record is maintained duly identifying the date(s) on which income is due and actually received / banked

Interim Audit

The Council uses the RBS booking module to invoice and record the collection of income for hires. I was able to agree charging rates back to the approved fees and charges list.

Council approved its fees and charges in April 2021.

I was pleased to note that the RFO regularly checks and chases aged debtors.

VAT has been properly charged at the prevailing rate.

I was able to verify income per the bank statements to the underlying records.

Section Conclusion

I am of the opinion that the control objective of "Expected income was fully received, based on correct prices, properly recorded and promptly banked; and VAT was appropriately accounted for.", has been met.

F. PETTY CASH (INTERIM AUDIT)

Internal audit requirement

Petty cash payments were properly supported by receipts, all petty cash expenditure was approved and VAT appropriately accounted for.

Recommended Minimum Testing

- A number of Authorities are now running down and closing their petty cash accounts and using debit / credit cards for ad hoc purchases. Consequently, a "Not applicable" response is frequently required in this area.
- Review the systems in place for controlling any petty cash and also cash floats (used for bar, catering, etc)
- Check a sample of transactions during the financial year to ensure appropriate supporting documentation is held
- Review the existence of evidenced periodic independent verification of the petty cash and any other cash floats held
- Ensure that VAT is identified wherever incurred and appropriate
- Physically check the petty cash and other cash floats held
- Where bar or catering facilities are in place, ensure that appropriate cashing-up procedures are in place reconciling the physical cash takings to the till "Z" total readings

The council has a float of £200. This was reviewed at the audit date, it is clear this is used for small sundries and is not significant or material.

Petty cash expenditure is signed off by the RFO and another officer.

The council is considering dispensing with petty cash in favour of expenses reimbursement and corporate credit card.

Section Conclusion

I am of the opinion the control objective of "Petty cash payments were properly supported by receipts, all petty cash expenditure was approved and VAT appropriately accounted for.", has been met.

G. PAYROLL (INTERIM & FINAL AUDIT)

Internal audit requirement

Salaries to employees and allowances to members were paid in accordance with this authority's approvals, and PAYE and NI requirements were properly applied.

Recommended Minimum Testing

- Ensure that, for all staff, a formal employment contract is in place together with a confirmatory letter setting out any changes to the contract
- Ensure that appropriate procedures are in place for the payment of members allowances and deduction of any tax liability
- Ensure that, for a sample of staff salaries, gross pay due is calculated in accordance with the approved spinal point on the NJC scale or hourly rate, if off-scale, and also with the contracted hours
- Ensure that appropriate tax codes are being applied to each employee
- Where free or paid for software is used, ensure that it is up to date.
- For the test sample of employees, ensure that tax is calculated appropriately
- Check the correct treatment of Pension contributions to either the Local Government pension scheme (non - taxable, deducted from the gross salary or DC schemes like NEST which already allow for tax deductions
- For NI, ensure that the correct deduction and employer's contributions are applied: NB. The employers allowance is not available to councils but may be used by other authorities
- Ensure that the correct employers' pension percentage contribution is being applied
- Ensure that for the test sample, the correct net pay is paid to the employee with tax, NI and pension contributions correctly paid to the respective agencies

The payroll is processed using Sage 50 payroll and is processed in house by the RFO. Payroll is then reviewed by the Clerk and signed off electronically by two councillors prior to payment to staff.

The council has fulfilled its obligations in respect of auto-enrolment and uses LGPS.

I tested the tax deduction and pay scales for a full time & part time employee – there were no errors. I am of the opinion salaries are correctly calculated and paid.

The PAYE and NI liabilities are paid on time.

All Council employees are paid through the payroll for all Council work undertaken. No employees are paid separately for any other Council work undertaken. Casual labour payments are correctly recorded via the payroll.

Councillors are not paid allowances.

Pay increases are based on an annual appraisal and a fixed % e.g. an annual cost of living increase or an incremental scale increase, where applicable

Section Conclusion

I am of the opinion that salaries are correctly stated on the AGAR and that the control object of "Salaries to employees and allowances to members were paid in accordance with this authority's approvals, and PAYE and NI requirements were properly applied.", has been met.

H. ASSETS AND INVESTMENTS (INTERIM & FINAL AUDIT)

Internal audit requirement

Asset and investments registers were complete and accurate and properly maintained.

Recommended Minimum Testing

Tangible Fixed Assets

- Ensure that the Authority is maintaining a formal asset register and updating it routinely to record new assets at historic cost price, net of VAT and removing any disposed of / no longer serviceable assets
- Physically verifying the existence and condition of high value, high risk assets may be appropriate
- Ideally, the register should identify for each asset the purchase cost and, if practicable, the replacement / insured cost, the latter being updated annually and used to assist in forward planning for asset replacement
- Additions and disposals records should allow tracking from the prior year to the current
- Ensure that the asset value to be reported in the AGAR at Section 2, Box 9 equates to the prior year reported value, adjusted for the nominal value of any new acquisitions and /or disposals
- Compare the asset register with the insurance schedule to ensure that all assets as recorded are appropriately insured or "self-insured" by the Authority

Fixed asset investments

- Ensure that all long-term investments (i.e., those for more than 12 month terms) are covered by the "Investment Strategy" and reported as Assets in the AGAR at Section 2, Box 9.

Borrowing and Lending

- Ensure that the authority has sought and obtained appropriate DMO approval for all loans acquired
- Ensured that the authority has accounted for the loan appropriately (i.e., recorded the full value of the loan. Any arrangement fee should be regarded as an admin expense) in the year of receipt
- Ensure that the combined principal loan repayment and interest for the year is correctly recorded in the AGAR at Section 2 Box 5
- Ensure that the outstanding loan liability as at 31st March each year is correctly recorded in the AGAR at Section 2, Box 10 (value should be verified via the DMO website)
- Where the Authority has issued loans to local bodies, they should ideally seek signed indemnities from the recipient body, or their members, agreeing to underwrite the loan debt

Interim Audit

The fixed asset register is maintained on excel, additions and disposals have been agreed to a schedule prepared by the RFO and have been correctly added at cost, or written off the asset register as obsolete. I was able to verify to the supplier invoice and council approval the addition of a water bowser.

The loan interest and capital repayments were agreed to PWLB debt management letters. There were no errors.

The Council does not hold any long term investments i.e. over 1 year. Any addition to the asset register is normally with a cost value greater than £1,000.

Section Conclusion

I am of the opinion that the control objective of "Asset and investments registers were complete and accurate and properly maintained.", has been met.

I. BANK & CASH (INTERIM & FINAL AUDIT)

Internal audit requirement

Periodic and year-end bank account reconciliations were properly carried out.

Recommended Minimum Testing

- Ensure that bank reconciliations are prepared routinely, are subject to independent scrutiny and sign-off by members
- Verify the accuracy of the year-end bank reconciliation detail and ensure accurate disclosure of the combined cash and bank balances in the AGAR, Section 2, Box 8.
- Where the authority has bank balances in excess of £100,000 it has an appropriate investment strategy.

Interim Audit

At the interim audit date the council had a reconciled bank position which has been signed in accordance with financial regulations.

I have reviewed the reconciliation there were no outstanding payments and no outstanding lodgements. I also tested the cut off and can confirm the payments and lodgements are shown in the correct year.

Section Conclusion

I am of the opinion that bank and cash balances are properly shown on the AGAR and that the control objective of "Periodic and year-end bank account reconciliations were properly carried out.", has been met.

