

# GODALMING TOWN COUNCIL

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Municipal Buildings  
Bridge Street  
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Surrey GU7 1HT

19 January 2018

I HEREBY SUMMON YOU to attend the AUDIT COMMITTEE Meeting to be held in the Council Chamber, Municipal Buildings, Godalming on THURSDAY, 25 JANUARY 2018 at 7.00 pm.

Andy Jeffery  
Town Clerk

Committee Members: Councillor Bolton – Chairman  
Councillor Pinches – Vice Chairman  
Councillor Noyce  
Councillor Williams  
Councillor Purkiss

## AGENDA

### 1. MINUTES

To approve as a correct record the minutes of the meeting held on the 26 October 2017, a copy of which has been circulated previously.

### 2. APOLOGIES FOR ABSENCE

### 3. PETITIONS/STATEMENTS/QUESTIONS FROM MEMBERS OF THE PUBLIC

The Chairman to allow members of the public to ask questions, or make a statement or present a petition. This forum to be conducted in accordance with Standing Order 4.

### 4. 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.

### 5. 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).

### 6. BANK RECONCILIATION

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

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

Members of the Public have the right to attend all meetings of the Town Council and its Committees and are welcome.

7. INTERNAL AUDITOR'S REPORT

Members to consider the report from the Council's Internal Auditor, Mulberry & Co, on an interim internal audit conducted on 21 November 2017 for the 2017/18 financial year (report attached for the information of Members).

8. REVIEW OF RISK ASSESSMENT – ENVIRONMENT

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

9. REVIEW OF RISK ASSESSMENT – HEALTH & SAFETY

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

10. REVIEW OF RISK ASSESSMENT – LEGAL

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

11. REVIEW OF RISK ASSESSMENT – PHYSICAL SECURITY

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

12. REVIEW OF RISK ASSESSMENT – REPUTATION

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

13. REVIEW OF RISK ASSESSMENT – FINANCIAL

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

14. REVIEW OF BUSINESS CONTINUITY PLAN

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

Members to note that on 4 January 2018, the RFO tested the back-up system by accessing the back up and ensuring all data could be accessed. Accessing the backup was easily done and no issues were identified. It should be noted that the backed up data is 1 day old (i.e. it is not live), but re-performing one day's work is considered to be reasonable.

15. COMMUNICATIONS ARISING FROM THIS MEETING

Members to identify which matters (if any), discussed at this meeting, are to be publicised.

16. DATE OF NEXT MEETING

The next meeting of the Audit Committee is scheduled to be held on Monday, 23 April 2017 at 7.00pm in the Council Chamber.

17. ANNOUNCEMENTS

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

**AUDIT COMMITTEE WORK PROGRAMME**

<b>SUBJECT</b>	<b>NAME OF PERSON UNDERTAKING REVIEW</b>	<b>PREVIOUS COMPLETION DATE</b>	<b>ACTIONS BROUGHT FORWARD</b>	<b>STATUS</b>	<b>ACTIONS CARRIED FORWARD</b>
Bank Reconciliation	Cllr Andrew Bolton/RFO	26 October 2017	Latest Bank recs reviewed at each Meeting of Audit Committee	Chairman to review and sign at each meeting of the Audit Committee.	Ongoing
Internal Control – Meeting 1					
Income Controls	Cllr Nick Williams	27 July 2017	Conducted 27 July 2017 – no issues identified	Annual review to be completed by June 2018	
Payment Controls	Cllr Nick Williams	27 July 2017	Conducted 27 July 2017 – no issues identified	Annual review to be completed by June 2018	
Payroll Controls	Cllr Nick Williams	27 July 2017	Conducted 27 July 2017 – no issues identified	Annual review to be completed by June 2018	
Petty Cash	Cllr Nick Williams	27 July 2017	Conducted 27 July 2017 – no issues identified	Annual review to be completed by June 2018	
Proper Book-keeping	Cllr Nick Williams	27 July 2017	Conducted 27 July 2017 – no issues identified	Annual review to be completed by June 2018	
VAT Controls	Cllr Nick Williams	27 July 2017	Conducted 27 July 2017 – no issues identified	Annual review to be completed by June 2018	

SUBJECT	NAME OF PERSON UNDERTAKING REVIEW	PREVIOUS COMPLETION DATE	ACTIONS BROUGHT FORWARD	STATUS	ACTIONS CARRIED FORWARD
Miscellaneous – Meeting 2					
External Auditor’s Report	RFO	26 October 2017	Annual report received 26 October 2017. Onward Recommendation to Full Council on 16 November 2017	Annual report to be received around Oct 2018. Onward Recommendation to Full Council	
Asset Control	Cllr Andrew Bolton/RFO	26 October 2017	Conducted 26 Oct 2017 - to be reviewed in 12 months	Annual review to be completed by Oct 2018	
Review of Ongoing Suppliers	Cllr Andrew Bolton /Facilities Manager/TC	Ongoing	Recently reviewed: - HR Services reviewed 2016/17 -Legal Services Reviewed 2017 -Advertising contract reviewed 2017 - Internal auditors reviewed Oct 2017 - Insurance providers to be reviewed for 2018/19 financial year	Ongoing task.	
Financial Regulations	RFO	26 October 2017	Review of Financial Regulations completed at by this Committee 26 Oct 2017 and agreed by Full Council on 16 Nov 2017	Annual review required to be completed by 31 March 2019	
Procedures	Cllr Andrew Bolton	Ongoing	Financial procedures as updated agreed by this Committee on 6 October 2016  Other key processes agreed by the Committee on 16 March 2017	List of procedures completed.	
Budgetary Controls	Cllr Andrew Bolton	26 October 2017	Conducted 26 October 2017- to be reviewed in 12 months	Annual review to be completed by October 2018	

