

DISCIPLINARY POLICY & PROCEDURES

INTRODUCTION

This policy is based on and complies with the 2015 ACAS Code of practice:
<http://www.acas.org.uk/CHttpHandler.ashx?id=1047&p=0>

It also takes account of the ACAS guide on discipline and grievances at work:
<http://www.acas.org.uk/media/pdf/b//Discipline-and-grievances-Acas-guide.pdf>

The policy and procedures will be applied fairly, consistently and in accordance with the Equality Act 2010.

Inevitably, because the Town Council is a small organisation, Members may be involved in initiating, investigating or hearing disciplinary action. Members must always follow this procedure and should always seek external support and advice when taking disciplinary action. Suitable sources of advice include the Surrey Association of Local Councils (SALC) or the Town Council's external HR provider, the Chairman of the Staffing Committee is authorised to seek advice and engage the services of the HR provider for disciplinary issues.

PURPOSE AND SCOPE

This procedure is designed to help and encourage all employees to achieve and maintain standards of conduct, satisfactory work performance and attendance which are acceptable at all times, including the need to: -

- Fulfil the duties specified in their contract of employment,
- Be honest and act beyond suspicion of dishonesty, and,
- Maintain high standards of integrity and conduct to protect the Council's reputation with the public.

The aim is to ensure consistent and fair treatment for all staff. It does not apply to employees in their probationary period.

PRINCIPLES WHICH UNDERPIN THE DISCIPLINARY PROCEDURE

This policy confirms:

- No formal disciplinary action will be taken (i.e. a formal warning) until the necessary investigations have been completed.
- The procedure may be implemented at any stage if the employee's alleged misconduct warrants this.
- The Council recognises that misconduct and unsatisfactory work performance are different issues. The disciplinary policy also applies to work performance issues to ensure that alleged instances of employees' underperformance are dealt with fairly and in a way that is consistent with required standards. However, the disciplinary policy will only be used when performance

management proves ineffective. For more information see the ACAS publication “How to manage performance” at <http://www.acas.org.uk/media/pdf/m/0/How-to-manage-performance-advisory-booklet.pdf>

- Employees will be informed in writing about the nature of the complaint against them and given the opportunity to state their case.
- Employees may be accompanied by a fellow worker, a trade union representative (certified by their union as being competent to accompany a worker) or a trade union official at any disciplinary, or appeal meeting which could result in a formal warning or other disciplinary action being taken. The companion is permitted to address such meetings, to put the employee’s case and confer with the employee. The companion cannot answer questions put to the employee, address the meeting against the employee’s wishes or prevent the employee from explaining his/her case.
- The Council will give employees reasonable notice of any meetings in this procedure. Employees must make all reasonable efforts to attend. Failure to attend any meeting may result in it going ahead and a decision being taken. An employee who does not attend a meeting will be given the opportunity to be represented and to make written submission.
- If the employee’s companion is not available for the proposed date of the meeting, the employee can request a postponement and can propose an alternative date that is within five working days of the original meeting date.
- Recordings of the proceedings at any stage of the disciplinary procedure are prohibited, unless agreed as a reasonable adjustment that takes account of an employee’s medical condition.
- Employees have the right to appeal against any disciplinary action. The appeal decision is final
- Except for gross misconduct when an employee may be dismissed without notice, the Council will not dismiss an employee on the first occasion that it decides there has been misconduct.
- If an employee is suspended following allegations of misconduct, it will be on full pay and only for such time as is necessary. Suspension is not a disciplinary sanction. The Council will write to the employee to confirm any period of suspension and the reasons for it.