J. YEAR END ACCOUNTS (INTERIM & FINAL AUDIT)

Internal audit requirement

Accounting statements prepared during the year were prepared on the correct accounting basis (receipts and payments or income and expenditure), agreed to the cash book, supported by an adequate audit trail from underlying records and where appropriate debtors and creditors were properly recorded.

Recommended Minimum Testing

- Ensure that, where annual turnover exceeds £200,000, appropriate records are maintained throughout the year on an Income and Expenditure basis to facilitate budget reporting in that vein
- Ensure that appropriate accounting arrangements are in place to account for debtors and creditors during the year and at the financial year-end

The council, at its meeting to sign off the year-end accounts, must discuss the Annual Governance Statement and record this activity in the minutes of the meeting. Based on the internal audit finding, I recommend using the table below as the basis for that discussion. THIS MUST BE A SEPARATE AGENDA ITEM TO THE SIGNING OF THE ANNUAL ACCOUNTS.

Section 1 – Annual Governance Statement

	Annual Governance Statement	<i>'Yes' means that this authority</i>	Suggested response based on evidence
1	We have put in place arrangements for effective financial management during the year, and for the preparation of the accounting statements.	<i>prepared its accounting statements in accordance with the Accounts and Audit Regulations.</i>	YES – income & expenditure accounts follow latest Accounts and Audit Regulations and practitioners guide recommendations.
2	We maintained an adequate system of internal control including measures designed to prevent and detect fraud and corruption and reviewed its effectiveness.	<i>made proper arrangements and accepted responsibility for safeguarding the public money and resources in its charge.</i>	YES – there is regular reporting of financial transactions and accounting summaries, offering the opportunity for scrutiny.
3	We took all reasonable steps to assure ourselves that there are no matters of actual or potential non-compliance with laws, regulations and Proper Practices that could have a significant financial effect on the ability of this authority to conduct its business or manage its finances.	<i>has only done what it has the legal power to do and has complied with Proper Practices in doing so.</i>	YES – the Clerk is experienced and advises the council in respect of its legal powers.
4	We provided proper opportunity during the year for the exercise of electors' rights in accordance with the requirements of the Accounts and Audit Regulations.	<i>during the year gave all persons interested the opportunity to inspect and ask questions about this authority's accounts.</i>	YES – the requirements and timescales for 2020/21 year-end were followed.

5	We carried out an assessment of the risks facing this authority and took appropriate steps to manage those risks, including the introduction of internal controls and/or external insurance cover where required.	<i>considered and documented the financial and other risks it faces and dealt with them properly.</i>	YES – the council has a risk management scheme and appropriate external insurance.
6	We maintained throughout the year an adequate and effective system of internal audit of the accounting records and control systems.	<i>arranged for a competent person, independent of the financial controls and procedures, to give an objective view on whether internal controls meet the needs of this smaller authority.</i>	YES – the council has appointed an independent and competent internal auditor has completed two audits during the year.
7	We took appropriate action on all matters raised in reports from internal and external audit.	<i>responded to matters brought to its attention by internal and external audit.</i>	YES – where matters are raised, action taken by council is recorded in the minutes.
8	We considered whether any litigation, liabilities or commitments, events or transactions, occurring either during or after the year-end, have a financial impact on this authority and. Where appropriate, have included them in the accounting statements.	<i>disclosed everything it should have about its business activity during the year including events taking place after the year end if relevant.</i>	YES – no matters were raised during the internal audit visits.
9	Trust funds including charitable – In our capacity as the sole managing trustee we discharged our accountability responsibilities for the fund(s)/asset(s), including financial reporting and, if required, independent examination or audit.	<i>has met all of its responsibilities where, as a body corporate, it is a sole managing trustee of a local trust or trusts.</i>	N/A – the council has no trusts.

Section 2 – Accounting Statements

Agar Box Number		2019/20	2020/21	Auditor Notes
1	Balances brought forward	466,245	502,377	Agrees to prior year cfwd
2	Precept or Rates and Levies	643,778	711,154	Agrees to third party evidence provided to auditor
3	Total other receipts	701,518	263,113	Agrees to underlying records
4	Staff costs	332,670	385,471	Agrees to underlying records
5	Loan interest/capital repayments	59,753	77,703	Agreed no loans
6	All other Payments	916,741	493,969	Agrees to underlying records
7	Balances carried forward	502,377	519,501	Casts correctly agrees

8	Total value of cash and short term investments	492,368	507,787	Agrees to reconciliation
9	Total fixed assets plus long term investments and assets	1,977,504	1,977,504	Agrees to register
10	Total borrowings	1,476,881	1,446,469	Agrees to PWLB statement

11	For Local Councils Only) Disclosure note re Trust funds (including charitable)	YES	NO	No trusts
			✓	

The 2021 year-end accounts have been correctly prepared on the income & expenditure basis with the box 7 & 8 reconciliation properly completed.

The AGAR correctly casts and cross casts and the comparatives have been correctly copied over from the prior years

The variance analysis is required because there were variances greater than 15% and £200. This was properly prepared on a summary table basis showing the financial elements and explanatory narrative.

The council had made provision within its schedule of meetings to sign off the annual governance statement.

Section Conclusion

I am of the opinion the control objective of "Accounting statements prepared during the year were prepared on the correct accounting basis (receipts and payments or income and expenditure), agreed to the cash book, supported by an adequate audit trail from underlying records and where appropriate debtors and creditors were properly recorded.", has been met.

K. LIMITED ASSURANCE REVIEW (INTERIM & FINAL AUDIT)**Internal audit requirement**

IF the authority certified itself as exempt from a limited assurance review in 2019/20, it met the exemption criteria and correctly declared itself exempt. (If the authority had a limited assurance review of its 2019/20 AGAR tick “not covered”)

Not applicable

L: TRANSPARENCY (INTERIM & FINAL AUDIT)**Internal audit requirement**

If the authority has an annual turnover not exceeding £25,000, it publishes information on a website/ webpage up to date.

Not applicable

M: EXERCISE OF PUBLIC RIGHTS - INSPECTION OF ACCOUNTS**Internal audit requirement**

The authority, during the previous year (2020-21) correctly provided for the period for the exercise of public rights as required by the Accounts and Audit Regulations (evidenced by the notice published on the website and/or authority approved minutes confirming the dates set).

Recommended Minimum Testing

- IAs should acquire / examine a copy of the required “Public Notice” ensuring that it clearly identifies the statutory 30 working day period when the Authority’s records are available for public inspection.
- IAs may also check whether councils have minuted the relevant dates at the same time as approving the AGAR

The Local Audit and Accountability Act 2014 and the Accounts and Audit Regulations 2015 require that the statement of accounts prepared by the authority (i.e. the Annual Governance & Accountability Return (AGAR) Part 2), the accounting records for the financial year to which the audit relates and all books, deeds, contracts, bills, vouchers, receipts and other documents relating to those records must be made available for inspection by any person interested, during a period of 30 working days set by the smaller authority and including the first 10 working days of July.

Inspection - Key date	2020/21 Actual	
Accounts approved at full council	22 nd April 2021	
Date Inspection Notice Issued and how published	11 th June 2021	
Inspection period begins	14 th June 2021	
Inspection period ends	23 rd July 2021	
Correct length	yes	
Common period included?	yes	
Summary of rights document on website?	Attached to inspection announcement	

Section Conclusion

I am of the opinion that the control assertion of *“The authority, during the previous year (2019-20) correctly provided for the period for the exercise of public rights as required by the Accounts and Audit Regulations (evidenced by the notice published on the website and/or authority approved minutes confirming the dates set):”* has been met.

