NEWARK TOWN COUNCIL

Town Hall, Market Place, Newark, Nottinghamshire, NG24 1DU
Tel: 01636 680 333 ~ Fax: 01636 680 350
Email: post@newark.gov.uk ~ Website: www.newark.gov.uk

FINANCE & GENERAL PURPOSES COMMITTEE

WEDNESDAY 16TH MARCH 2022

Wednesday 9th March 2022

Dear Councillor

You are summonsed to attend a meeting of the Finance & General Purposes Committee at 7.30pm on Wednesday 16th March 2022. This meeting will be held in the Council Chamber at the Town Hall.

Yours sincerely

Alan Mellor
Town Clerk

FINANCE & GENERAL PURPOSES COMMITTEE

A G E N D A

1	**Apologies for Absence**		
2	**Minutes of the Finance & General Purposes Committee held on Wednesday 16th February 2022**	**Minutes Attached**	**Page 5**
3	**Matters Arising**	**Verbal**	
4	**Declarations of Interest from Members**	**Verbal**	
5	**Payment Schedules**	**Report Attached**	**Page 9**
6	**Voluntary Body/Community Events Grant Applications**	**Report Attached**	**Page 17**
7	**Risk Register**	**Report Attached**	**Page 35**
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10	**Newark in Bloom – Hanging Baskets**	**Report Attached**	**Page 95**
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14	**Exempt Resolution**	**Report Attached**	**Page 105**
15	**Sale of Land**	**Report Attached**	**Page 107**

Committee Membership

Cllr J Henderson (Chairman)
Cllr J Baggaley
Cllr Mrs I Brown (Vice-Chairman)
Cllr M Cope
Cllr E Cropper
Cllr Mrs R Crowe
Cllr R A Crowe
Cllr Mrs G Dawn
Cllr L Geary
Cllr L Goff
Cllr D Ledger
Cllr J Lee
Cllr D Lloyd
Cllr T Mathias
Cllr Ms J Oliver
Cllr J Olson
Cllr M Skinner
Cllr S Vickers

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Agenda Item No: 2 **Committee Date: Wednesday 16th March 2022**

FINANCE & GENERAL PURPOSES COMMITTEE MINUTES

Minutes of the Meeting of the Finance & General Purposes Committee held on Wednesday 16th February 2022 in the Town Hall.

Membership Present:	**Councillor**	**J Henderson (Chairman)**
	Councillors	J Baggaley Mrs I Brown (Vice-Chairman) M Cope E Cropper Mrs R Crowe R A Crowe Mrs G Dawn (Ap) L Geary L Goff D Ledger J Lee D Lloyd T Mathias Ms J Oliver J Olson M Skinner S Vickers (Ap)
Apologies for Absence:	**Councillors**	Mrs G Dawn, S Vickers
Officers Present:	**Town Clerk**	Alan Mellor
Taking Notes:	**PA to the Town Clerk**	Helen Crossland
	There was one member of the public present.	
Venue:	Council Chamber, Newark Town Hall	

FGP52/21/22 Minutes of the last meeting of the Finance & General Purposes Committee held on Wednesday 19th January 2022

The Minutes of the Finance & General Purposes Committee meeting held on Wednesday 19th January 2022 were moved by Cllr J Henderson and **AGREED** as a true and accurate record and signed by the Chairman.

FGP53/21/22 Matters Arising

FGP42/21/22 - Matters Arising - Minutes of the Climate Change Working Group 20.10.21

Cllr E Cropper asked if a date had been set for another meeting of this group yet.

The Chairman responded that he had not arranged anything yet as other events in the Town Hall had taken priority.

FGP48/21/22 – Insurance

The Town Clerk informed Members that the valuation had now taken place; the figure was now just over £13m which gives a slight reduction in the premium as a result.

There were no other Matters Arising.

FGP54/21/22 Declarations of Interest

It was **AGREED** to accept any Declarations of Interest as and when they arose during the meeting.

FGP55/21/22 Payment Schedules

Cllr J Henderson moved the Payment Schedule report and Members **AGREED** that payment in accordance with Payment Schedule 9/22 in the sum of £147,056.73 (one hundred and forty seven thousand, fifty six pounds and 73p) be **APPROVED.**

FGP56/21/22 Street Collection Licences

Members **NOTED** the decision taken by the Town Clerk to approve a Street Collection Licence for the Royal Air Force Association on Saturday 17th September 2022, in accordance with the delegated authority given to him by this Committee in 2018.

FGP57/21/22 Town Clerk Position

The Town Clerk began discussion of this item and went through the Agenda report and the Addendums which had been circulated prior to the meeting.

The Chairman proposed, Cllr D Ledger seconded the new recommendations en bloc as contained in the Addendums and they were then voted on as follows:

(i) Members **APPROVED** the Flexible Retirement of Alan Mellor with effect from 31st March 2022.