EXAMPLES OF MISCONDUCT

Misconduct is employee behaviour that can lead to the employer taking disciplinary action. The following list contains some examples of misconduct. This list is not to be regarded as exclusive or exhaustive:

- unauthorised absence;
- poor timekeeping;
- unsatisfactory work performance (either repeated instances of poor work or one piece of very poor work);
- not working co-operatively and positively as a member of a team;
- failure to preserve the dignity, respect and privacy of others or behaviour that would breach the harmony in the workplace;
- breach of confidentiality – to an extent short of that specified under the relevant example given for Gross Misconduct;
- misuse of the Council’s resources and facilities including telephone, email and internet;
- inappropriate behaviour;
- failure to follow reasonable instructions;
- breach of health and safety rules;
- impropriety or disorderly conduct whether within or outside working hours which the Council reasonably considers to be detrimental to the Council;
- failure to disclose a personal interest;
- unsatisfactory manner or/and appearance;
- any act or omission which, after investigation and due consideration to the individual circumstances is believed to amount to misconduct.

EXAMPLES OF GROSS MISCONDUCT

Gross misconduct is misconduct that is so serious that it is likely to lead to dismissal without notice. The following list contains some examples of gross misconduct. This list is not to be regarded as exclusive or exhaustive.

- intentionally making false statements when incidents or accidents are being investigated, or when applying for employment or in connection with medical examination;
- bullying, discrimination and/or harassment;
- incapacity at work because of alcohol or drugs;
- violent behaviour;
- fraud or theft;
- gross negligence;
- gross insubordination;
- serious breaches of health and safety rules;
- serious and deliberate damage to property;
- use of the internet or email to access pornographic, obscene or offensive material;
- disclosure of confidential information;
- impropriety or disorderly conduct whether within or outside working hours which the Council reasonably considers to bring or potentially bring the Council into disrepute;
- failure to disclose a personal interest;
- unsatisfactory manner or/and appearance;
- any act or omission which, after investigation and due consideration to the individual circumstances is believed to amount to gross misconduct.

EXAMPLES OF UNSATISFACTORY WORK PERFORMANCE

The following list contains some examples of unsatisfactory work performance:

- inadequate application of office procedures;
- inadequate IT skills;
- unsatisfactory management of staff;
- unsatisfactory communication skills.

DISCIPLINARY INVESTIGATION

Necessary investigations of potential disciplinary matters will be carried out without unreasonable delays. The nature and extent of the investigations will depend upon the seriousness of the matter and the more serious it is then the more thorough the investigation will be.

It will not always be necessary to hold an investigatory meeting. If a meeting is held, the employee will be given advance warning and time to prepare.

Investigations are intended to establish the facts.

Where practicable, different people should carry out the investigations and the disciplinary hearing.

Where investigations are carried out against the Town Clerk, the Chairman of the Staffing Committee will appoint an investigator who will be responsible for undertaking the investigation – a fact-finding exercise to collect all relevant information. The investigator will be independent and will normally be a councillor. If the Chairman of the Staffing Committee considers that there are no councillors who are independent (for example, because they all have direct involvement in the allegations about the employee), it will appoint someone from outside the Council. The investigator will be appointed as soon as possible after the allegations have been made. The Chairman of the Staffing Committee will inform the investigator of the terms of reference of the investigation. The terms of reference should deal with the following:

- what the investigation is required to examine;
- whether a recommendation is required;
- how the findings should be presented, for example, an investigator will often be required to present the findings in the form of a report;
- who the findings should be reported to (normally the Chairman of the Staffing Committee) and who to contact for further direction if unexpected issues arise or advice is needed.

The investigator's report will contain his/her recommendations and the findings on which they were based. He/she will recommend either:

- the employee has no case to answer and there should be no further action under the Council's disciplinary procedure;
- the matter is not serious enough to justify further use of the disciplinary procedure and can be dealt with informally or;
- the employee has a case to answer and the matter should proceed to the Council's disciplinary procedure.

The investigator will submit the report to the Chairman of the Staffing Committee, who will present the report to the Staffing Committee without delay. The Staffing Committee will decide whether further action is to be taken.

Where investigation of potential disciplinary matters are carried out against other staff members, The Town Clerk will request that the Chairman of the Staffing Committee appoints an independent person to conduct an investigation, informing the investigator of the terms of reference of the investigation. The terms of reference are to follow the guidelines set out above. The investigator is to report his/her recommendations and findings to the Town Clerk. The investigator's report is to contain his/her recommendations as set out above.