N. PUBLICATION REQUIREMENTS (INTERIM & FINAL AUDIT)

Internal audit requirement

The authority has complied with the publication requirements for 2020/21 AGAR. Under the Accounts and Audit Regulations 2015, authorities must publish the following information on the authority website/webpage:

Recommended Minimum Testing

- IAs should acquire / examine a copy of the required "Public Notice" ensuring that it clearly identifies the statutory 30 working day period when the Authority's records are available for public inspection.
- IAs may also check whether councils have minuted the relevant dates at the same time as approving the AGAR

Before 1 July 2021 authorities must publish:

- *Notice of the period for the exercise of public rights and a declaration that the accounting statements are as yet unaudited;*
- *Section 1 - Annual Governance Statement 2020/21, approved and signed, page 4*
- *Section 2 - Accounting Statements 2020/21, approved and signed, page 5*

Not later than 30 September 2021 authorities must publish:

- *Notice of conclusion of audit*
- *Section 3 - External Auditor Report and Certificate*
- *Sections 1 and 2 of AGAR including any amendments as a result of the limited assurance review.*

It is recommended as best practice, to avoid any potential confusion by local electors and interested parties, that you also publish the Annual Internal Audit Report, page 3.

I have reviewed the website and can confirm that the council has followed the regulations

Section Conclusion

I am of the opinion that the control assertion of "The authority has complied with the publication requirements for 2019/20 AGAR. Under the Accounts and Audit Regulations 2015, authorities must publish the following information on the authority website/webpage:" has been met.

O. TRUSTEESHIP (INTERIM AUDIT)

Internal audit requirement

Trust funds (including charitable) – The council met its responsibilities as a trustee.

No trusts.

Should you have any queries please do not hesitate to contact me.

Kind regards

Yours sincerely

A handwritten signature in black ink, appearing to read 'M Mulberry', with a long horizontal flourish extending from the end of the name.

Mark Mulberry

Interim Audit - Points Forward

Audit Point	Audit Findings	Council comments
Quotes and Estimates	In reviewing the minutes of JBC and JTC we agreed with the clerk and the RFO that where there are instances of council reviewing and accepting quotes and or tenders for work, there should be processes in place to ensure the minutes show where applicable a “resolution to accept or approve” so it is clear beyond reasonable doubt that council is making the necessary decisions based on the evidence presented.	

Risk Assessment



Area: **Environment**

Date of Assessment: 03/02/2022

Date of Last Assessment: 06/01/2020

Responsible Persons Name: Town Clerk – Andy Jeffery

Name of Assessor: Bob Crooks

Date of next Assessment: January 2025

Signature: _____

<u>Hazards</u>	<u>Persons at Risk</u>	<u>Existing Precautions</u>	<u>Severity</u>	<u>Likelihood</u>	<u>Numerical Risk</u>	<u>Risk Rating</u>	<u>Additional Controls</u>	<u>Task Frequency</u>
<p>Lack of awareness of the environment as it is constantly changing. Especially as regards water resources and temperature, e.g. flooding and water shortages in heatwaves</p> <p>Lack of resources to deal with a large scale event e.g. flooding</p>	Community and officers/staff	<p>Tracking forecasts of environmental change eg EA website/flood alerts and predictions. Tracking weather projections.</p> <p>Climate Change Action Plan developed in response to declaration of Climate Emergency for the Town and its community</p> <p>Maintaining network of contacts/resources that can be activated at short notice to provide adequate response</p>	4	3	12	High	<ul style="list-style-type: none"> Encourage good practice and an awareness of the environment. Training for Officers and Councillors All Councillors to assess environmental impacts of planning applications and report issues to Policy and Management Committee Council officers to engage with environmental emergency provisions locally, in county and nationally 	<p>On going</p> <p>In line with plan</p>

High risks 12-25
Immediate action required to either eliminate or adequately control the risk before further activity takes place.

Medium risks 5-10
Review existing control measures to determine effectiveness. Where necessary implement further risk reducing measures.

Low risks <5
Adequately controlled. No actions required but keep assessment under review. Additional controls will further reduce risk.

Likelihood	Severity				
	Negligible	Minor	Moderate	Major	Catastrophic
Rare	1	2	3	4	5
Unlikely	2	4	6	8	10
Possible	3	6	9	12	15
Likely	4	8	12	16	20
Almost certain	5	10	15	20	25

Risk Assessment

<u>Hazards</u>	<u>Persons at Risk</u>	<u>Existing Precautions</u>	<u>Severity</u>	<u>Likelihood</u>	<u>Numerical Risk</u>	<u>Risk Rating</u>	<u>Additional Controls</u>	<u>Task Frequency</u>
Council Office waste ends up in landfill sites. Personal/official papers exposed. Waste not properly sorted prior to collection – collectors charge for contaminated loads refused by recyclers	Council officers/ contractors	Contract provisions, Staff awareness of recycling provisions including GDPR requirements Good signage	4	2	8	Medium	On-going actions to sustain staff awareness and brief staff on latest opportunities and legal provisions	
Incorrect disposal of Hazardous materials (including Asbestos) – risk to health and environment		<ul style="list-style-type: none"> All buildings checked for Asbestos and disposed of in an appropriate way. Recent asbestos found in Wilfrid Noyce Centre – specialists contracted for safe removal and disposal. Every building has its own Asbestos Report which details where, if any, asbestos resides. This must be reviewed every five years. Report must be given to any 	4	2	8	Medium	Site visits. Contract penalties Complete Pepperpot and Broadwater assessments?	<i>NB Have these reports been done for Pepperpot, Broadwater Community bldg and Museum premises?</i> <i>Do we chase up Surrey CC for verge side invasions eg Knotweed</i>

High risks 12-25 Immediate action required to either eliminate or adequately control the risk before further activity takes place.	Medium risks 5-10 Review existing control measures to determine effectiveness. Where necessary implement further risk reducing measures.	Low risks <5 Adequately controlled. No actions required but keep assessment under review. Additional controls will further reduce risk.	<table border="1"> <thead> <tr> <th rowspan="2">Likelihood</th> <th colspan="5">Severity</th> </tr> <tr> <th>Negligible</th> <th>Minor</th> <th>Moderate</th> <th>Major</th> <th>Catastrophic</th> </tr> </thead> <tbody> <tr> <td>Rare</td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> </tr> <tr> <td>Unlikely</td> <td>2</td> <td>4</td> <td>6</td> <td>8</td> <td>10</td> </tr> <tr> <td>Possible</td> <td>3</td> <td>6</td> <td>9</td> <td>12</td> <td>15</td> </tr> <tr> <td>Likely</td> <td>4</td> <td>8</td> <td>12</td> <td>16</td> <td>20</td> </tr> <tr> <td>Almost certain</td> <td>5</td> <td>10</td> <td>15</td> <td>20</td> <td>25</td> </tr> </tbody> </table>	Likelihood	Severity					Negligible	Minor	Moderate	Major	Catastrophic	Rare	1	2	3	4	5	Unlikely	2	4	6	8	10	Possible	3	6	9	12	15	Likely	4	8	12	16	20	Almost certain	5	10	15	20	25
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Risk Assessment