(ii) Members **AGREED** that from 1st April 2022 Alan Mellor would be employed for two days per week, thus satisfying the reduced working hours criteria as

required by the Superannuation Regulations which cover Flexible Retirements.

(iii) It was **AGREED** that Alan Mellor will continue to be the Town Council's Proper Officer and Section 151 Officer until such time as a new replacement Town Clerk is in post.

(iv) The annual salary was **AGREED** at £41,600 per annum.

(v) Members **AGREED** that the work programme of the Town Clerk for this interim period to be agreed with the three Group Leaders.

(vi) The principle of paying time limited Honoraria to staff who are required to take on additional responsibility until a permanent new Town Clerk is in post and, if agreed, grant delegated authority to the Town Clerk to agree such payments in consultation with the three Group Leaders, was **AGREED.**

As a result of the Second Addendum, the following additional recommendations were proposed by the Chairman and seconded by Cllr J Olson to replace recommendation (vii) on the First Addendum:

(i) Members **AGREED** to re-appoint the Membership of the Personnel Sub Committee; to reflect Political Balance this would be – 2 Conservatives, 2 Alliance and 1 Labour Councillor.

Cllr D Lloyd advised that the Conservative members would be; Cllr D Lloyd & Cllr M Cope.

Cllr J Henderson advised that the Alliance members would be; Cllr J Henderson & Cllr Mrs G Dawn.

Cllr J Baggaley informed Members that the Labour member would be; Cllr J Baggaley.

(ii) Members **AGREED** to a maximum increase of £10,000 to the financial package on offer and gave the Personnel Sub Committee delegated authority to allocate this sum between salary and a re-location package.

(iii) Members **AGREED** to the re-appointment of Richard Walden of Walden Consultants Ltd to provide support to the Town Council for this further recruitment process.

FGP58/21/22 Cultural Heart of Newark Programme

Cllr Mrs I Brown spoke on this Agenda Item; she said she would vote for it but was very concerned about the state of the town. When you walk around there are lots of broken windows and buildings are in various states of disrepair.

Cllr L Geary thought that there was a lack of activities for young people which may then result in anti-social behaviour taking place.

The Chairman proposed, Cllr T Mathias seconded the following recommendations:

(i) Members **AGREED** that the Town Council will become the Project Lead for the Cultural Heart of Newark project from April 2022.

(ii) Members **AGREED** that the Town Council, in partnership with Newark & Sherwood District Council, will access the £2.1m Towns Fund budget allocated to the project pending government approval of the project business case.

(iii) Members **AGREED** that the Town Council will utilise a proportion of the £2.1m Towns Fund budget to recruit a new 'Programme Development Officer' (2 year fixed-term) and a 'Town Centre Events Officer' to facilitate delivery of the project.

FGP59/21/22 Medium Term Financial Strategy

Members **CONSIDERED** the Medium Term Financial Strategy covering the period 2021 – 29 and **AGREED** to take this to the Full Town Council meeting next week.

FGP60/21/22 Revenue Budget & Precept 2022/2023

The Town Clerk advised Members that on Page 67 of the Agenda, under the heading of **RESERVE FUNDS 2021/22 & 2022/23, CAPITAL RECEIPTS** additions needed to be put in for Cedar Avenue Land (£45,000) and Open Space Target Hardening (£44,325) in the 2022/23 financial year, as agreed at the last meeting of this Committee.

Members **CONSIDERED** the Town Council's proposed Revenue Budget and Precept for the financial year 2022/23 and **AGREED** to take this to the Full Town Council meeting next week.

Meeting Closed:	**7.45pm**	**Next Meeting:**	**16th March 2022**

Agenda Item No: 5 **Committee Date: Wednesday 16th March 2022**

FINANCE & GENERAL PURPOSES COMMITTEE

SUBJECT:	**PAYMENT SCHEDULES**
REPORT BY:	**TOWN CLERK**

1. Recommendations

1.1 Members to Approve the attached Payment Schedules 10/22 & 11/22

2. Background

2.1 Payment Schedules 10/22 & 11/22 appended to this report.

3. Financial, Legal, Equality, Risk & Environmental Issues

3.1 None.

Background Papers:	**None**
Lead Officer:	**Alan Mellor** **Tel: 01636 684801** **Email:**