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 Nick Pinches/TC/RFO	6 October 2016	Updated Business Continuity Plan considered & agreed on 5 October 2016	Annual review to be completed by October 2017	On this agenda
Risk Assessment - Environmental	Cllr Ollie Purkiss/TC/RFO	16 March 2017	To be reviewed annually	Annual review to be completed by 15 March 2018	On this agenda
Risk Assessment - Legal	Cllr Nick Williams/TC/RFO	16 March 2017	To be reviewed annually	Annual review to be completed by 15 March 2018	On this agenda
Risk Assessment - Physical/Security	TC/RFO/Cllr Ollie Purkiss	16 March 2017	To be reviewed annually	Annual review to be completed by 15 March 2018	On this agenda
Risk Assessment - Reputation	Cllr Julie Noyce/TC/RFO	16 March 2017	To be reviewed annually	Annual review to be completed by 15 March 2018	On this agenda
Risk Assessment - Health & Safety	Cllr Nick Pinches /TC/RFO	16 March 2017	To be reviewed annually	Annual review to be completed by 15 March 2018	On this agenda
Financial Risks	Cllr Andrew Bolton /TC/RFO	6 October 2016	Conducted 6 October 2016 to be reviewed in 12 months	Annual review to be completed by October 2017	On this agenda
Insurance	Town Clerk/RFO	16 March 2017	To be reviewed annually	On going	Market test of insurers on P&M work programme.

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	16 March 2017	Received 16 March 2017	Bi-annual reports to be received. Audits normally conducted Nov and May of each year Onward recommendation to Full Council.	On this agenda
Management of Debt (particularly Bad Debt)	RFO	16 March 2017	To be reviewed annually	Annual review to be completed by 15 March 2018	
Review of Effectiveness of Internal Control	Cllr Andrew Bolton /RFO	16 March 2017	To be reviewed annually	Annual review to be completed before Full Council	
Annual Governance Statement	Cllr Andrew Bolton /RFO	8 May 2017	To be reviewed annually	Annual review to be completed before Full Council	
Annual Accounting Statements	Cllr Andrew Bolton /RFO	8 May 2017	To be reviewed annually	Annual review to be completed before Full Council	



## MULBERRY & CO

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Our Ref: MARK/GOD001

Mr L Jeffery  
Godalming Town Council  
Town Council Offices Municipal Buildings  
Bridge Street  
Godalming  
Surrey  
GU7 1HR

29<sup>th</sup> November 2017

Dear Andy

**Re: Godalming Town Council  
Internal Audit Year Ended 31<sup>st</sup> March 2018**

Following completion of our interim internal audit 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.

**Interim Audit – Summary Findings**

At the interim visit we reviewed and performed tests on the following areas:

- Review of the Financial Regulations & Standing Orders
- Review of the Risk Assessments
- Review of the Budgeting Process
- Proper Bookkeeping

It is our opinion that the systems and internal procedures at Godalming Town Council are very well established, regulated and followed. The clerk and the RFO are very experienced and ensures the Council follows best practice regulations and has over time adapted and changed the internal procedures as regulations and technologies have changed to maintain compliance.

It is clear the Council takes 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. I have identified a number of minor recommendations for consideration by the Council. These are set out at Appendix A.

The results of my interim audit can be seen below. I have set out the results of my testing against each of the control objectives set out in the internal audit section of the annual return.

**A. Books of Account**

The Council continues to use RBS an industry specific accounting package. The RBS system is used daily to report and record the financial transactions of the council and a review of the cashbook shows that all data fields are being entered, the hard copy reports are easy to read and logically filed. I therefore make no recommendation to



change in this system. I am pleased to note that the Council is now running hall bookings directly through RBS, using the bookings module. This should help significantly in managing booking income.

I confirmed that the Council has brought forward the correct balances on the general ledger by checking the opening balance sheet back to the signed 16-17 accounts. I also confirmed that the Council has loaded the audited accounts and audit certificate to the Council website. **I have one minor recommendation, the conclusion of audit certificate should also be loaded on to the website.**

I checked that the Council has considered external audit and internal audit reports. I note that the external audit report was reviewed at the November meeting of Full Council, and a minute recorded. Internal Audit's year-end report was discussed at the Audit Committee in June – **I recommend that future reports are also discussed at Full Council.**

The Council is up to date with VAT reporting. VAT return for the period to 30.9.17 has been submitted to HMRC - balances on the return could be agreed back to reports on the RBS system.

### **B. Financial Regulations & Payments**

The NALC model financial regulations were taken to council in November 2017. Standing orders, largely based on the NALC model, were approved at the Council meeting of April 2017. We understand that the Members Code of Conduct has not been reviewed since 2013. **We suggest that this is reviewed against the NALC model in the next 12 months.**

Council is given authority to spend via the annual budget process, payments are made so long as there is available budget. It is clear council has good robust systems, policies and regulations in place and takes seriously its responsibility in this regard. I reviewed a sample of expenditure transactions and was able to confirm the following:

- Cashbook entry could be agreed back to an invoice from the supplier
- Approval for the payment was recorded in a minute of a meeting of the JBC
- Signature of two committee members was viewed on each invoice tested and BACS payment slip / cheque stub
- Where appropriate I was able to confirm that financial regulations relating to procurement had been followed.

I therefore conclude that payments are authorised in accordance with financial regulations and a dual signatory system is in place for all payments. **I have one observation. I noted that VAT had not been levied on the invoice for administration charged by Godalming TC to Godalming JBC. This would appear to be a standard rate vatable supply and it is my opinion that VAT should have been added to this invoice.**

I note that Godalming TC is largely compliant with requirements of the Transparency Code. The Financial Information section of the website lists information required by the Code, including regular uploads of payments above £500, information on grants paid and budgetary information. There is scope for some improvement in order to achieve full compliance, **I would recommend Crowborough Town Council as an example of best practice.**

### **C. Risk Management & Insurance**

The Council has a risk strategy in place and monitors and reviews risk on an ongoing basis. Council is aware of and has policies in place to mitigate financial risk. The risk assessment will be reviewed at the January meeting of the Audit Committee. **I have reminded the RFO that the risk assessment must also be taken to a meeting of Full Council before 31 March, and this review minuted.**

Godalming TC is insured with Aviva via WPS brokers on a standard local authority long term deal. This is the final year of three, and the Council is preparing to go retender its insurance. The Museum is insured with Ecclesiastical Insurance. I viewed the Council's policy document and confirmed it runs to 31.3.18. Asset and money cover appear adequate. I understand that the Council is planning to review the insured valued of fixed assets as part of the new insurance tender.