<u>Hazards</u>	<u>Persons at Risk</u>	<u>Existing Precautions</u>	<u>Severity</u>	<u>Likelihood</u>	<u>Numerical Risk</u>	<u>Risk Rating</u>	<u>Additional Controls</u>	<u>Task Frequency</u>
		contractors performing works on the building. <ul style="list-style-type: none"> • Identification and removal of alien and hazardous flora from Council land 						
Using goods and services that have an adverse impact on the environment	Council officers/ contractors	EIAs required in contracts prior to work commencing. Purchasing criteria include need for eco-labelling, fair trade sourcing and avoidance of single use plastics	4	2	8	Medium	Checking provenance and constitution of goods used in significant amounts. Contract management to ensure adherence for environmental/ sustainability regulations.	Are there any inspections carried out of existing contracts Should we be doing this on Audit committee?
Electricity, heating and fuel sourced from fossil fuels		Using electric van. Contract for electricity and heating provisions contain provenance requirements	2	3	6	Medium	Review sourcing of energy for GTC premises and transport especially at contract renewal points	
Energy wasted – needless expenditure and consumption		Insulation of GTC premises Use of LED bulbs	3	3	9	Medium	Assessment of all GTC-owned buildings Take action to improve wherever possible	

High risks 12-25

Immediate action required to either eliminate or adequately control the risk before further activity takes place.

Medium risks 5-10

Review existing control measures to determine effectiveness. Where necessary implement further risk reducing measures.

Low risks <5

Adequately controlled. No actions required but keep assessment under review. Additional controls will further reduce risk.

Likelihood	Severity				
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Risk Assessment

<u>Hazards</u>	<u>Persons at Risk</u>	<u>Existing Precautions</u>	<u>Severity</u>	<u>Likelihood</u>	<u>Numerical Risk</u>	<u>Risk Rating</u>	<u>Additional Controls</u>	<u>Task Frequency</u>
Loss of bio-diversity on Council Land		Re-wilding programme being implemented Engagement with SCC on their tree-planting and other diversity improvement schemes/opportunities	2	4	8	Medium	Assessment of all Council-owned land (parks, kerbside spaces...) and taking action to improve	

High risks 12-25

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Review existing control measures to determine effectiveness. Where necessary implement further risk reducing measures.

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Godalming Town Council: Audit Committee | Risk Assessments

Major Risk Area: Health and Safety

Risk Area Summary:

That an accident/incident occurs that demonstrates that the Town Council has breached Health & Safety legislation or has in some other respect been negligent. (note that this analysis of risk is difference from risk assessments undertaken in fulfilment of Health & Safety legislation).

Risk Description (What Could Happen?)	Impact	Scenario Description (How Could it Happen?)	Likelihood	Control Measure(s)	Action(s) (Inc. Who and When)
That the breach is so significant that a death or serious injury arises and that the Council and/or one of its officers faces prosecution (in the worst case for Corporate Manslaughter)	H	Numerous scenarios– but likely to involve fire or failure of part of premises or equipment therein. Or, trip/fall, toppled memorial, or collapsed grave in a cemetery. Or, road traffic accident on a parade. Or, assault on member of staff while lone-working	L	<ul style="list-style-type: none"> • Have and, regularly review a Health & Safety Policy Statement and supporting Policies – including lone-working policy • Risk Assessments for all events and activities and action taken as a result of risk assessments • Regular review of Risk Assessments and action taken • Consider whether there is anything that we do not have a risk assessment for that we should have • Regular and documented inspection regime (i.e. checklist of questions e.g. fire exits clear, does fire alarm, emergency lighting work etc.) • Regular and specific training for staff • Training for Members • Undertake regular condition surveys of buildings and all statutory tests • Use reputable and qualified contractors and ensure they provide relevant certification for electrical and gas work. • Obtain Contractor’s safety plan for longer contracts • Maintain adequate insurance 	Review of Health & Safety Policies –to be undertaken by Staffing committee as most relate to staff. (Continuous/Regular review) Fire Safety Risk Assessments <i>(WNC Fire Risk Assessment attached)</i> (Continuous/Regular review) Review of training needs for staff via annual Appraisal scheme and - Town Clerk to assess on the commencement of new staff. (Continuous/Regular review)

Risk Description (What Could Happen?)	Impact	Scenario Description (How Could it Happen?)	Likelihood	Control Measure(s)	Action(s) (Inc. Who and When)
<p>That an injury (or damage to property) occurs on our premises or at one of our events that results in a claim against the Council alleging our negligence. And, that claim cannot adequately be defended.</p>	<p>M</p>	<ul style="list-style-type: none"> As above 	<p>L</p>	<ul style="list-style-type: none"> As above 	<p>Make sure safety plan is in place for each of the properties and that they are updated regularly. (Continuous/Regular review)</p> <p>Report any obvious gaps that cannot be rectified due to resources etc to Chairmen or committee asap so that remedial action may be taken. (Ad hoc/As required)</p>
<p>That the injury referred to above is caused to a member of staff and arises over a prolonged period of time.</p>	<p>M</p>	<p>Injury may be physical (e.g. repetitive strain injury) or psychological (e.g. work-related stress)</p>	<p>L/M</p>	<ul style="list-style-type: none"> Regular workstation and work place risk assessments – with specific review each time something changes Members' Health & Safety Training 	<p>Town Clerk to arrange training sessions:</p> <ul style="list-style-type: none"> Workstation assessments Manual handling <p>(Each new financial year)</p> <p>All GTC full time staff have had fire safety training. (Ad Hoc / As Required)</p> <p>Health & Safety Training for Members to be arranged as part of the above by the Town Clerk (Ad Hoc / As Required)</p>

Risk Description (What Could Happen?)	Impact	Scenario Description (How Could it Happen?)	Likelihood	Control Measure(s)	Action(s) (Inc. Who and When)
That a death, serious injury or near miss occurs in circumstances that would not necessarily lead to a prosecution but that it is not reported properly under RIDDOR	H	Ignorance of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR), leading to an omission or delay in reporting an incident. Likely to occur if an accident happens when a member of Town Council staff is not present e.g. on our premises during a hiring or at a council organised event where no staff present. Note likelihood of an incident needing a RIDDOR report is very low; likelihood of a failure to make such a report in a timely manner is higher.	L	<ul style="list-style-type: none"> • Clarity in all hire agreements about the need to report any incident arising during a hire • All hirers need to have GTC contact details so that they can report an incident. • Staff and Members' Health & Safety Training 	Training needs reviewed after staff Appraisals and when new staff are appointed - Town Clerk to review on an annual basis. (Post appraisal/As required) Health & Safety Training for Members Town Clerk to arrange. (Ad hoc/As required)
That an injury occurs on our premises (not as the result of a failure of ours) but a claim against the Council arises because of the inadequacy of the hirer's insurance.	M	That a user of our premises has inadequate public or employers' liability insurance.	L	<ul style="list-style-type: none"> • Ensure insurance certificates of all users are checked and copies kept • Ensure that all officers are advised that there is a process for accidents. That there is an accident log for all incidents regardless of how minor they may be. This should be completed and forwarded to TC to be retained in a locked drawer. 	GTC require regular users to indemnify GTC against claims made by their customers. Some do this via holding their own Public Liability insurance, but some assess the risk as low and do not. WNC & BWP regular users were reminded of requirement to indemnify in 2017. No issues have been identified. Hire Agreements (where the requirement for Indemnity resides) were reviewed for all centres and reissued as required). (Ad hoc/As required)