AUTOPAY

ACCOUNTS FOR PAYMENT SCHEDULE 10/22 31.01.22

Voucher Number	Payee	Budget	Amount
1023	Abbey Flyers Ltd	Christmas Lights Event	1755.00
1024	ADT Ltd	TH Contracts	65.02
1025 - 1026	Ann et Vin	TH Bar	365.59
1027	A O Cumbernauld	Payroll	9924.52
1028 - 1030	Arco Ltd	Protective Clothing/Equipment	247.03
1031	Arco Ltd	Uniform	41.99
1032	Arco Ltd	Market Equipment	-129.74
1033 - 1034	Arco Ltd	TH M&E	103.20
1035	Banner Ltd	Printing & Stationery	80.96
1036 - 1037	Bunzl Ltd	TH M&E	752.14
1038	Chevron Traffic Management	Christmas Lights Event	474.00
1039 - 1040	Click Waste	Cemetery Upkeep	1954.83
1041	Colbourne M	Market promotions	525.00
1042	Community Heartbeat	defibrilator	105.60
1043 - 1046	EDF	Market Electricity	28.22
1047	EE	Telephones	93.53
1048 - 1054	ENVA Ltd	Market refuse	12503.20
1055	Eyre & Elliston	TH M&E	81.00
1056 - 1058	Fools Paradise Ltd	Christmas Lights Event	2826.00
1059	Gatecare Ltd	Allotment Repairs & Maintenance	1710.00
1060	GMS Marketing	TH M&E	12.60
1061	Henton & Chattell	Mowers	337.20
1062 - 1063	Iliffe Media	Market promotions	514.80
1064	Jackson D	Training	60.00
1065	Jones Maintenance	Cemetery Upkeep	330.00
1066	Jones Maintenance	PC R& M	77.40
1067	K & H Sports	Uniform	607.00
1068	Laffeys Ltd	Cemetery Upkeep	216.00
1069	Laneys Lettering	Cemetery Fees	92.00
1070	Lidsters of Worksop	Cemetery Tablets	1480.15
1071	LITE Ltd	Christmas Lights	72198.00
1072 - 1073	Loo 4 a Do	Civics	384.00
1074	Lynx AC	Th Contracts	643.20
1075	Macandrew A	Christmas Lights Event	120.00
1076	MEC Ltd	Cemetery Upkeep	40.00
1077	Milvill	TH M&E	28.08
1078	Milvill	PC Materials	73.92
1079	Newark Security Services	P & O/S Security	816.72

1080	N & S Locksmiths	ENV Tools & Equipment	176.40
1081	Newark Town Band	Market promotions	500.00
1082	Notts CC	Payroll	13341.48
1083 - 1090	NTC Pay Account	Payroll	32894.82
1091	Patchwork Audio	Market promotions	1200.00
1092	Printerbase Ltd	Printing & Stationery	42.74
1093	Quadient Ltd	Postage	202.96
1094 - 1098	Reflect Recruitment	Payroll	1176.24
1099	Rigby T	Market promotions	100.00
1100	SA Plumbing Services	PC R& M	392.26
1101	Screwfix	Uniform	39.99
1102 - 1104	SCS Ltd	Computers	318.60
1105 - 1106	Second Element	Maintenance & Equipment	528.00
1107	Security 2	Sunday Band Concerts	182.70
1107	Security 2	TH Bookings	1035.30
1107	Security 2	Brass Explosion	609.00
1107	Security 2	Market Security	591.60
1107	Security 2	Christmas Lights Event	1252.80
1108	Smith S	Market promotions	100.00
1109	Steelgen	Market promotions	250.00
1110	Steelgen	Market promotions	250.00
1111	Symbiosis Consulting	Cemetery R&R	1494.00
1112 - 1113	TC Harrison	Vehicle Running Costs	109.20
1114	The Ghost Drinkers	Market promotions	200.00
1115	The Ghost Drinkers	Christmas Lights Event	150.00
1116	Travel Liner Mini Bus	Appointments	65.00
1117	Viking	Office Equipment	113.36
1118 - 1120	Virgin Media	Telephones	628.22
1121	Wakefield C	Market Rent	5.00
1122 - 1123	Walters Cleaning	TH M&E	276.00
1124	Watch it Security	Cemetery Upkeep	774.34
1125	Watch it Security	Allotment Repairs & Maintenance	420.77
		Total	**170958.94**