THE DISCIPLINARY HEARING

Disciplinary hearings will consider the outcome of the investigation, together with the employee's representations and any other matters or further investigations it wishes to conduct before deciding whether to issue a warning or dismissal.

The Town Clerk will usually conduct disciplinary hearings with staff members. However he/she will usually seek advice from the Council's HR advisers first, and discuss the matter with the Chairman of the Staffing Committee.

In the case of the Town Clerk, if the Staffing Committee decides that, following an investigation, there is a case to answer, it will appoint a Staffing Sub-Committee of three councillors (the Staffing Sub-Committee members could, if appropriate be Councillors who are not members of the Staffing Committee). The Staffing Sub-Committee members will appoint a Chairman from one of its members. The original investigator shall not sit on the panel. No councillor with direct involvement in the matter shall be appointed to the Staffing Sub-Committee. The employee will be invited, in writing, to attend a disciplinary hearing. The Staffing Sub-Committee letter will confirm the following:

- the names of its Chairman and the other two members;
- details of the alleged misconduct, its possible consequences and the employee's statutory right to be accompanied at the hearing;
- a copy of the investigation report and all the supporting evidence;
- the time and place for the hearing; the employee will be given reasonable notice of the hearing so that he/she has sufficient time to prepare for it.

DISCIPLINARY ACTION

If the Staffing Sub-Committee decides that there should be disciplinary action, it may be any of the following:

First written warning

A first warning is issued for most first instances of misconduct. The Council will notify the employee:

- of the reason for the warning, the improvement required (if appropriate) and the time period for improvement;
- that further misconduct/failure to improve will result in more serious disciplinary action;
- the employee's right to appeal;
- that a note confirming the oral warning will be placed on the employee's personnel file, that a copy will be provided to the employee and that the warning will remain in force a period of time, usually for six months.

Final written warning

If there is further misconduct during the period of a written warning or if the misconduct is sufficiently serious, the employee will be given a final written warning. A final written warning will set out:

- the reason for the final written warning, the improvement required (if appropriate) and the time period for improvement;
- that further misconduct/failure to improve will result in more serious disciplinary action up to and including dismissal;
- the employee's right of appeal;
- that the letter confirming the final written warning will be placed on the employee's personnel file, and that the warning will remain in force for 18 months.

Dismissal

The Council may dismiss:

- for gross misconduct;
- if there is no improvement within the specified time period in the conduct which has been the subject of a final written warning;
- if another instance of misconduct has occurred and a final written warning has already been issued and remains in force.

The Council will consider very carefully a decision to dismiss. If an employee is dismissed, he/she will receive a written statement of the reasons for his/her dismissal, the date on which the employment will end and details of his/her right of appeal.

If the Council decides to take no disciplinary action, no record of the matter will be retained on the employee's personnel file. Action imposed as a result of the disciplinary meeting will remain in force unless and until it is modified as a result of an appeal.

THE APPEAL

An employee who is the subject of disciplinary action will be notified of the right of appeal. His/her written notice of appeal must be received by the Council within five working days of the employee receiving written notice of the disciplinary action and must specify the grounds for appeal.

The appeal will be heard by a panel of three members of the Staffing Committee who have not previously been involved in the case, this includes the investigator. There may be insufficient members of the Staffing Committee who have not previously been involved. If so, the appeal panel will be a committee of three members of the Council who may include members of the Staffing Committee. The appeal panel will appoint a Chairman from one of its members.

Where the Town Clerk has received a warning or been dismissed, the appeal will be heard by a panel of three members of the Council not previously involved in the case. Where three members of the Council are not available, the Staffing Committee can appoint others to make up a panel. This might be councillors from other councils or other appropriate people.

The employee will be notified, in writing, usually within 10 working days of receipt of the notice of appeal of the date, time and place of the appeal meeting. The employee will be advised that he/she may be accompanied by a companion - a workplace colleague, a trade union representative or a trade union official.