The Council's computer data is backed up by an external supplier to a remote location. **I recommend that the back-up is tested annually to provide assurance to the Council that it can access all data and applications necessary from back up.**

#### **D: Budget, Precept & Reserves**

I have confirmed that the 2018-19 budget cycle is well under way. Draft budgets were due to be discussed with the Policy and Management Committee in November 2017, with approval of budget and precept due at the Full Council meeting of January 2018. All precepting authority deadlines will be met.

Councillors receive regular reports on budget against actuals via reports to the Policy and Management Committee. I reviewed the report for the period to October 2017 and was able to confirm that the budget is well managed. Overspends have been properly explained and approval for funding sought from Councillors. I was pleased to note that in year monitoring of reserves is carried out, this is an example of good practice.

Reserves at 31.3.18 are projected to stand at £372K, of which £222K will be in the general fund. At around 40% of precept, this is an acceptable reserve level for a Council of this size.

#### **E: Income**

The Council has installed the RBS booking module in the course of the 2017-18 financial year. As a consequence, invoices are now raised at the point of booking, using pre-set fees and charges data. I tested a sample of transactions relating to income from room / hire, and was able to agree cashbook figures back to invoices. I was also able to agree rates back to approved fees and charges. **I noted that fees and charges were last approved in November 2016 and are therefore due to be taken to Council for review.**

#### **F. Petty cash**

The Council holds one petty cash account, with a maximum balance of £200 held at any one time. I will review this at my final accounts visit.

#### **G. Payroll**

Test at final accounts

#### **H. Assets and investments**

The asset registers are up to date and properly maintained. I can confirm that new assets such as the Museum have been added to the asset register. I also confirmed that expenditure on works at the William Noyce Centre costs have been recorded in a separate cost centre and will be added to the asset register before 31.3.17, as work is nearing completion. Detailed testing of fixed assets will be carried out at year end, as part of the process of reconciling the annual accounts to the fixed asset register.

#### **I: Bank reconciliations**

The Town Council has two bank accounts. The bank reconciliations for both accounts are properly prepared and presented to committee for verification and approval on a regular basis. I confirmed that reconciliations are completed promptly at the end of each month. The September 2017 bank reconciliations were reperformed. There were no errors, and I confirmed that the reconciliation and bank statements had been signed by the reviewing member of the committee. The system of reconciliation is working correctly.

**I recommend that the Council considers moving monies to different financial institutions, in order to take full advantage of the Financial Services Guarantee Scheme.**

**J. Year end accounts**

Test at year end.

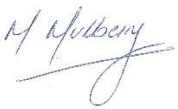
**K. Trusteeship**

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 stylized flourish underneath.

**Mark Mulberry**

Appendix 1 **Points Forward – Action Plan**

<b>Matter Arising</b>	<b>Recommendation</b>	<b>Council Response</b>
I confirmed that the Council has loaded the audited accounts and audit certificate to the Council website.	I have one minor recommendation, the conclusion of audit certificate should also be loaded on to the website.	
Internal Audit's year-end report was discussed at the Audit Committee in June	I recommend that future reports are also discussed at Full Council	
We understand that the Members Code of Conduct has not been reviewed since 2013.	We suggest that this is reviewed against the NALC model in the next 12 months.	
I noted that VAT had not been levied on the invoice for administration charged by Godalming TC to Godalming JBC.	This would appear to be a standard rate vatable supply and it is my opinion that VAT should have been added to this invoice.	
I note that Godalming TC is largely compliant with requirements of the Transparency Code.	There is scope for some improvement in order to achieve full compliance, I would recommend Crowborough Town Council as an example of best practice	
The risk assessment will be reviewed at the January meeting of the Audit Committee	I have reminded the RFO that the risk assessment must also be taken to a meeting of Full Council before 31 March, and this review minuted.	
The Council's computer data is backed up by an external supplier to a remote location	I recommend that the back up is tested annually to provide assurance to the Council that it can access all data and applications necessary from back up.	
I noted that fees and charges were last approved in November 2016	Fees and Charges are due to be taken to Council for review.	
All cash is held with one bank	I recommend that the Council considers moving monies to a	

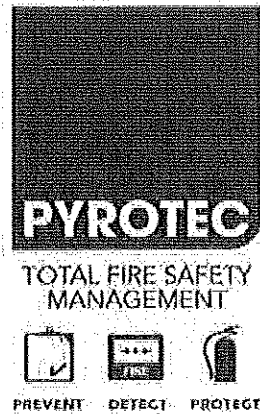
	different financial institutions, in order to take full advantage of the Financial Services Guarantee Scheme.	
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**Major Risk Area: Environment 2018**

An environmental risk assessment assesses the likelihood of Godalming Town Council causing harm to the environment.