DIRECT DEBITS

ACCOUNTS FOR PAYMENT SCHEDULE 10/22 31.01.22

Voucher Number	Payee	Budget	Amount
1126	Everflow	Water	£978.30
1127	Hyundai Finance	Civic Car	£254.40
1128	Natwest Cards	Appointments	248.20
1128		Recharges	79.00
1129	Natwest Cards	Mayors Allowance	108.39
1129		TH Bar	£27.00
1129		Printing & Stationery	£28.10
1129		Computers	£43.37
1129		PC Maintenance & Equipment	£39.89
1129		Protective Equipment	£11.98
1129		Training	£60.00
1129		Uniform	£157.42
1129		Buttermarket M&E	£27.70
1129		Appointments	£77.76
1129		Office Equipment	£269.99
1129		TH M&E	£46.00
1129		Postage	13.98
1130	NSDC	Rates	7065.00
1131	Safety Measures	Maintenance & Equipment	88.80
1132	Severn Trent Water	Water	114.63
1133 - 1135	Total Energies	ENV Electricity	£388.67
1136 - 1137	Total Energies	PC Electricity	£1,632.53
1138 - 1141 + 1144	Total Energies	Market Electricity	£1,000.76
1142	Total Energies	P & O/S Electricity	£185.00
1143	Total Energies	Buttermarket Electricity	£31.34
1145	Total Energies	TH Gas	£2,691.67
1146 - 1147	UK Fuels	Vehicle Running Costs	£192.58
1148	Worldpay	Bank Charges	£208.39
		Total	**16070.85**
		Grand Total	**187029.79**

CHEQUES

ACCOUNTS FOR PAYMENT SCHEDULE 11/22 28.02.22

Voucher Number	Payee	Cheque No	Budget	Amount
1149	Petty Cash	19174	TH M&E	53.23
1149		19174	Market Equipment	9.75
1149		19174	ENV Tools & Equipment	21.74
1149		19174	Market Printing & Stationery	8.07
1149		19174	Training	9.99
1149		19174	Civic Car	22.00
1149		19174	Protective Clothing	4.99
1149		19174	Uniform	19.98
1149		19174	PC Materials	34.00
1149		19174	Market Promotions	20.00
1149		19174	Refreshments	96.05
1149		19174	TH Bar	11.89
1149		19174	Mayors Allowance	34.56
1149		19174	Publications	69.00
1149		19174	Conferences	24.61
			Total	**439.86**

AUTOPAY

ACCOUNTS FOR PAYMENT SCHEDULE 11/22 28.02.22

Voucher Number	Payee	Budget	Amount
1150	Ann et Vin	TH Bar	76.56
1151	A O Cumbernauld	Payroll	8991.44
1152	Arco Ltd	Uniform	82.08
1153 - 1154	Arco Ltd	Market Equipment	84.89
1155	Arco Ltd	Protective Clothing	54.00
1156	Banner group	Printing & Stationery	117.09
1157	Bunzl	TH M&E	378.79
1158	Bunzl	PC Materials	29.86
1159	Canon UK	Market Printing & Stationery	70.03
1160	Click Waste	Cemetery Upkeep	651.61
1161	EMIB	Newark in Bloom	22.50
1162	EE	Telephones	91.22
1163 - 1165	Fools Paradise	Market Promotions	3117.60
1166	Gadgys Drainage Services	PC Repairs & Maintenance	120.00
1167	Gower Consultants	Computers	746.12
1168	Harrison I	Travel	54.90
1169	Haynes RJ	Market Promotions	150.00

1170	Hind CG	Market Promotions	100.00
1171	Iliffe Media	Market Promotions	522.00
1172 - 1175	Jones Maintenance	Buttermarket M & E	3028.20
1176	Jones Maintenance	ENV Tools & Equipment	33.00
1177	Jones Maintenance	TH M&E	667.80
1178	Jones Maintenance	P & O/S Repairs & Maintenance	377.40
1179	KG Enterprises	Consultancy Fees	1214.50
1180	Lidsters of Worksop	Cemetery Tablets	176.37
1181	Macandrew A	Market Promotions	180.00
1182	Mapmatic Ltd	Cemetery R&R Fund	654.00
1183	Marshall & Sons	P & O/S Repairs & Maintenance	5070.00
1184	MEC Ltd	Cemetery Upkeep	40.00
1185	Moonshiners	Market Promotions	200.00
1186	NABMA	Conferences	180.00
1187	Newark Community First Aid	Christmas Lights Event	375.00
1187	Newark Community First Aid	Market Promotions	375.00
1188	Newark Community First Aid	Training	75.00
1189	Newark Security Services	P & O/S Security	816.72
1190	N & S Locksmiths	ENV Tools & Equipment	51.00
1191 - 1192	Notts CC	Pensions	20743.36
1193	Notts CC	Payroll	12882.37
1194 - 1200	NTC Pay Account	Payroll	32515.20
1201	PHS Ltd	TH M&E	450.58
1202 - 1203	Printerbase Ltd	Printing & Stationery	41.65
1204	Primeprint Ltd	Market Printing & Stationery	54.00
1205	Quadient UK Ltd	Printing & Stationery	137.99
1206 - 1210	Reflect Recruitment	Payroll	1414.42
1211 - 1212	Screwfix	Market Equipment	158.80
1213 - 1214	SCS Ltd	Computers	841.20
1215	Second Element	Maintenance & Equipment	930.00
1216	Sherwood Signs	Market Promotions	576.00
1217	TC Harrison	Vehicle Running Costs	60.00
1218	The Ghost Drinkers	Market Promotions	300.00
1219	TIS Ltd	TH M&E	637.14
1220 - 1222	Tullett Machinery Co	Mowers	1659.06
1223	VIA EM Ltd	Market Promotions	535.00
1224 -1226	Virgin media	Telephones	625.85
1227	Walters Cleaning Services	TH M&E	138.00
1228	Watch it Security	Cemetery Upkeep	774.34
1229	Watch it Security	Allotment Repairs & Maintenance	420.77
1230	Waterplus	ENV Water	442.15