The appeal panel may decide to uphold the decision of the Staffing Committee, substitute a less serious sanction or decide that no disciplinary action is necessary. If it decides to take no disciplinary action, no record of the matter will be retained on the employee's personnel file.

If an appeal against dismissal is upheld, the employee will be paid in full for the period from the date of dismissal and continuity of service will be preserved.

The appeal panel's decision is final.

DATA PROTECTION

The Council processes personal data collected during the investigation stage and any subsequent stages of disciplinary action in accordance with its Data Protection Policy. In particular, data collected as part of the investigation stage and any subsequent stages of disciplinary action is held securely and accessed by, and disclosed to, individuals only for the purposes of completing the disciplinary procedure. Inappropriate access or disclosure of employee data constitutes a data breach and should be reported in accordance with the Council's data protection policy immediately. It may also constitute a disciplinary offence, which will be dealt with under this disciplinary procedure.

GRIEVANCE POLICY & PROCEDURES

INTRODUCTION

Grievances are concerns, problems or complaints that employees raise with their employers. This document sets out the procedures that Godalming Town Council will use to deal with their employees' grievances.

This policy is based on and complies with the 2015 ACAS Code of Practice (<http://www.acas.org.uk/CHttpHandler.ashx?id=1047&p=0>). It also takes account of the ACAS guide on discipline and grievances at work. (<http://www.acas.org.uk/media/pdf/b/l/Discipline-and-grievances-Acas-guide.pdf>). It aims to encourage and maintain good relationships between the Council and its employees by treating grievances seriously and resolving them as quickly as possible. It sets out the arrangements for employees to raise their concerns, problems or complaints about their employment with the Council. The policy will be applied fairly, consistently and in accordance with the Equality Act 2010.

In most cases of grievance an informal approach between employee and line manager is the best way to proceed. This procedure is for use when an informal approach has not resolved matters to the satisfaction of an employee or when the informal approach seems inappropriate.

Inevitably, because the Town Council is a small organisation, Members will be required to hear either a grievance or an appeal. Members must always follow this procedure and should always seek external support and advice when dealing with a grievance raised by an employee (particularly when the grievance is raised by, or is about, the Town Clerk). Suitable sources of advice include the Surrey Association Local Councils (SALC) or the Town Council's external HR provider, the Chairman of the Staffing Committee is authorised to seek advice and engage the services of the HR provider for HR advice.

This policy confirms:

- Employees have the right to be accompanied at a grievance meeting or appeal by a workplace colleague, a trade union representative (certified by their union as being competent to accompany a worker) or a trade union official. The companion will be permitted to address the grievance/appeal meetings, to present the employee's case for his/her grievance/appeal and to confer with the employee. The companion cannot answer questions put to the employee, address the meeting against the employee's wishes or prevent the employee from explaining his/her case.
- The Council will give employees reasonable notice of the date of the grievance/appeal meetings. Employees and their companions must make all reasonable efforts to attend. If the employee's companion is not available for the proposed date of the meeting, the employee can request a postponement and can propose an alternative date that is within five working days of the original meeting date.
- An employee has the right to appeal against the decision about his/her grievance. The appeal decision is final.

- Recordings of the proceedings at any stage of the grievance procedure are prohibited, unless agreed as a reasonable adjustment that takes account of an employee's medical condition.
- If an employee who is already subject to a disciplinary process raises a grievance, the grievance will normally be heard after completion of the disciplinary procedure.
- If a grievance is not upheld, no disciplinary action will be taken against an employee if he/she raised the grievance in good faith.
- The Council may consider mediation at any stage of the grievance procedure where appropriate, (for example where there have been communication breakdowns or allegations of bullying or harassment). Mediation is a dispute resolution process which requires the Council's and the employee's consent.

INFORMAL GRIEVANCE PROCEDURE

The Council and its employees benefit if grievances are resolved informally and as quickly as possible. As soon as a problem arises, the employee should raise it with his/her manager to see if an informal solution is possible. Both should try to resolve the matter at this stage.