Risk (What could happen)	Impact	Scenario (How it could happen)	Likely	Control Measure	Status Who/When
<p>Lack of awareness of the Environment as it is constantly changing.</p> <p>Not taking account of the tasks that can be adopted Eg: Recycling</p> <p>Correct Disposal of Hazardous materials including Asbestos</p>	M	<p>Environmental issues are integral to most areas of our business and therefore there may be something unforeseen that occurs.</p> <p>Not recycling or sorting rubbish</p> <p>Inadequate disposal of Asbestos</p> <p>Eradication of Japanese Knotweed at Wilfrid Noyce Centre</p>	L	<p>To keep up to date with environmental changes and encourage good practice and an awareness of the environment.</p> <p>There is a separate container for all paper waste which is emptied by the Facilities Manager on a regular basis.</p> <p>Glass bottles are also recycled as required.</p> <p>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.</p> <p>Contracted specialists to identify, eradicate and safely dispose of.</p>	<p>Report any occurrences that are likely to be an issue to TC, Committees or Chairman so that everyone is aware of the problem in order that suitable/ appropriate action may be taken.</p> <p>Completed as part of refurbishment project.</p> <p>Two year eradication programme entered into.</p>

Risk (What could happen)	Impact	Scenario (How it could happen)	Likely	Control Measure	Status Who/When
<p>Using Environmentally Friendly goods</p> <p>Electricity/gas</p> <p>Electric Bulbs</p>		<p>Not purchasing Fair trade goods or articles that could be used/disposed of in an environmentally friendly way.</p> <p>Energy is being wasted.</p> <p>Not using long-life bulbs.</p>		<p>Fair Trade Policy Agreement for Tea and coffee etc for use by the organisation adopted 17 November 2011.</p> <p>Ensuring that in all centres there are controls/timers on the gas and electricity to ensure that buildings are heated but energy isn't being wasted.</p> <p>Using energy efficient bulbs.</p> <p>WNC installed energy and smart lights as part of its refurbishment. The Council considered the use of solar panels as a sustainable energy source but concluded that disposal at the end of its useful life was more damaging to the environment than the potential savings gained.</p> <p>BWP lighting needs to be updated as and when budget funds become available.</p>	<p>Facilities Manager to look into sourcing products with reduced environmental impact</p> <p>Facilities Manager reviews energy usage on a regular basis</p>



# Pre-Completion Fire Safety Consultation Report

## Wilfrid Noyce Community Centre

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Thursday 23 March 2017

### OVERVIEW:

Following the pre-occupation survey completed on 26 January 2016 Pyrotec were consulted to provide a pre-completion survey in respect of fire precautions at the above property on behalf of Godalming Town Council. The site was visited on 23 March 2017. The building is now in general use as a community resource although a final phase of construction is still planned. A Full fire risk assessment will be required upon final completion in accordance with the Regulatory Reform Order 2005

### CONSTRUCTION:

Although the building has gone through extensive refurbishment, parts of the structure retain elements of the original build. The building is constructed of a wooden framed roof and has a mixture of composite concrete and brick outer walls. The internal partitioning is mainly stud work with Gyproc plaster board.

### INTERNAL DOORS:

All new internal doors have been supplied as certified door sets to an FD30s and FD60s standard as appropriate.

A number of the door sets have not been correctly adjusted on installation leaving non-uniform and excessive gapping around the doors where the cold smoke seals do not make contact with the frame or adjoining door leaf.

Action – Ease and adjust door leaves to ensure correct fit in frames.

*Corrected by Gee Construction  
June 2017*

Some door stops have not been correctly fitted or adjusted leaving gaps at stop ends and between stops and frames.

*Re adjusted by Gee Construction June 2017*

Action – Inspect and correct door stop installation to fire doors as required.

### FIRE DETECTION AND ALARM SYSTEM:

The building appears to be fitted with a category L1+M fire detection and alarm system throughout. This will incorporate flashing beacons/sounders within the toilets and main hall area. Fire detection is also included in the plant rooms and roof space. The system

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should be confirmed to be certified upon completion in accordance with model certificate BS5839 part 1:2013, annex G.

The installation appears complete and is operational but no zone plan is displayed adjacent to the control panel.

Action – Provide zone plan and display adjacent to control panel *Done by GTC June 2017*

### **EMERGENCY LIGHTING:**

Emergency lighting is to be provided throughout in accordance with BS5266 part 1. This includes lighting to the rear of the building externally and within the plant rooms.

The emergency lighting installation appears to be complete and fit for purpose subject to certification and routine inspection and testing.

### **FIRE STOPPING:**

All gaps and holes made for the passing of cables and pipes must be ensured to be fully fire stopped. All electrical switch equipment should be ensured to be enclosed within a 30 minute fire resisting cupboard or cabinet.

Excessive use of expanding foam has been made to stop gaps between services and surrounding walls/ceilings etc. The foam has been used outside the manufacturer's instructions and will not be effective in a fire situation.

Action - Cut out excessive foam and replace with fire rated boards correctly fixed and sealed with intumescent mastic or similar approved products. Create register of fire stopping for future reference so it can be re-instated to the correct standard if removed for service or replacement of services. *Done by Gee Construction June 2017.*

The small cleaners cupboard in the entrance lobby has not been fire stopped at wall plate level and is open to the loft void above. *Done by Gee Construction June 2017*

Action – Install fire stopping to cleaners cupboard at wall plate level and around services.

### **AUTOMATED FIRE SYSTEMS/DEVICES:**

The kitchen serving hatch is to be fitted with an automatic fire curtain which will activate and close upon the triggering of the fire alarm system.

The main central heating plant equipment is also interfaced to cause shutdown upon the activation of the fire alarm system.

Fire doors with magnetic retainers and locks are interfaced to the fire alarm system.

All services have been tested against the required cause and effect and are satisfactory subject to certification and routine test and inspection.

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## **FIRE EXTINGUISHERS:**

Fire extinguishers are to be provided throughout. All equipment should be manufactured to BSEN3 and be installed in accordance with BS5306 part 8. All equipment must be serviced by a competent person in accordance with BS5306 part 3.

All appear to be satisfactory subject to certification and routine test and inspection.

## **SIGNAGE:**

Directional and non-directional fire safety signage to be provided throughout in accordance with BS EN ISO 7010 standards.

Door signs are missing to at least one fire exit door fitted with a push bar.

Action – review and update signs to BS EN ISO 7010. *Done by GTC June 2017*

## **FURNITURE AND FURNISHINGS:**

All furniture and furnishing are to be compliant with the 'Furniture and Furnishings (Fire Safety) Regulations 1988/1989, 1993 and 2010'.

## **MANAGEMENT & GENERAL HOUSEKEEPING:**

All fire escape route and fire exits must remain completely clear of any storage or obstruction at all times.