1231	Wordprint Ltd	Civics	54.00
1232	Wordprint Ltd	Printing & Stationery	93.60
1233	Wordprint Ltd	Market Printing & Stationery	420.00
		Total	**105880.16**

DIRECT DEBITS

ACCOUNTS FOR PAYMENT SCHEDULE 11/22 28.02.22

Voucher Number	Payee	Budget	Amount
1234	ASD Wholesale	TH Bar	268.07
1235	BT	Telephones	172.56
1236	Everflow	Water	£1,527.48
1237	Gas Direct Ltd	TH Bar	£17.34
1238	Hyundai Finance	Civic Car	£254.40
1239	Natwest Cards	Subscriptions	467.00
1240	Natwest Cards	Market Equipment	£92.00
1240		Printing & Stationery	£13.99
1240		TH M&E	£372.41
1241	Safety Measures	Health & Safety	£88.80
1242	SSE	Market Electricity	182.29
1243	Total Energies	TH Electricity	959.87
1244 - 1246	Total Energies	PC Electricity	£2,065.83
1247 - 1249	Total Energies	Market Electricity	£47.73
1250 - 1252	Total Energies	Buttermarket Electricity	£1,045.60
1253	Total Energies	P & O/S Electricity	£283.76
1254 - 1255	Total Energies	TH Gas	£3,165.36
1256	Total Energies	ENV Gas	£483.05
1257 - 1258	Total Energies	PC Gas	£175.88
1259, 61-63	UK Fuels	Vehicle Running Costs	£253.70
1260	UK Fuels	Fuel Mowers	£122.35
1264	Worldpay	Bank Charges	£225.71
		Total	**12285.18**
		Grand Total	**118605.20**

Agenda Item: 6 **Committee Date: Wednesday 16th March 2022**

FINANCE & GENERAL PURPOSES COMMITTEE

SUBJECT:	**VOLUNTARY BODY/COMMUNITY EVENTS GRANT APPLICATIONS**
REPORT BY:	**TOWN CLERK**

1. Recommendations

1.1 Members are asked to consider the application from the Children's Bereavement Centre.

2. Background

2.1 The Town Council's approved guidelines for this type of grant are attached as Appendix 1.

The 2021/22 and 2022/23 agreed budget for grants to voluntary bodies are £1,000 & £1,500 respectively, of which around £2,200 remains available.

3. Specific Grants

3.1 **Children's Bereavement Centre**

A request for use of rooms on the 3rd December 2022 to hold a concert to raise funds for the charity. Cost is £427.50 net. A copy of the Charities latest financial statement is also attached. See Appendix 2 attached.

3.2 **Bingham & District Choral Society**

A request for use of rooms on the 18th June 2022 to hold a lunch for members of the Choral Society and also members of Scunthorpe Choral Society following a concert in the Parish Church. Cost is £320.00 net. A copy of the Societies financial statement is also attached. See Appendix 3 attached.

4. Financial, Legal, Equality, Risk & Environmental Issues

None.

Background Papers:	**Voluntary Bodies File**
Lead Officer:	**Alan Mellor** **Tel: 01636 684800** **Email: Alan.mellor@newark.gov.uk**

Appendix 1

NEWARK TOWN COUNCIL

APPLICATION FOR VOLUNTARY BODY GRANT

Guidelines

The following principles and guidelines have been established by Newark Town Council to assist in the consideration and determination of grant applications. Whilst these principles will act as a general guide they are not definitive and applicants of particular worthiness may be considered on individual merit outside these criteria.

The Aim of the Scheme

The Town Council is providing funding to support the work of Voluntary Bodies & Charities that provide services, support and activities to the community of Newark. The grant can be used for free or discounted hire of the function rooms within the Town Hall.

The hire of rooms can cover a wide range of activities covering; charity, cultural, community and sports events.

The primary aim of the scheme is to encourage organisations to utilise the community facilities which are provided in the Town Hall and to support or promote self-help within organisations that may apply.

Funding Available

Newark Town Council has a maximum fund of £1,500 available, during the 2021/22 financial year, to support Voluntary Bodies.

Maximum funding for any one application is normally £500. Applications for grants in excess of this sum may be considered subject to the overall budget limit.

Applications will be considered throughout the year on a ‘first come first served basis’.