GTC Offices Risk Assessment

Area of Risk	Risk Identified	Actions to Take to Mitigate Risk	Notes
Slips and trips	Staff and visitors may be injured if they trip over objects or slip on spillages.	<ul style="list-style-type: none"> • Good general housekeeping • All areas well lit, including any slopes • No trailing leads or cables • Staff keep their work areas clear e.g no boxes left in walkways, deliveries stored immediately. • Office cleaned on a regular basis each week. 	<p>All office based staff look after their immediate area and ensure the office is kept tidy at all times.</p> <p>Lighting is new and emergency lighting checks done on a regular basis.</p> <p>Office is professionally cleaned twice a week. (Museum more frequently including shared disabled toilet.</p>
Manual handling of paper, office equipment etc.	<p>Staff risk injuries or back pain when lifting heavy objects around the office</p> <p>High Shelves to be used for light objects only</p>	<p>Remind staff not to lift objects that look or appear too heavy to handle.</p> <p>All staff to attend basic Manual Handling training and maintenance staff to attend enhanced Manual Handling training</p>	<p>Last Manual Handling training done in May 2019 – renewal training required</p>
Fire	If trapped staff could suffer fatal injuries from smoke inhalation/burns	<p>Fire Risk Assessment completed 2021 for the offices and the Museum.</p> <p>Provide Fire Training for all staff.</p> <p>Provide a Fire Evacuation plan for all staff including designated Fire Marshals.</p> <p>www.fire.gov.uk/workplace</p>	<p>Relevant Fire Training recommended by Fire Risk assessment. All staff invited to training session including relevant training for fire marshals Nov 2021</p>
Working at Height	Falls from any height can cause bruising and fractures		Training required
Workstation Set Up	Injuries caused from poor ergonomics of workstation set up	Office based staff to have workplace assessment performed.	Assessments to be carried out prior to March 2022

Risk Assessment

EVENT: **Broadwater** Date Of Assessment: **01.04.2021** Date Of Last Assessment: **01.04.2020** Responsible Person Name: **Andy Jefferey**

Section: **Community Centre** Name Of Assessor: **Karen Warner** Date Of Next Assessment: **01.04.2022** Signature: **KW**

Hazards	Persons at risk	Existing Precautions	Severity	Likelihood	Numerical Risk	Risk rating	Additional Controls	Task Frequency
Slips, trips and falls Eg uneven surface of car park, cleaning floors etc.	Users of the hall and car park may suffer injuries such as fractures or bruising if they slip, eg on spillages or trip over objects.	<ul style="list-style-type: none"> Car park surface maintained to be as even as possible. Parking spaces for visitors with disabilities available next to hall entrance. Good lighting in car park and all rooms and corridors in hall. Users know (through hire agreement) to clear up spillages immediately and know where equipment is kept.. 	1	2		LOW	<ul style="list-style-type: none"> Surface to be inspected regularly and repaired as necessary. Check that hall cleaner knows which products to use on which type of floor. 	<p>Monthly Check</p> <p>Weekly Check</p>

High risks 12-25

Immediate action required to either eliminate or adequately control the risk before further activity takes place.

Medium risks 5-10

Review existing control measures to determine effectiveness. Where necessary implement further risk reducing measures.

Low risks <5

Adequately controlled. No actions required but keep assessment under review. Additional controls will further reduce risk.

Likelihood	Severity				
	Negligible	Minor	Moderate	Major	Catastrophic
Rare	1	2	3	4	5
Unlikely	2	4	6	8	10
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Risk Assessment

Hazards	Persons at risk	Existing Precautions	Severity	Likelihood	Numerical Risk	Risk rating	Additional Controls	Task Frequency
See Above	See Above	<ul style="list-style-type: none"> Mats at entrances to stop rain water being carried in. No trailing electrical leads/cables. 	1	2		LOW	Cable Covers made available for Users of Hall.	Weekly Checks of floors at Community Centres.
Work at height Eg changing light bulbs, cleaning windows, putting up decorations etc.	Anyone working at any height could suffer injuries, possibly very serious ones, should they fall.	<ul style="list-style-type: none"> Appropriate, commercial stepladder securely stored and available for use. Hall users are not given access to step ladder and have to request support from Facilities Supervisor or Maintenance staff. Facilities Supervisor, Maintenance Work Force and cleaner know how to use the stepladder safely. 	2	3		MEDIUM	<p>Print copies of HSE guidance on safe use of stepladders and make available to those who may use stepladder.</p> <p>Put in place system for checking condition of stepladder.</p> <p>Consider implications for work at height of any future alterations to the hall.</p>	

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Hazards	Persons at risk	Existing Precautions	Severity	Likelihood	Numerical Risk	Risk rating	Additional Controls	Task Frequency
Vehicle movement	Pedestrians could suffer serious injury if struck by cars entering/leaving car park or moving in it.	<ul style="list-style-type: none"> ▪ Entrance/exit to car park clearly marked. ▪ For large events, parking controlled by marshals wearing high-visibility vests. ▪ Car park well lit. ▪ Skip/recycling collection takes place at times when hall not in use. 	2	3		MEDIUM	<ul style="list-style-type: none"> ▪ Apply 5 mph speed limit in car park and put up signs. ▪ Advise users of hall, through hire agreement, to consider whether they need to control car parking. 	

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Risk Assessment

Hazards	Persons at risk	Existing Precautions	Severity	Likelihood	Numerical Risk	Risk rating	Additional Controls	Task Frequency
Hazardous Substances Eg cleaning products	The cleaner, and others cleaning, risk skin problems, eg dermatitis and eye damage, from direct contact with cleaning chemicals. Vapour may cause breathing problems.	<ul style="list-style-type: none"> Mops, brushes and strong rubber gloves provided. Cleaning products marked 'irritant' replaced with milder alternatives. Cleaner trained to use products safely, eg follow instructions on the label, dilute properly and never transfer to an unmarked container. Cleaning products stored securely. 	2	3		MEDIUM	Cleaner reminded to check for dry, red or itchy skin on her hands and, if finding any, to go to doctors for advice and inform the Facilities Supervisor.	

2

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Hazards	Persons at risk	Existing Precautions	Severity	Likelihood	Numerical Risk	Risk rating	Additional Controls	Task Frequency
Electricity	Users risk electric shocks or burns from faulty equipment or installation.	<ul style="list-style-type: none"> ▪ Fixed installation correctly installed by qualified electrician, and inspected regularly. ▪ All repairs by qualified electrician. ▪ Safety plugs in sockets. ▪ Portable equipment checked for visual signs of damage before use. ▪ Hall users know they are responsible for any equipment used on site. 	4	3		MEDIUM	<ul style="list-style-type: none"> ▪ Make sure hall users know where the fuse box is and how to switch supply off in an emergency. <p>Pat Testing carried out on a yearly basis.</p> <p>Next Pat Testing due by end of May 2019.</p>	<p>Every Hire</p> <p>Yearly</p>
Car Park	All Users	<ul style="list-style-type: none"> • Trips/Falls as uneven surface. 	3	6			<ul style="list-style-type: none"> • Visual inspection of car park surfaces. 	Weekly
Crinkle Crankle Wall	All Users to Garden/outside area	<ul style="list-style-type: none"> • Falling Materials/crumbling brick work. 	4	3			<ul style="list-style-type: none"> • Visual inspection 	Monthly

High risks 12-25

Immediate action required to either eliminate or adequately control the risk before further activity takes place.

Medium risks 5-10

Review existing control measures to determine effectiveness. Where necessary implement further risk reducing measures.