FORMAL GRIEVANCE PROCEDURE

If it is not possible to resolve the grievance informally, the employee may submit a formal grievance. It should be submitted in writing to the employee's manager or, if it is about the employee's manager, to their manager. If the Grievance is about the Town Clerk it should be raised with the Chairman of the Staffing Committee.

The Manager receiving the grievance will arrange a meeting to discuss the grievance. Depending upon the complexity of the matter(s) raised the Manager will either look into the matter themselves or appoint someone to investigate.

If the grievance is against the Town Clerk, the Chairman of the Staffing Committee will appoint a sub-committee of three members to hear the grievance. Depending on the complexity of the matter they will either look into the matter themselves or appoint someone to investigate.

NOTIFICATION

The employee will be asked, in writing, to attend a grievance meeting. The letter will include the following:

- the names of the person or people hearing the grievance;
- a summary of the employee's grievance based on his/her written submission;
- the date, time and place for the meeting; the employee will be given reasonable notice of the meeting;
- the employee's right to be accompanied by a workplace colleague, a trade union representative or a trade union official;
- a copy of the Council's grievance policy;
- confirmation that, if necessary, witnesses may attend on the employee's behalf and that the employee should provide the names of his/her witnesses at least five working days before the meeting;
- confirmation that the employee will provide the Council with any supporting evidence at least five working days before the meeting.

THE APPEAL

If an employee decides that his/her grievance has not been satisfactorily resolved he/she may submit a written appeal to the Chairman of the Staffing Committee. An appeal must be received by the Council within five working days of the employee receiving the decision and must specify the grounds of appeal.

The appeal will be heard by a panel of three Members of the Staffing Committee, appointed by the Chairman of the Staffing Committee, who have not previously been involved in the case. There may be insufficient members of the Staffing Committee who have not previously been involved. If so, the appeal panel will be a committee of three Council Members who may include Members of the Staffing Committee. The appeal panel will appoint a Chairman from one of its members.

The employee will be notified, in writing, of the time, date and place of the appeal meeting. The employee will be advised that he/she may be accompanied by a workplace colleague, a trade union representative or a trade union official.

The decision of the appeal panel is final.

GRIEVANCES AGAINST COUNCILLORS

Where a grievance against a Councillor concerns alleged behaviour falling within the scope of the Council Code of Conduct, the Council can decide whether to undertake a pre-investigation of the allegation before considering whether to pursue code of conduct proceedings by referring the matter to the Principal Authority.

DATA PROTECTION

The Council processes personal data collected during the Grievance Procedure in accordance with its data protection policy. In particular, data collected as part of the investigation stage and any subsequent stages of the Grievance Procedure is held securely and accessed by, and disclosed to, individuals only for the purposes of completing the Grievance Procedure. Inappropriate access or disclosure of employee data constitutes a data breach and should be reported in accordance with the Council's data protection policy immediately. It may also constitute a disciplinary offence, which will be dealt with under the disciplinary procedure.

8. REVIEW OF THE EFFECTIVENESS OF INTERNAL CONTROL FOR GODALMING TOWN COUNCIL AND GODALMING JOINT BURIAL COMMITTEE

Background

1. Paragraph 4 of the Accounts and Audit (England) Regulations 2011 says the following:

4. (1) The relevant body is responsible for ensuring that the financial management of the body is adequate and effective and that the body has a sound system of internal control which facilitates the effective exercise of that body's functions and which includes arrangements for the management of risk.

(2) The relevant body must conduct a review at least once in a year of the effectiveness of its system of internal control.

(3) The findings of the review referred to in paragraph (2) must be considered—

(a) in the case of a larger relevant body, by the members of the body meeting as a whole or by a committee, and

(b) in the case of a smaller relevant body, by the members of the body meeting as a whole, and

following the review, the body or committee must approve an annual governance statement, prepared in accordance with proper practices in relation to internal control.

(4) The relevant body must ensure that the statement referred to in paragraph (3) accompanies—

(a) any statement of accounts it is obliged to prepare in accordance with regulation 7, or

(b) any accounting statement it is obliged to prepare in accordance with regulation 12.