Storage of readily flammable material within the roof space should be avoided.

## **CAPACITY:**

### **HALL 1**

Dimensions = approx 224m<sup>2</sup> / 0.5 = 440 persons (standing) or 220 persons seated\*

### **HALL2**

Dimensions = approx 46m<sup>2</sup> / 0.5 = 92 persons (standing) or 46 persons seated\*

### **HALL3**

Dimensions = approx 50m<sup>2</sup> / 0.5 = 100 persons (standing) or 50 persons seated\*

\*depending on the layout of the seating etc.

The maximum capacity for the entire building is going to be set to 320 made up of max 220 audience and up to 100 staff/performers

Various layout plans are to be developed and issued to hirers of the premises for different purpose (weddings, exhibitions etc).

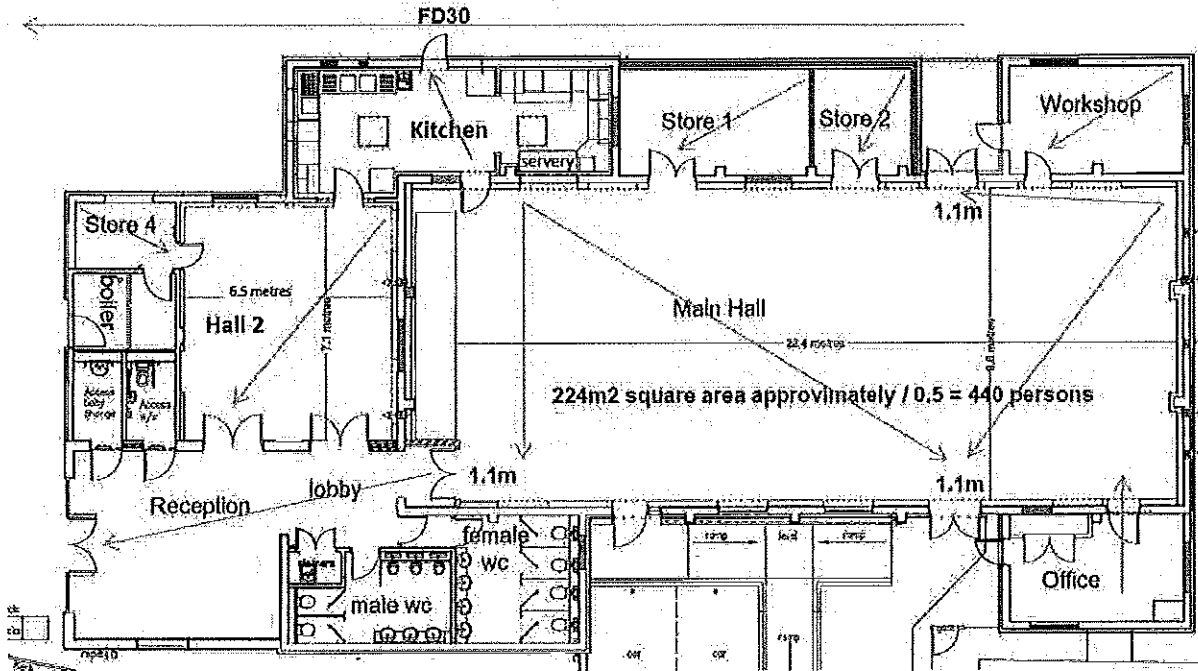
## **MAINTENANCE:**

All fire safety systems and equipment must be placed on service contract with a third party accredited contractor in order to comply with article 17 of the Regulatory Reform

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Order 2005. All testing and maintenance should be recorded in a suitable fire log book which should be kept on site.

PREMISES LAYOUT AS PER PLAN AND FIRE EXIT ROUTES.



## 16. Photographs (continued)

<p>1. Fire detection control panel with no zone notice displayed</p>	<p>2. Cut out excessive foam and replace with fire rated board sealed with intumescent mastic or similar</p>	<p>3. Cut out excessive foam and replace with fire rated board sealed with intumescent mastic or similar</p>	<p>4. Make good around fittings with fire resisting materials</p>
<p>5. Provide correct signs for push bar fire exit door</p>	<p>6. Make good breach in fire wall</p>	<p>7. Fire doors poorly hung in frames. East and adjust to ensure correct fit and making of smoke seals</p>	<p>8. Ensure all door stops are securely fitted in frames without gaps</p>
<p>9. Ease fire doors to ensure smoke seals touch at all points</p>	<p>10. Do not store objects on/in close proximity to boilers and other equipment</p>	<p>11. Complete fire stopping of service rooms/cupboards</p>	<p>12. Complete fire stopping of service rooms/cupboards</p>

**Major Risk Area: Legal 2018**

That the Council (and/or its officers, volunteers or Members) does something it does not have the power to do – i.e. something that is “ultra vires”. Or, by action or by omission, breaches the law.