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Hazards	Persons at risk	Existing Precautions	Severity	Likelihood	Numerical Risk	Risk rating	Additional Controls	Task Frequency
Stored Equipment	Users could be injured by collapsing stacks.	Users know that they must stack tables and chairs carefully so that they do not collapse.	2	3		MEDIUM	<ul style="list-style-type: none"> No further action needed. 	Regular checks and Training on Manual Handling has to be completed by Caretaker and Facilities Supervisor.
Manual handling	Users may suffer backpain if they try to lift objects that are too heavy or awkward.	Trolleys available to move heavy equipment and users know where they are kept.	1	2		LOW	No further action needed.	
Fire & Asbestos	Separate Fire & Asbestos Risk Assessments are carried out every 5 years.	Yearly checks done. 5 year formal Risk Assessment in each area carried out by Fire and Asbestos specialists.	4	3		MEDIUM	Any work carried out at the Community Centre to be recorded. Company has to sign records confirm building work is being carried out and they are in receipt of Fire & Asbestos.	
Operation of Equipment	Staff Operating Tiered Seating or Building moving Stage parts	Training given regarding operating machinery or manual handling heavy stage parts.	3	4		MEDIUM	Work to be carried out in pairs whilst lifting or moving bulky seating into position.	Yearly safety checks on Tiered Seating and parts of stage checked and replaced every quarter.

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Risk Assessment

EVENT:	G'ming Museum	Date Of Assessment:	4.4.2020	Date Of Last Assessment:	01.04.2019	Responsible Person Name:	Andy Jefferey
Section:	Museum	Name Of Assessor:	Karen Warner	Date Of Next Assessment:	01.04.2021	Signature:	

Hazards	Persons at risk	Existing Precautions	Severity	Likelihood	Numerical Risk	Risk rating	Additional Controls	Task Frequency
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Risk Assessment

EVENT: **Pepperpot** Date Of Assessment: **01.04.2021** Date Of Last Assessment: **01.04.2019** Responsible Person Name: **Andy Jefferey**

Section: **Community Centre** Name Of Assessor: **Karen Warner** Date Of Next Assessment: **01.04.2022** Signature: _____

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Rare	1	2	3	4	5
Unlikely	2	4	6	8	10
Possible	3	6	9	12	15
Likely	4	8	12	16	20
Almost certain	5	10	15	20	25

Risk Assessment

Hazards	Persons at risk	Existing Precautions	Severity	Likelihood	Numerical Risk	Risk rating	Additional Controls	Task Frequency
See Above	See Above	<ul style="list-style-type: none"> Mats at entrances to stop rain water being carried in. No trailing electrical leads/cables. 	1	2		LOW	Cable Covers made available for Users of Hall.	Weekly Checks of floors at Community Centres.
Work at height Eg changing light bulbs, cleaning windows, putting up decorations etc.	Anyone working at any height could suffer injuries, possibly very serious ones, should they fall.	<ul style="list-style-type: none"> Appropriate, commercial stepladder securely stored and available for use. Hall users are not given access to step ladder and have to request support from Facilities Supervisor or Maintenance staff. Facilities Supervisor, Maintenance Work Force and cleaner know how to use the stepladder safely. 	2	3		MEDIUM	<p>Print copies of HSE guidance on safe use of stepladders and make available to those who may use stepladder.</p> <p>Put in place system for checking condition of stepladder.</p> <p>Consider implications for work at height of any future alterations to the hall.</p>	

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Medium risks 5-10

Review existing control measures to determine effectiveness. Where necessary implement further risk reducing measures.

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Adequately controlled. No actions required but keep assessment under review. Additional controls will further reduce risk.

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Hazards	Persons at risk	Existing Precautions	Severity	Likelihood	Numerical Risk	Risk rating	Additional Controls	Task Frequency
Vehicle movement	Pedestrians could suffer serious injury if struck by cars entering/leaving car park or moving in it.	<ul style="list-style-type: none"> ▪ Entrance/exit to car park clearly marked. ▪ For large events, parking controlled by marshals wearing high-visibility vests. ▪ Car park well lit. ▪ Skip/recycling collection takes place at times when hall not in use. 	2	3		MEDIUM	<ul style="list-style-type: none"> ▪ Apply 5 mph speed limit in car park and put up signs. ▪ Advise users of hall, through hire agreement, to consider whether they need to control car parking. 	

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Hazardous Substances Eg cleaning products	The cleaner, and others cleaning, risk skin problems, eg dermatitis and eye damage, from direct contact with cleaning chemicals. Vapour may cause breathing problems.	<ul style="list-style-type: none"> Mops, brushes and strong rubber gloves provided. Cleaning products marked 'irritant' replaced with milder alternatives. Cleaner trained to use products safely, eg follow instructions on the label, dilute properly and never transfer to an unmarked container. Cleaning products stored securely. 	2	3		MEDIUM	Cleaner reminded to check for dry, red or itchy skin on her hands and, if finding any, to go to doctors for advice and inform the Facilities Supervisor.	

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Electricity	Users risk electric shocks or burns from faulty equipment or installation.	<ul style="list-style-type: none"> Fixed installation correctly installed by qualified electrician, and inspected regularly. All repairs by qualified electrician. Safety plugs in sockets. Portable equipment checked for visual signs of damage before use. Hall users know they are responsible for any equipment used on site. 	4	3		MEDIUM	<ul style="list-style-type: none"> Make sure hall users know where the fuse box is and how to switch supply off in an emergency. <p>Pat Testing carried out on a yearly basis.</p> <p>Next Pat Testing due by end of May 2019.</p>	<p>Every Hire</p> <p>yearly</p>

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Hazards	Persons at risk	Existing Precautions	Severity	Likelihood	Numerical Risk	Risk rating	Additional Controls	Task Frequency
Stored Equipment	Users could be injured by collapsing stacks.	Users know that they must stack tables and chairs carefully so that they do not collapse.	2	3		MEDIUM	<ul style="list-style-type: none"> No further action needed. 	Regular checks and Training on Manual Handling has to be completed by Caretaker and Facilities Supervisor.
Manual handling	Users may suffer backpain if they try to lift objects that are too heavy or awkward.	Trolleys available to move heavy equipment and users know where they are kept.	1	2		LOW	<ul style="list-style-type: none"> No further action needed. 	
Fire & Asbestos	Separate Fire & Asbestos Risk Assessments are carried out every 5 years.	Yearly checks done. 5 year formal Risk Assessment in each area carried out by Fire and Asbestos specialists.	4	3		MEDIUM	<ul style="list-style-type: none"> Any work carried out at the Community Centre to be recorded. Company has to sign records confirm building work is being carried out and they are in receipt of Fire & Asbestos. 	Whenever work is carried out at the Community Centre.
Operation of Equipment	Staff Operating Tiered Seating or Building moving Stage parts	Training given regarding operating machinery or manual handling heavy stage parts.	4	3		MEDIUM	<ul style="list-style-type: none"> Work to be carried out in pairs whilst lifting or moving bulky seating into position. 	Yearly safety checks on Tiered Seating and parts of stage checked and replaced every quarter.