(Members to note that for the purposes of the Accounts and Audit Regulations Godalming Town Council and the Godalming Joint Burial Committee are both smaller relevant bodies.)

2. It is part of the role of this Committee to undertake a rolling programme of work that goes to inform the Council's review of the effectiveness of its system of internal control and the work programme forms part of the Council's evidence base. This Committee also undertakes that work on behalf of the Godalming Joint Burial Committee, although as previously discussed in that case the relationship is different – this Committee is not a committee of the Joint Burial Committee but Councillor Noyce does represent the JBC on this Committee.

3. It is the practice of Godalming Town Council and of the Godalming Joint Burial Committee to undertake reviews of the effectiveness of internal control by 31 March each year. In addition to its ongoing reviews this Committee will undertake two formal reviews, which together make up the "review of the effectiveness of systems of internal control". The first of these is this report and will inform the reviews to be undertaken by Full Council on 26 April 2018 and the Godalming Joint Burial Committee on 21 June

2018. The second is on this agenda when this Committee reviews the annual governance statement alongside the statement of accounts.

Effectiveness of systems of internal control

4. Members are asked to consider whether this Committee's work programme deals adequately with the internal systems of control?
5. Members are further asked to address specifically the question of the effectiveness of audit and to do that by considering the questions and suggested responses shown below:

- **Scope of Audit**

Has the scope of the internal audit been discussed with the Internal Auditor to ensure that all the relevant risks are covered?

- The scope of the internal audit had been discussed with the Internal Auditor in order to ensure that all the relevant risks were covered. The scope of Audit has not changed since Mulberry & Co were first appointed although additional reviews have been performed as and when considered necessary.

- **Independence**

Is the Internal Auditor sufficiently independent, objective and unbiased?

- The Internal Auditor is sufficiently independent, objective and unbiased evidenced by the fact that Mulberry & Co is an external accountancy firm trading independently. Mulberry & Co had a particular specialism in Town and Parish Councils. Members to note that it is good practice to change the Internal Auditor and Godalming Town Council performed a market test in the 2017/18 financial year which resulted in Mulberry & Co being reappointed. However, in order to ensure familiarity does not become an issue, the person performing the audit has changed since the 2016/17 financial year;

- **Competence**

Does the Internal Auditor have sufficient knowledge to be able to carry out the audit?

- The Internal Auditor has sufficient knowledge to be able to carry out the audit as demonstrated by the fact that Mark Mulberry (the Internal Auditor) is a Chartered Certified Accountant and Registered Auditor and his colleague Mike Platten is similarly qualified;

- **Relationships**

Are the relevant responsibilities of Members, Clerk and RFO clearly defined?

- The relevant responsibilities of Members, Clerk, RFO are clearly defined in the job description for the Clerk and RFO and the terms of reference of the Audit Committee. There are also clear definitions of responsibility in Financial Regulations which are reviewed at least annually.

- **Audit Planning & Reporting**

Is the body aware of a timetable of when the internal and external audits will take place and when the reports from these will be expected?

- The Committee is made aware of the timetable of when the internal and external audits will take place and when the reports from these would be expected. The last internal audit was conducted 21 November 2017 and reported at the Audit Committee meeting on 21 January 2018. The Committee's observations then accompanied the Internal Audit Report to the Full Council on 22 March 2018. At its meeting on 26 April 2018 Full Council should formally agree the annual return including the statement of accounts and the annual governance statement. The annual return is to be sent to the External Auditor thereafter and the expectation is that it should be received back by 30 September 2018. The annual return will be considered at the next scheduled meeting following its receipt from the External Auditor.

Internal Audit Process

6. The Committee is further asked to consider the following questions and suggested responses with regard to internal audit arrangements.

Is the work of the Internal Audit reviewed regularly?

- The work of the Internal Auditor is reviewed regularly; initially by officers, then in detail by the Audit Committee. Findings and recommendations of the Audit Committee are reported to Full Council;

Are the reports on the work of the Internal Auditor presented to the Committee?