Risk (What could happen)	Impact	Scenario (How it could happen)	Likely	Control Measure	Action Who/When
The Council fails to conduct its affairs and meetings in accordance with local government law.	M	Meetings not conducted in accordance with Standing Orders.  Pressure from Members to change the way in which meetings are conducted and to draft changes to Standing Orders to effect those changes meaning that the resulting Standing Orders are not in accordance with the law	L	<ul style="list-style-type: none"> <li>• Maintain properly drafted Standing Orders (drafted in accordance with the law and reviewed at least annually) and follow them</li> <li>• Either use Standing Orders as drafted by NALC; or</li> <li>• Use a third party to check significant variances from NALC Standing Orders to verify compliance with the law</li> </ul>	Reviewed Standing Orders April 2017 Reviewed Financial Regulations November 2017  Amend Standing Orders for known law changes whenever required
That the Council and/or its officers miss a change in legislation that impacts on the Council.	H	The Council is a small organisation which can do only the things the law says it can – i.e. it must be “intra vires” and which must be compliant with a huge raft of legislation (including employment law, Health & Safety legislation, burial laws, freedom of information requirements and specific local government acts). A small staff group and heavy workloads mean that there is always a risk of a legislative change being missed – particularly if it is not picked up by other bodies (e.g. NALC <sup>i</sup> or SSALC <sup>ii</sup> ) and GTC informed.	L	<ul style="list-style-type: none"> <li>• Employ competent Clerk &amp; other officers</li> <li>• Members’ &amp; officers’ training and networking opportunities</li> <li>• Subscribe (as an organisation or as individual employees) to relevant support organisations (NALC<sup>i</sup>, SSALC<sup>ii</sup>, SLCC<sup>iii</sup> &amp; CIPFA<sup>iv</sup>)</li> <li>• Purchase/subscribe to relevant publications (mainly journals of the above organisations) and purchase up to date texts as revised</li> <li>• Evidence awareness of legislative changes to Audit Committee and P&amp;M Committee or Joint Burial</li> </ul>	Acknowledge that we have made endeavours to stay abreast of current legislation by reporting changes to committee when they occur.  Insurance is reviewed on an annual basis to ensure it covers risk of failure (last reviewed 21 February 2017).  Meeting with current Insurers booked for 16 January 2018. Meetings to be

Risk (What could happen)	Impact	Scenario (How it could happen)	Likely	Control Measure	Action Who/When
		Council or officers don't know what they don't know – have to live with some risk of missing a legislative change.		Committee and reporting to the relevant committee when they occur. <ul style="list-style-type: none"> <li>• Maintain adequate insurance</li> </ul>	arranged with other providers.
That the Council knows that the law has changed but does not have the resources to react to that change.	M	Lack of staffing capacity and/or financial resources to implement the changes required.	L	<ul style="list-style-type: none"> <li>• Risk assessment regime that covers legislative changes and assesses the risk to the Council of non-compliance</li> <li>• Maintain significant reserves so that the costs of implementing unforeseen (&amp; therefore unbudgeted) legislative changes may be met if non-compliance puts the Council at risk</li> </ul>	Make such risk assessment part of annual report on legislative changes – see above.  Inform Chairman or relevant committee that the law has changed and discuss the relevant action to be taken.  <b>All Risk Assessments to be reviewed once new Facilities Supervisor is appointed.</b>
That the Council is badly advised as to what the law is and therefore breaches the law.	L	The Clerk or other officer (or independent adviser) offers inaccurate advice	L	<ul style="list-style-type: none"> <li>• Employ competent Clerk &amp; other officers</li> <li>• Members' &amp; officers' training and networking opportunities</li> <li>• Subscribe (as an organisation or as individual employees) to relevant support organisations (NALC, SSALC, SLCC &amp; CIPFA)</li> <li>• Provide independent Member access to SSALC &amp; NALC</li> </ul>	Town Clerk to support Members in identifying their general training needs. To be reviewed annually.  Review Members Training to assess what training may be required.

Risk (What could happen)	Impact	Scenario (How it could happen)	Likely	Control Measure	Action Who/When
<p><i>That the Council is badly advised as to what the law is and therefore breaches the law. (contd)</i></p>		<p><i>The Clerk or other officer (or adviser) offers inaccurate advice. (contd)</i></p>		<p>advice by:</p> <ol style="list-style-type: none"> <li>1. Appointing a Member to SSALC &amp;</li> <li>2. Giving all Members full access to the SSALC website.</li> </ol> <ul style="list-style-type: none"> <li>• Purchase/subscribe to relevant publications (mainly journals of the above organisations) and purchase up to date texts as revised</li> <li>• Retain access to competent legal advice and allow/require officers to seek advice as appropriate</li> <li>• Maintain adequate budgets for subscriptions/publications and for professional fees and significant reserves.</li> <li>• Include reference to relevant legislation in all reports to the Council and its Committees.</li> <li>• Maintain adequate insurance</li> <li>• Seek independent relevant advice subject to budget.</li> </ul>	<p>Town Clerk circulated login details for the SSALC website to all Members for competent and independent advice.</p> <p>Insurance is reviewed on an annual basis to ensure it covers risk of failure (last reviewed 21 February 2017).</p> <p><b>Meeting with current Insurers booked for 16 January 2018. Meetings to be arranged with other providers.</b></p>
<p>That the Council is properly advised as to what the law is but decides not to act on that advice.</p>	M		L	<ul style="list-style-type: none"> <li>• All relevant advice offered by officers and independent advisors to be properly minuted.</li> </ul>	<p>All decisions of Members are properly minuted.</p>

Risk (What could happen)	Impact	Scenario (How it could happen)	Likely	Control Measure	Action Who/When
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That an individual councillor or officer purporting to act for the Councils acts illegally	M		M	<ul style="list-style-type: none"> <li>• Ensure Councillors undertake appropriate training.</li> <li>• Maintain up to date Standing Orders that are clear about delegation to officers</li> </ul>	<p>General Power of Competence adopted by Full Council 15 May 2015 (min 15-15 refers)</p> <p>Town Clerk to support Members in identifying their general training needs. To be reviewed annually.</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>
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<sup>i</sup> National Association of Local Councils (Council subscribes)

<sup>ii</sup> Surrey & Sussex Association of Local Councils (Council subscribes)

<sup>iii</sup> Society of Local Council Clerks (Town Clerk subscribes – funded by Council)

<sup>iv</sup> Chartered Institute of Public Finance & Accountancy (Currently not subscribed to)



## Major Risk Area: Physical Security 2018

Physical security measures aim to either prevent a direct assault on our premises or reduce the potential damage and injuries that can be inflicted should an assault occur