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Risk Assessment

EVENT: Date Of Assessment: Date Of Last Assessment: Responsible Person Name:

Section: Name Of Assessor: Date Of Next Assessment: Signature:

Hazards	Persons at risk	Existing Precautions	Severity	Likelihood	Numerical Risk	Risk rating	Additional Controls	Task Frequency
Slips, trips and falls Eg uneven surface of car park, cleaning floors etc.	Users of the hall and car park may suffer injuries such as fractures or bruising if they slip, eg on spillages or trip over objects.	<ul style="list-style-type: none"> Car park surface maintained to be as even as possible. Parking spaces for visitors with disabilities available next to hall entrance. Good lighting in car park and all rooms and corridors in hall. Users know (through hire agreement) to clear up spillages immediately and know where equipment is kept.. 	1	2		LOW	<ul style="list-style-type: none"> Surface to be inspected regularly and repaired as necessary. Check that hall cleaner knows which products to use on which type of floor. 	<p>Monthly Check</p> <p>Weekly Check</p>

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Manual handling	Users may suffer backpain if they try to lift objects that are too heavy or awkward.	Trolleys available to move heavy equipment and users know where they are kept.	1	2			No further action needed.	
Fire & Asbestos	Separate Fire & Asbestos Risk Assessments are carried out every 5 years.	Yearly checks done. 5 year formal Risk Assessment in each area carried out by Fire and Asbestos specialists.	4	3			Any work carried out at the Community Centre to be recorded. Company has to sign records confirm building work is being carried out and they are in receipt of Fire & Asbestos.	Whenever work is carried out at the Community Centre.
Operation of Equipment	Staff Operating Tiered Seating or Building moving Stage parts	Training given regarding operating machinery or manual handling heavy stage parts.	4	3			Work to be carried out in pairs whilst lifting or moving bulky seating into position.	Yearly safety checks on Tiered Seating and parts of stage checked and replaced every quarter.

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Risk Assessment

Volunteers/support workers of Godalming & Farncombe Community Store			2	3				Regular checks and Training on Manual Handling has to be completed by Caretaker and Facilities Supervisor.
Manual handling	Users may suffer backpain if they try to lift objects that are too heavy or awkward.	Trolleys available to move heavy equipment and users know where they are kept.	1	2				
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Risk Assessment



Area: **Legal**

Date of Assessment: 03/02/2022

Date of Last Assessment: 06/02/2020

Responsible Persons Name: Town Clerk – Andy Jeffery

Name of Assessor: Cllr Gerry Boyle

Date of Next Assessment: January 2025

Signature: _____

<u>Hazards</u>	<u>Persons at Risk</u>	<u>Existing Precautions</u>	<u>Severity</u>	<u>Likelihood</u>	<u>Numerical Risk</u>	<u>Risk Rating</u>	<u>Additional Controls</u>	<u>Task Frequency</u>
The Council fails to conduct its affairs and meetings in accordance with legislation	Residents and local businesses; Council employees; Council officers; Councillors	Maintain properly drafted Standing Orders (drafted in accordance with the law and reviewed at least annually) and follow them (Reviewed Standing Orders 13 May 2021 Reviewed Financial Regulations 13 September 2021) Either use Standing Orders as drafted and amended by NALC; or use a third party to check current significant variances from NALC Standing Orders to verify compliance with the law and provide a baseline against which to track subsequent changes.	3	2	6	Medium	Amend Standing Orders for known law changes whenever required	Annual Review of Standing Orders – by April 2021 Driven by notification of legal changes advised by NALC, SSALC, SLCC or any other professional body

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		Maintain adequate insurance to cover risk of non-compliance.					Insurance is reviewed on an annual basis to ensure it covers risk of failure (last reviewed 29 April 2021)	
That the Council and/or its officers miss a change in legislation that impacts on the Council	Residents and local businesses; Council employees; Council officers; Councillors	<p>Employ competent Clerk and other officers</p> <p>Members and officers attend training and networking opportunities</p> <p>Subscribe (as an organisation or as individual employees) to relevant support organisations (NALCⁱ, SSALCⁱⁱ, & SLCCⁱⁱⁱ)</p> <p>Purchase/subscribe to relevant publications (mainly journals of the above organisations) and purchase up-to-date texts as revised</p> <p>Evidence awareness of upcoming legislative changes to Audit, P&M and Joint Burial Committees and report to the</p>	4	2	8	Medium	Track endeavours to stay abreast of current legislation by officers reporting relevant changes to legislation to the Audit Committee when they occur.	<p>As needed PLUS annual report to Audit Committee</p> <p>Annual</p>

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		<p>relevant committee when they occur.</p> <p>Maintain adequate insurance to cover risk of non-compliance</p>					Insurance is reviewed on an annual basis to ensure it covers risk of failure (last reviewed 29 April 2021).	
That the Council is badly advised as to what the law is and therefore breaches the law	Residents and local businesses; Council employees; Council officers; Councillors	<p>Employ competent Clerk and other officers</p> <p>Members and officers attend training and networking opportunities</p> <p>Subscribe (as an organisation or as individual employees) to relevant support organisations (NALC, SSALC, & SLCC)</p> <p>Provide independent Member access to SSALC & NALC advice by appointing a Member to SSALC and giving all Members full access to the SSALC website</p>	2	2	4	Low	<p>Town Clerk to support Members and staff in identifying their general training needs</p> <p>Review Members' training to assess what training may be required</p> <p>Town Clerk circulated login details for the SSALC website to all Members for competent and independent advice</p>	<p>Annual</p> <p>Annual</p> <p>Contained in Member's Handbook</p>

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		<p>Purchase/subscribe to relevant publications (mainly journals of the above organisations) and purchase up-to-date texts as revised Retain access to competent legal advice and allow/require officers to seek advice as appropriate</p> <p>Maintain adequate budgets for subscriptions/publications and for professional fees and significant reserves</p> <p>Include reference to relevant legislation in all reports to the Council and its Committees</p> <p>Maintain adequate insurance</p> <p>Seek independent relevant advice subject to budget</p>					Insurance is reviewed on an annual basis to ensure it covers risk of failure (last reviewed 29 April 2021)	

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That the Council is properly advised as to what the law is but decides not to act on that advice.	Residents and local businesses; Council employees; Council officers; Councillors	All relevant advice offered by officers and independent advisors to be properly minuted. Officers to provide a full risk assessment of non-compliance/inaction where Councillors indicate an intention to not act on advice as to how the law should be implemented.	3	2	6	Medium		
That an individual councillor or officer purporting to act for the Councils acts illegally	Residents and local businesses; Council employees; Council officers; Councillors	<p>Ensure Councillors undertake appropriate training that includes clear guidance on limitations to delegations of powers</p> <p>Provide for and set up arrangements for enacting penalties where those powers have been exceeded</p> <p>Maintain up to date Standing Orders that are clear about delegation to officers General Power of Competence adopted by Full Council 16 May 2019 (min 15-19 refers)</p>	3	3	9	Medium	<p>Town Clerk to support Members in identifying their general training needs and powers.</p> <p>Town Clerk circulated login details for the SSALC website to all Members for competent and independent advice.</p> <p>Insurance is reviewed to ensure it covers risk of failure (last reviewed 29 April 2021).</p>	<p>Annual</p> <p>Contained in Member's Handbook</p> <p>Annual</p>

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That the Council knows that the law has changed but does not have the resources to react to that change.		<p>Risk assessment regime that covers legislative changes and assesses the risk to the Council of non-compliance</p> <p>Maintain a reasonable level of reserves to cover the costs of implementing unforeseen (& therefore unbudgeted) legislative changes where non-compliance puts the Council at risk of breaking the law, and commensurate with the risk of such unexpected changes occurring</p>	3	2	6	Medium	<p>Make such risk assessment part of annual report on legislative changes – see above.</p> <p>Inform Chair of relevant committee that the law has changed and discuss the relevant action to be taken.</p> <p>All building Risk Assessments are being reviewed and updated by the Facilities Supervisor. Other Risk Assessments are on this agenda for review</p>	<p>Annual</p> <p>As required</p> <p>Annual</p>

ⁱ National Association of Local Councils (Council subscribes)

ⁱⁱ Surrey & Sussex Association of Local Councils (Council subscribes)

ⁱⁱⁱ Society of Local Council Clerks (Town Clerk and RFO subscribes – funded by Council)

High risks 12-25

Immediate action required to either eliminate or adequately control the risk before further activity takes place.