Eligibility

Applications will be considered from; Community Groups, Charities, Voluntary Bodies, and Sports Clubs.

Applicants must either be located within the Newark Town boundary or the scheme which is the subject of the application must have a focus or be targeted on the community living in Newark.

Preference will be given to locally based organisations serving local needs over national organisations providing services over a wider geographic area than Newark.

Applications are only invited for the use of the facilities available within the Town Hall. They can be for either Fund Raising or Non-Fund Raising Events.

An individual organisation will only be eligible to apply for one event in any two year period.

The Town Council will consider 'one off' bookings as well as regular or block bookings.

All applicants must complete an official Voluntary Body Grant Application Form before it will be considered by the Town Council.

All applications **must** be accompanied by a copy of the organisations most recent audited accounts or a signed statement on the current financial position of the organisation.

The Application Process

Applications will generally be considered by the Town Council's Finance and General Purposes Committee.

The enclosed application form is to be completed and submitted with any request for financial assistance to Mrs Karen Wood, Newark Town Council, Town Hall, Newark, Notts, NG24 1DU.

Newark Town Council

Voluntary Body Grant Application Form

Please refer to the separate guidance document when completing this form

1. Applicants Details	
Name of Organisation/Group	Children's Bereavement Centre
Applicant's Name	Rachel Wilson
What is the applicant's position in the organisation/community group?	Fundraising and Marketing Manager
Contact Name	Rachel Wilson
Contact Address	3 Kings Road, Newark, Notts, NG24 1EW
Contact Tel No	01636 600120 or 07593 430241
Email address	rachel@childrensbereavementcentre.co.uk

2. Scheme/Project Description

Description & Objectives

Is the application for a:

Fund Raising Event : YES/NO

If yes what is the beneficiary organisation: Children's Bereavement Centre

Please include an explanation of the purpose for which the application is made

We are planning to hold a Christmas concert performed by the Nottingham Symphonic Wind Orchestra in aid of the Children's Bereavement Centre. The charity and NSWO will sell tickets and the profits raised will be donated to the charity.

Give details of any other funders approached and their responses
We haven't approached any other funders. The orchestra play for free with the exception of the conductor
Please detail any additional information regarding your organisation and its aims which you may feel will assist the Town Council in considering this application.
The Children's Bereavement Centre is a local registered charity run by a committed team of friendly, supportive, and professional people who are passionate about helping children and young people to cope with the grieving process brought on by the death or terminal illness of someone important in their life. Although it is a natural part of life, the loss of someone close can be a distressing and overwhelming experience, especially for children and young people. The Centre is open to children aged 3 to 18 and offers a welcoming and safe environment for them and their families to receive the help and guidance they need at one of the most devastating times in their lives. As a result of a bereavement children are more likely to; • have behavioural problems • change schools or be excluded • have lack of concentration • avoid participating in clubs • have difficulty making friends • struggle with anxiety, anger, drinking and/or use of substances Bereaved children are extremely vulnerable to mental health disorders as they may be confused and upset by what they are feeling but unable to identify or understand why. The support offered by the Children's Bereavement Centre helps the child/young person to understand their feelings, make better decisions, build resilience, and learn coping strategies to move forward in their lives.

Please provide details of the rooms required within the Town Hall together with dates and times of the event

Room(s) required	Date(s) required	Time(s) required
Ball Room	Saturday December 3, 2022	5pm-10pm
Council Chamber	Saturday December 3, 2022	5pm-10pm
Bar open to the general public	Saturday December 3, 2022	7pm-10pm

3. Costs

How much money do you wish to apply for in grant aid (maximum £500), please contact the Town Council (see accompanying Grant Guidelines)

HIRE DESCRIPTION	COST
1. The full cost to hire the venue	£427.50 (net)
2.	
3.	
4.	
5.	
6.	

More:

What is the anticipated total cost of your scheme?	Cost of the venue plus £190 for the conductor and £300 printing and marketing costs

4. Outputs and Outcomes

Outputs

Please explain the following about your scheme

(a)	How will it contribute and/or support the community of Newark?	It will provide something different to the evening economy of Newark. The NSWO came and performed a concert for the CBC in 2019 and it was really well supported and sold out. The profits raised will be donated to a local charity that serves the local community by providing free of charge bereavement and pre-bereavement support to children, young people, and their families from across Nottinghamshire and Lincolnshire. Just 5% of the funds required to run the charity comes from statutory funding the rest is raised via fundraising activities like this one and funding bids which is why these events are so important to the sustainability of the charity.
(b)	Who is it open to?	The whole community, anyone who would like to purchase a ticket

(c)	How many participants do you anticipate will take part?	Orchestra members approx. 60 Audience of approx. 110
(d)	If you event is to raise funds, how much money do you expect to achieve?	Funds raised - £1,200 after costs deducted

Outcomes

What other benefits will be achieved from this scheme?