- The reports on the work of the Internal Auditor are presented to the Audit Committee; the most recent included on Audit Committee meeting dated 21 January 2018;

Are the reviews and risk assessments undertaken from the Work Programme by the Audit Committee on behalf of the Joint Burial Committee reported to the Committee?

- The Godalming Joint Burial Committee performed its own risk assessments at its meeting on 22 March 2018.

Does the Audit Committee provide regular reports relating to its recommendations and the agreed Work Programme to the Full Council?

- The Audit Committee reported to Full Council on 16 November 2017 (Minute No. 307-17 refers) and 22 March 2018 (Minute No. 477 -17 refers).

Are the annual reports from the Internal Auditor presented to the Committee?

- The Annual Reports from the Internal Auditor are usually presented to the Audit Committee and then received by Full Council (see above for dates).

External Audit Process

7. The Committee is further asked to consider the following questions and suggested responses with regard to external audit arrangements.

Are the annual reports from the External Auditor presented to the committee?

- The Annual Reports from the External Auditor relating to Godalming Town Council are presented to the Audit Committee, the most recent being brought to Full Council on 16 November 2017.

Does the Committee ensure that recommendations from the External Auditor are implemented?

- If there are recommendations from the External Auditor then Members ensure that they are implemented. There were no recommendations for the 2016-17 financial year.

During the 2017-18 financial year, the Council went out to market to appoint their Internal Audit function for the 2018-19 financial year onwards. As a result of this exercise, Mulberry & Co was reappointed.

PK Littlejohn LLP will be the External Auditor for Godalming Town Council for the 2017-18 financial year and BDO will be the External Auditor for the Godalming Joint Burial Committee.

Characteristics of the Review

8. Finally the Committee is asked to consider the following questions and suggested responses about the overall characteristics of this review.

Can it be seen as a Catalyst for Change?

- Yes, the evidence being the Work Programme and the reviews undertaken to assess risk and the areas that are developed from these reviews

Does it Add Value?

- Yes, value is provided by the follow-up actions that are taken from the work programme to make improvements to enhance our services and reduce risk.

Is it Forward Looking?

- Yes, the review identifies risks and incorporates them into the Audit Committee's Work Programme, which is reviewed and updated at each meeting of the Committee to ensure it is forward looking and meeting events.

Is it Challenging?

- Yes, the Audit Committee has created its own Work Programme identifying areas and risks over and above the norm that are considered and are reviewed on a regular basis to ensure compliance and to allow Members to take ownership of the risks and how they are managed to meet best practice.

Are the right resources available for the Internal Auditor to complete its work?

- Sufficient budget exists to meet internal audit fees (and addition professional fees budget and/or reserves should unexpected circumstances demand more internal audit input). Good communication lines exist between the Internal Auditor and the council's officers and contracted staff.

BUDGET GODALMING CHRISTMAS FESTIVAL 2018

ITEM	INCOME	EXPENDITURE
High Street Stall / Crown Court Income = 41 x £110 (3m x 3m)	£4,510	
High Street Food Concessions 5 x 130	£650.00	
Church Street Stall Income 15 x 55 (3m x 3m)	£825.00	
Upper High Street Income 5 x 55	£275.00	
Fence Hire (barriers) for Lights Switch on & ponies		£300.00
Blue Dot (banners)		£100.00
Sponsorship Christmas Programme Charterhouse	2000	
Programme for the day		£585.00
Marshals Godalming Xmas - coffee voucher reimbursement		£50.00
Marshals Godalming Xmas - food voucher reimbursement		£45.00
DAVE - Darren Jones PA Systems		£500.00
Wilfrid Noyce moving hirer to Borough Hall (Chamber to pay)		£150.00
Vantage Point programme		£550.00
Eagle Radio Advertisement		£1,400.00
Waste disposal		£254.00
Celebrity		£1,295.00
Ponies		£550.00
First Aid		£100.00
Staff Team		£330.00
Van Hire		£250.00
Crown Court Licence WBC		£110.00
Entertainment		£500.00
School Book Bag distribution		£15.00
PRS Licence (1/3)		£200.00
Totals:	£8,260.00	£7,284.00
Income/Expenditure:	£976.00	