Risk (What could happen)	Impact	Scenario (How it could happen)	Likely	Control Measure	Status Who/When
Break-in or unauthorised entry to Town Council premises	M	Criminal/malicious activity	M	<ul style="list-style-type: none"> <li>• Alarm systems where appropriate</li> <li>• Good quality locks on all doors</li> <li>• Good control of keys</li> <li>• Introduced Slave and Master key system</li> <li>• Controlled entry system whereby visitors buzz to be let into main office</li> <li>• Maintain Business Continuity Plan to minimise impact of damage to computer &amp; paper systems</li> <li>• Test of back up to be done to ensure it works</li> <li>• Adequate insurance</li> <li>• Maintain the fabric of our buildings to ensure the effectiveness of security measures</li> </ul>	<ul style="list-style-type: none"> <li>• Slave and master key system so that security is maintained and keys cannot be copied but allow officers a skeleton key for all properties.</li> <li>• JBC plot registers have been transferred to computer and a non-tear paper record for everyday office use.</li> <li>• <b>Our IT Providers have tested our back up to ensure it works (5/1/18)</b></li> <li>• Facilities Manager to conduct regular inspection of all premises to identify any maintenance issues and take appropriate action to rectify any deficiencies identified</li> <li>• <b>CCTV cameras installed at WNC as preventative measure against malicious damage.</b></li> <li>• <b>New gates and anti-climb paint on roof at WNC as preventative measure against malicious damage.</b></li> </ul>

Risk (What could happen)	Impact	Scenario (How it could happen)	Likely	Control Measure	Status Who/When
Assault on Member of Staff or Councillor	M	Criminal/malicious activity	L	<ul style="list-style-type: none"> <li>• Maintain lone-working policy and ensure staff are aware of it and follow its guidance</li> <li>• Include Councillors within lone-working policy if on GTC business</li> <li>• Controlled entry system whereby visitors buzz to be let into main office</li> </ul>	Lone Working Policy adopted November 2013 and on Staffing Sub-Committee work programme for regular review.

**Major Risk Area: Reputation 2018**

The potential that negative publicity regarding Godalming Town Council’s organisational practices, whether true or not, will cause a decline in the customer base, costly litigation or revenue reductions.

Risk (What could happen)	Impact	Scenario (How it could happen)	Likely	Control Measure	Status Who/When
Failure in some area of the Council’s activity – by act of negligence or omission – that generates negative publicity	H	Numerous scenarios which could include failure to dig a grave; double booking of a community building;	L	<ul style="list-style-type: none"> <li>• Competent staff</li> <li>• Good recruitment processes</li> <li>• Appraisal system</li> <li>• Induction &amp; training of staff</li> <li>• Good office systems and clarity about who is responsible for what</li> <li>• Effective press strategy</li> <li>• Disciplinary procedures</li> <li>• Good contract management</li> </ul>	Town Clerk & RFO – ongoing
Inaccurate information generates the perception that the Council has failed in circumstances that generates negative publicity	M	<p>Numerous scenarios which could include a failure by a third party eg Go Godalming or the Chamber of Commerce where public perception cannot distinguish between the third party &amp; the Town Council</p> <p>Particular risk associated with social media</p>	M	<ul style="list-style-type: none"> <li>• Clarify relationships &amp; partnership working</li> <li>• Good press strategy</li> <li>• Good working relationship with local journalists</li>   <li>• Monitoring of social media &amp; IT Code of Conduct</li> </ul>	<p>Live with some risk as part of the nature of our loose affiliations with partner organisations</p> <p>All staff &amp; Members to monitor social media. Staffing Committee to develop Social Media Policy (on Staffing 25 January 2018 agenda). Factual inaccuracies to be corrected as and when encountered.</p>

Risk (What could happen)	Impact	Scenario (How it could happen)	Likely	Control Measure	Status Who/When
An individual Councillor presumes to act or speak for the Council in contravention of Council policy, says something controversial or contravenes the law.	M	Numerous scenarios ranging from an unguarded remark by a Councillor to a malicious attempt to bring the Council into disrepute.	L	<ul style="list-style-type: none"> <li>• Clarity of Members understanding of respective roles and management processes</li> <li>• Induction &amp; training of Members</li> <li>• Effective press strategy</li> <li>• Code of Conduct</li> <li>• Monitoring Officer</li> <li>• 2015 Guidance on the role of the Council's representatives on external bodies</li> </ul>	<p>Town Clerk responsible for Members' training and induction</p> <p>Any individual can bring a matter of concern to the Monitoring Officer.</p>
A member of staff while acting or speaking for the Council does so in contravention of Council policy, says something controversial or contravenes the law.	M	Numerous scenarios ranging from an unguarded remark by a member of staff to a malicious attempt to bring the Council into disrepute. Use of social increases the risk	L	<ul style="list-style-type: none"> <li>• Competent staff</li> <li>• Good recruitment processes</li> <li>• Appraisal system</li> <li>• Induction &amp; training of staff</li> <li>• Good office systems and clarity about who is responsible for what</li> <li>• Effective press strategy</li> <li>• Disciplinary procedures</li> <li>• IT Code of Conduct</li> </ul>	Town Clerk responsible for staff training and induction.

13. FINANCIAL RISKS

The Council uses a system of risk assessments which helps reduce the likelihood of officers making errors and a claim being brought against Godalming Town Council.

There will always exist a risk of financial loss through fraud, theft or criminal activity, but this is mitigated through strict adherence to agreed processes with appropriate internal controls. These internal controls are regularly tested for compliance (as evidence by items on previous agendas and by work done by the Internal Auditor).

<b>Risk Description</b>	<b>Assessment</b>	<b>Comment</b>
Insufficient revenue is generated to fund operations	Low Risk	Majority of revenue is guaranteed through Precept and is not subject to fluctuation. However, this is a potential risk that increasing the Precept may be capped in future which needs to be born in mind (though the cap has been deferred for three years).
Long term concern over ability to repay debt	Low Risk	Repayments are fixed interest (not variable) and are built into base budget.
Insufficient current/liquid assets to cover current liabilities	Low Risk	Cash flow is not an issue as we receive the precept in two instalments in advance and hold healthy levels of cash reserves in the bank.
Inability to replace capital items when necessary	Low Risk	Annual transfers to reserves are made for precisely this purpose.
Unable to recover debtors' amount	Low Risk	Casual debtors are required to pay their account before we provide the service. Regular users are subject to our Credit Control procedures which have proved to be very effective. In 2016/17 we had no write offs. In 2017/18 we anticipate one minor write off (£16.80 in total).