It will raise the vital funds required to help the Children's Bereavement Centre to continue to offer its much-needed services free of charge to those that need it.
It will raise awareness of childhood bereavement and the impact it can have.
It will raise awareness of the charity so anyone who needs the service knows how to get in touch
It will utilise a beautiful venue in the heat of the town
It will bring a new style of music to the local community
It will add to Newark's extensive range of events
It will support the night time economy as the orchestra and guests attending may go on afterwards to visit other pubs and restaurants in the area
It will introduce Newark to 60 orchestra members that don't often/have never visited Newark

Declaration

To the best of my knowledge, the information supplied on this form is correct and complete.

Signed	R. Wilson
Name and Position	Rachel Wilson – Fundraising and Marketing Manager
Date	11/02/2022

All applications **must** be accompanied by a copy of the organisations most recent audited accounts or a signed statement on the current financial position of the organisation.

REGISTERED NUMBER: 4747134 (England and Wales)

CHILDREN'S BEREAVEMENT CENTRE
(LIMITED BY GUARANTEE)

REPORT OF THE DIRECTORS AND

FINANCIAL STATEMENTS

FOR THE YEAR ENDED 31 MARCH 2021

CHILDREN'S BEREAVEMENT CENTRE
(LIMITED BY GUARANTEE)

SUMMARY INCOME AND EXPENDITURE ACCOUNT
FOR THE YEAR ENDED 31 MARCH 2021

	Notes	2021 £	2020 £
INCOME			
Donations, grants, and other income	3	301,142	343,468
Other operating expenses	4	265,512	293,617
OPERATING SURPLUS		35,630	49,851
Interest receivable and similar income		-	-
SURPLUS ON ORDINARY ACTIVITIES BEFORE TAXATION		35,630	49,851
Tax on surplus on ordinary activities	6	-	-
SURPLUS FOR THE FINANCIAL YEAR AFTER TAXATION		35,630	49,851
Retained surplus brought forward		257,383	207,532
RETAINED SURPLUS CARRIED FORWARD		293,013	257,383

The notes form part of these financial statements

CHILDREN'S BEREAVEMENT CENTRE
(LIMITED BY GUARANTEE)

BALANCE SHEET
31 MARCH 2021

		2021		2020	
	Note	£	£	£	£
FIXED ASSETS:					
Tangible assets	8		-		-
CURRENT ASSETS:					
Prepayments		7,152		8,062	
Cash at bank and in hand		303,516		262,572	
		310,668		270,634	
CREDITORS: Amounts falling due within one year	9	17,655		13,251	
NET CURRENT ASSETS:			293,013		257,383
TOTAL ASSETS LESS CURRENT LIABILITIES			293,013		257,383
FUNDS:					
Brought forward			257,383		207,532
Net surplus			35,630		49,851
TOTAL FUNDS			293,013		257,383

The directors are satisfied that the company was entitled to exemption under s.477 of the Companies Act 2006 and that members have not required an audit in accordance with s.476

The directors acknowledge their responsibilities for:

Ensuring that the company keeps accounting records which comply with section 386; and

preparing accounts which give a true and fair view of the state of affairs of the company as at the end of the financial year and of its surplus or deficit for the financial year in accordance with the requirements of s.396 and which otherwise comply with the requirements of this Act relating to accounts, so far as applicable to the company.

These financial statements have been prepared in accordance with the provisions of Part 15 of the Companies Act 2006 relating to small companies and with the provisions of Section 1A "Small entities" of Financial Reporting Standard 102.

ON BEHALF OF THE TRUSTEES:

A. WATSON
DIRECTOR AND TRUSTEE

Approved by the Trustees on 6 December 2021

Company Number 4747134

The notes form part of these financial statements

Newark Town Council

Voluntary Body Grant Application Form

Please refer to the separate guidance document when completing this form

1. Applicants Details	
Name of Organisation/Group	BINGHAM AND DISTRICT CHORAL SOCIETY
Applicant's Name	CHRISTINA WARRINGTON
What is the applicant's position in the organisation/community group?	CHAIR
Contact Name	MRS CHRISTINA WARRINGTON
Contact Address	2 CANDLEBY CLOSE COTGRAVE NOTTINGHAM NG12 3JH
Contact Tel No	07834 809156
Email address	christinawarrington@hotmail.co.uk

2. Scheme/Project Description

Description & Objectives

Is the application for a:

Fund Raising Event : YES/NO

If yes what is the beneficiary organisation: —

Please include an explanation of the purpose for which the application is made

To host a lunch for members of Bingham Choral Society and Scunthorpe Choral Society and guests following giving a lunch time concert in Newark Parish Church.