Medium risks 5-10

Review existing control measures to determine effectiveness. Where necessary implement further risk reducing measures.

Low risks <5

Adequately controlled. No actions required but keep assessment under review. Additional controls will further reduce risk.

Likelihood	Severity				
	Negligible	Minor	Moderate	Major	Catastrophic
Rare	1	2	3	4	5
Unlikely	2	4	6	8	10
Possible	3	6	9	12	15
Likely	4	8	12	16	20
Almost certain	5	10	15	20	25



BUSINESS CONTINUITY POLICY

OVERVIEW

The objectives of a Business Continuity Plan (BCP) are:

- to provide guidance, establish actions to be taken and develop procedures that will allow the Council to manage any incident;
- to ensure the continued operation of key services;
- to keep the organisation working effectively;
- to inform the community and customers of the Council.

The BCP must cover all areas of the Council's business, including issues for the:

- staff – operational issues; to ensure their ability to undertake their day-to-day duties;
- council – statutory requirements, Councillors' business, service provider to customers (residents, visitors); to ensure they are undertaken with minimal disruption, and stakeholders kept informed and details and updates are well communicated.

Responsibility for implementing the BCP rests with the Proper Officer (PO), or, in his absence, the RFO. They must ensure that they have access to the BCP, including appendices, that is not dependent upon access to the office, and that the appendices themselves are updated as soon as any aspect changes.

There are many scenarios that may result in the need to implement aspects of the BCP, but this document focuses on loss of:

- main office location;
- any of the main community buildings; WNC, Broadwater or Pepperpot;
- IT capabilities from internal or external causes;
- Town Clerk or RFO.

In each scenario there will be a series of immediate actions to be considered and undertaken where relevant. There will then be additional considerations specific to each. It is recognised that those listed here are not exhaustive, as there is a balance to be struck between the benefits of preparedness and the investment of effort in planning for an event that might never happen.

The appendices to the BCP contain emergency contact details and other key information where immediate access may be required. For GDPR and other security reasons the actual details will only be included in restricted access versions of the BCP.

IMMEDIATE STEPS – ALL SCENARIOS

1. Follow any relevant guidelines, such as

- fire – evacuate and contact emergency services;
 - smell gas – turn off and phone 0800 111 999;
 - malicious threat – bomb warning.
2. Under no circumstances should staff or others be put at risk.
 3. Contact the PO and RFO, who will then take control of the situation unless the emergency services are involved.
 4. Make a quick assessment or value judgement of the seriousness of the situation and issues likely to be involved.
 5. Notify key stakeholders, using details in Appendices
 - staff;
 - Leader, Mayor and political group leaders, who should be requested to notify the remainder of their group;
 - insurers, if the incident is likely to give rise to a claim.
 6. In conjunction with the Leader, decide roles and responsibilities for staff and other elected members, as appropriate.
 7. Arrange more detailed briefings for staff and councilors.
 8. Decide the nature and extent of more extensive communication with residents and other relevant stakeholders.

SUBSEQUENT STEPS – ALL SCENARIOS

1. Ensure adequate resources are input to assist the recovery of the service, including those available from insurers.
2. Appropriate reviews of the situation are undertaken, through regular updates and Officers, Councillors and customers are kept updated and informed.
3. Officers are utilised effectively and efficiently, particularly in the event of providing cover, to expedite a prompt return to normal service.
4. Adequate checks are carried out when the services and systems are recovered, in particular when systems are restored from back-up records, so that they are fully restored and reinstated and operating correctly.
5. All details, i.e. resources, additional costs etc., are recorded and where applicable photographed.
6. If an insurance claim is to be made
 - ideally retain all damaged property until insurers have the opportunity to inspect;
 - consider setting up a separate cost centre so that all aspects are included. Any aspect not paid by insurers can be reassigned to normal cost centres subsequently.

ADDITIONAL CONSIDERATIONS – LOSS OF GTC OFFICES

1. Are alternative premises needed or can staff work from home for the expected duration of the interruption? If it is not currently feasible for them to do so for up to a week, are there sensible steps that can be taken now to ensure that they can do so for a few days, at least?
2. Options for alternative premises include adaptation of all or part of a community building for office use.

ADDITIONAL CONSIDERATIONS – LOSS OF COMMUNITY BUILDINGS

1. Repair or reinstatement should be arranged as expeditiously as possible, in conjunction with insurers where appropriate.
2. All customers with bookings in the affected building should be included in the list of stakeholders for immediate contact, even if the booking is beyond the expected period of interruption.
3. Assistance should be offered to affected customers to secure alternative facilities in Council buildings or elsewhere.

ADDITIONAL CONSIDERATIONS – LOSS OF KEY PERSONNEL

1. The PO or RFO should discuss the situation with the Leader as soon as possible to devise an action plan, including the possible need for additional temporary staff.
2. It is recommended that key aspects of each key role should be reviewed in advance to identify which aspects can be assigned to other staff, and the adjustments that might be necessary to allow for this. These might include:
 - delegation of aspects of their normal role to others;
 - additional training to enable this to happen, especially where this might be an aide to career development;
 - identify aspects of activity that could be suspended altogether or scaled back for the duration.

APPENDICES

The secure master copy of the BCP should contain appendices with the details listed below. PO and RFO must ensure that they have remote access to these details.

- staff phone numbers and private emails addresses;
- elected member phone numbers and private emails addresses, albeit that the initial communication requirement envisages that political group leaders will be responsible for cascading information to their peers;
- entry access codes and alarm codes for all buildings;
- 24/7 contact details for insurers – for use in the event of a major loss;
- office contact details for insurance broker and insurers;
- contact details for all IT service providers;
- details of any pre-planning as outlined in the BCP, including contact details for any potential service providers identified.

GODALMING TOWN COUNCIL

Disclosure by a Member¹ of a disclosable pecuniary interest or a non-pecuniary interest in a matter under consideration at a meeting (S.31 (4) Localism Act 2011 and the adopted Godalming Members' Code of Conduct).

As required by the Localism Act 2011 and the adopted Godalming Members' Code of Conduct, **I HEREBY DISCLOSE**, for the information of the authority that I have [a disclosable pecuniary interest]² [a non-pecuniary interest]³ in the following matter:-

COMMITTEE:

DATE:

NAME OF COUNCILLOR: _____

Please use the form below to state in which agenda items you have an interest.

Agenda No.	Subject	Disclosable Pecuniary Interest	Non-Pecuniary Interest	Reason

Signed _____

Dated _____

¹ "Member" includes co-opted member, member of a committee, joint committee or sub-committee

² A disclosable pecuniary interest is defined by the Relevant Authorities (Disclosable Pecuniary Interests) regulations 2012/1464 and relate to employment, office, trade, profession or vocation, sponsorship, contracts, beneficial interests in land, licences to occupy land, corporate tenancies and securities

³ A non-pecuniary interest is defined by Section 5 (4) of the Godalming Members' Code of Conduct.