14. BUSINESS CONTINUITY PLAN

**1. Plan for the Loss of Godalming TC offices**

In the first instance this plan assumes a relatively localised emergency that renders the GTC offices unusable and requires GTC to resume its normal activities from another site. In the event of a widespread emergency it is assumed that GTC will suspend normal activities for some time – with the important exception that the Godalming Joint Burial Committee must maintain a service at all times. This plan assumes that one or more GTC staff is available to execute the plan – it does not cover what would happen if both the offices and all staff were lost.

**Alternative Premises**

GTC has control of a number of premises within Godalming that would provide suitable temporary accommodation for Town Council staff. These premises are, the Old Town Hall (Pepperpot), the Wilfrid Noyce Centre and Broadwater Park Community Centre. In normal circumstances all these locations have a power supply, telephone line, Internet access, lavatories and kitchen facilities. The Broadwater Park Community Centre is also equipped with a fax/printer and basic supplies of stationery.

Sets of keys to all three premises are kept away from the main offices – the Centre Manager has keys to Broadwater Park Community Centre and the Town Clerk carries a master key to The Pepperpot and the Wilfrid Noyce Centre. (Note that it would be appropriate if necessary to employ a locksmith to affect access to any of the three premises though the two community centres are equipped with burglar alarms and this course of action would be inadvisable without the codes to disable the alarm(s).)

Should access to the GTC offices be unavailable the Town Clerk (or in his absence the Responsible Finance Officer) will nominate which premises will be used and inform all staff. Note that if the loss of access to the Town Council offices is short-term then the Town Clerk may propose that staff work from home for a day or two.

In the event of the long-term unavailability of the Council Chamber the Town Clerk will also identify alternative premises for Council and Committee meetings and let Councillors know as appropriate.

**Computers & Other Equipment**

GTC is heavily dependent upon information technology, however, all software and data is held off-site. In the event of the loss of the GTC offices or prolonged unavailability of the office computers, new computers and other equipment would need to be purchased. GTC owns four laptop computers, two of which are linked to the remote server. It is assumed that these would be available for use in an emergency. The Council's IT support contractor securely retains all necessary passwords and is contracted (with an 8 hour response time) to respond to a request for assistance and will source and support new computers. The contractor will also facilitate access to the remote server from officers' own devices if, in the short-term, that is expedient.

Details of the GTC's normal suppliers are to be found on the Outlook contacts list, along with diaries and emails, (Outlook uses a remote server and is accessible to any GTC employee at any location or computer using the internet and with the correct login details). Financial regulations should be followed as far as possible – though, in an emergency, speed of delivery may be allowed to outweigh lowest cost. Official order pads are only kept at the office and in an emergency orders would need to be placed without official

orders; the Town Clerk holds a £500 imprest to enable the purchase of items from suppliers who will not agree to invoice the Town Council.

## **Information**

It is assumed that in the event of a loss of Godalming Town Council offices all paper records would be lost too. Correspondence, reports, agendas and minutes generated by the office in the last 18 years are saved electronically. Most older statutory and otherwise historically significant records have been relocated at the Surrey History Centre. However, some significant and irreplaceable records are kept at the office being most of the Joint Burial Committee records; the Godalming Town Council minute books from 1974 and many deeds and leases and current arrangements in respect of preserving these records remain inadequate.

The Town Council's website is also hosted remotely and it is assumed that the website service would be maintained if the offices were lost.

Currently most electronic data and documents held by the Town Council are held on the remote server. (Staff should not save documents etc. to individual computers.) The server is backed up every day by the server's host and is retained there.

If financial vouchers etc. were lost, financial transactions would be reconstructed by reference to the electronic record, bank accounts and other records stored electronically by the Responsible Finance Officer. The absence of the vouchers would make audits and VAT inspections a challenge but this difficulty does not warrant making and keeping copies of such vouchers.

## **2. Loss of a GTC Building not the Town Council**

It is assumed that in the event of a loss of one of the Council's community buildings all services from that building will be ended and that planning for the replacement of the building will take place at that time. It is not planned for here.

## **3. Failure of Information Technology**

In normal operation GTC is dependent upon the use of Information Technology and experience demonstrates that there are multiple opportunities for failure. This plan weighs the relatively high risk of short-term (up to eight hours) loss of IT against the costs of trying to put systems in place to mitigate it.

Failure of hardware and or software is covered by an IT support contract with an eight hour response time (in practice response times are usually significantly faster than that). It is possible to contract for a two hour response time but it is felt that the risks do not justify the additional cost. The only significant adverse consequence of an eight hour IT failure would be (if it occurred on a Friday) the failure to despatch an agenda within the statutory timescale.

Power failure at GTC offices is low risk because (sharing the building with Waverley Borough Council) the council has the benefit of a generator. Loss of broadband locally is higher risk and at this time outside officers' control – and without broadband there are no telephones. It is assumed that loss of broadband will be temporary and officers with laptops have the choice of relocating to somewhere where there is broadband access and continuing to work on the remote server from that alternative location. Experience demonstrates that housekeeping of paper files etc is appropriate use of officers' time when an IT failure is short term.

A more problematic failure is failure of internet access local to the remote server because all officers at any location would lose access to all work. The host of the remote server co-located its servers in East London to improve their resilience.

Experience shows that hosting of the GTC website is an area of vulnerability. The website is backed up weekly to a storage device in the hosting centre and every three months the storage device is backed up to an off-site data centre all in the UK.



## GODALMING TOWN COUNCIL

Disclosure by a Member<sup>1</sup> 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]<sup>2</sup> [a non-pecuniary interest]<sup>3</sup> 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** \_\_\_\_\_

<sup>1</sup> "Member" includes co-opted member, member of a committee, joint committee or sub-committee

<sup>2</sup> 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

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