NEIGHBOURHOOD PLAN – ACTIONS REQUIRED FOLLOWING REGULATION 14 CONSULTATION

12. The document, '*Neighbourhood Plan version 3.3 – Regulation 14 Consultation Representations, Response and Suggested Actions*' (attached for the information of Members) sets out the representations received during the Regulation 14 consultation period along with the detailed analysis of those representations and the suggested resultant actions for amendments to the Godalming and Farncombe Neighbourhood Plan.

In order to provide Members with a contextual appreciation of how individual responses affect the Neighbourhood Plan, Officers have provided a draft version of the Neighbourhood Plan (version 3.3.3– attached for the information for Members) with the suggested resultant actions highlighted within the document.

If Members resolve to approve the suggested amendments to Version 3.3 of the Neighbourhood Plan as detailed in draft 3.3.3, the Neighbourhood Plan would then be prepared for submission to Waverley Borough Council for Regulation 15 Consultation.

Regulation 15 of the Neighbourhood Planning (General) Regulations 2012 states:

(1) Where a qualifying body submits a plan proposal to the local planning authority, it must include—

- (a) a map or statement which identifies the area to which the proposed neighbourhood development plan relates;
- (b) a consultation statement;
- (c) the proposed neighbourhood development plan; and
- (d) a statement explaining how the proposed neighbourhood development plan meets the requirements of paragraph 8 of Schedule 4B to the 1990 Act.

2) In this regulation “consultation statement” means a document which—

- (a) contains details of the persons and bodies who were consulted about the proposed neighbourhood development plan;
- (b) explains how they were consulted;
- (c) summarises the main issues and concerns raised by the persons consulted; and
- (d) describes how these issues and concerns have been considered and, where relevant, addressed in the proposed neighbourhood development plan.

If Members approve the suggested actions resulting from the Regulation 14 Consultation, these will be incorporated into the draft plan so as to produce the Godalming and Francombe Neighbourhood Plan version 4, which will be the plan submitted as required by 15(1)(c).

The statement explaining how the Godalming and Farncombe Neighbourhood Plan meets the requirements of paragraph 8 of Schedule 4b to the 1990 Act (Town and Country Planning Act) as required by 15(1)(d) above will be prepared by the Town Clerk, supported by the Council's appointed neighbourhood planning consultants and brought to the council for approval in September, this is known as the basic conditions statement.

The item currently being considered by the Members forms part of the requirements for the production of the Consultation Statement as required by 15(1)(b) and detailed at 15(2). The attached document '*GoFarNP version 3.3 – Regulation 14 Consultation Representations, Response and Suggested Actions*' summarises the main issues and concerns raised by the persons consulted as required by 15(2)(c) and, depending on the

decisions of this Council as the 'Qualifying Body' also partially meet the criteria of 15(2)(d) in describing how the issues and concerns raised have been considered and, where relevant, addressed in the proposed neighbourhood development plan.

As Members are aware, this council agreed to act as the qualifying body for the Godalming and Farncombe Neighbourhood Plan in October 2013 with an expectation that it would be ready for referendum in May 2016. Unfortunately for various reasons the process has been delayed, however it is believed that it is possible to complete the Neighbourhood Plan and have it referendum ready for May 2019.

In order to achieve this, the Neighbourhood Plan should be submitted to Waverley Borough Council for consideration under Regulation 15 of the act as soon as possible. As part of the submission the Consultation Statement will have to be produced, this is a document that will set out the full consultation processes undertaken as part of the Neighbourhood Planning process so as to provide assurance that the Neighbourhood Plan is a community plan. An example of a consultation document will be tabled for the Information of Members, Members are requested to consider the administrative tasks involved in producing the Consultation Statement and how this can be best achieved within the overall provision of the council's services, current commitments and duties.