Give details of any other funders approached and their responses
NONE
Please detail any additional information regarding your organisation and its aims which you may feel will assist the Town Council in considering this application.
Bingham and District Choral Society is a charity which aims to educate and interest the public in music, particularly choral music, through presentation of concerts. We actively seek to perform with other choirs, including Newark Choral Society, and to encourage and give opportunity to young musicians.
Please provide details of the rooms required within the Town Hall together with dates and times of the event

Room(s) required	Date(s) required	Time(s) required
BALLROOM	SATURDAY 18TH JUNE 2022	12-30pm — 4-30pm
KITCHEN		
TOILET FACILITIES		

3. Costs

How much money do you wish to apply for in grant aid (maximum £500), please contact the Town Council (see accompanying Grant Guidelines)

HIRE DESCRIPTION	COST
1. FREE USE OF BALLROOM — 4 HOURS AND ASSOCIATED FACILITIES	— £230 net
2. Kitchen - 4 Hours.	£ 10 net
3.	
4.	
5.	
6.	
More:	

What is the anticipated total cost of your scheme?	COST OF BUFFET LUNCH FOR APPROX 100 TO BE PROVIDED BY NEWARK CATERER

4. Outputs and Outcomes

Outputs

Please explain the following about your scheme

(a)	How will it contribute and/or support the community of Newark?	The event will provide business for a Newark Caterer and encourage visitors to spend time in Newark. Supports 50th anniversary of Brigham Choral and celebrates Queen's Jubilee
(b)	Who is it open to?	Choir members and guests from both choirs Mayor of Newark and Consort
(c)	How many participants do you anticipate will take part?	100 - 120
(d)	If you event is to raise funds, how much money do you expect to achieve?	—

Outcomes

What other benefits will be achieved from this scheme?

Promotion of Newark as a Focus for Music Making

Declaration	
To the best of my knowledge, the information supplied on this form is correct and complete.	
Signed	Christina Warrington
Name and Position	CHRISTINA WARRINGTON CHAIR, BINGHAM AND DISTRICT CHORAL SOCIETY.
Date	24th February 2022
All applications **must** be accompanied by a copy of the organisations most recent audited accounts or a signed statement on the current financial position of the organisation.	

Bingham and District Choral Society

Statement of financial activities for the year ended 31st March 2021

Income and Expenditure

Incoming Resources	Note	2021	2020	2019
Member's Subscriptions		0.00	8,370.00	£8,301.09
Income tax recovered from Gift Aid		£315.75	3,215.44	£1,518.03
Fundraising and social Events		£39.00	£2,735.10	£3,814.58
Music Sales		0.00	£419.50	£505.50
Concert Income		0.00	£4662.50	£9,711.84
Bursary Prize and Concert		0.00	30.00	£0.00
Interest on Bank Accounts & Investments		£247.35	£247.30	£189.60
Miscellaneous		0.00	£1,739.45	£545.34
Donations		£2,385.00	£1,145.00	£2,510.00
Total Incoming Resources		**£2,987.10**	**£22,564.29**	**£27,095.98**
Resources Expended				
Direct Charitable expenditure		£7,458.43	£18,415.60	£23,858.08
Fundraising		0.00	£1,185.00	£2,091.72
Management and administration of the charity		£502.62	£1,237.32	£1,042.70
Setting up and maintaining the web site		£618.00	£300.00	£780.00
Bursary Prize and Concert		0.00	100.00	0.00
Other Items	1	£510.00	£1,714.15	£622.46
Composition Competition		£740.00	0.00	0.00
Total Resources Expended		**£9,829.05**	**£22,952.07**	**£28,394.96**
Net loss for the year		**£6,841.95**		
Balance brought forward at 1st April 2020			**£31,215.84**	
Balance carried forward at 1st April 2021			**£24,373.89**	

Direct Charitable Expenditure	Note	2021	2020	2019
Director of Music Rehearsal Fees		200.00	4622.00	£3,143.70
Accompanist Fees		150.00	2,926.00	£2,406.00
Hire of Rehearsal Hall	2	0.00	1,877.50	£1,900.00
Concert Costs	3	£2257.78	7,936.12	£15,895.65
Music Costs		0.00	£1,053.98	£512.73
Distance Learning		£4,380.65	0.00	0.00
'BBC Bingham'		£470.00	0.00	0.00
Total		**£7,458.43**	**18,415.60**	**£23,858.08**

Bingham and District Choral Society

Balance Sheet as of 31st March 2021

Current Assets	2021	2020	2019
Virgin Money Charity Account	£5,360.55	£5,334.33	£5,294.55
Virgin Money Charity Notice Account	£17,911.63	£17,690.50	£17,487.98
Lloyds Bank Treasurers Account	£1,046.71	£8,241.01	£8,905.09
Cash	£55.00	£5.00	0.00
Total	**£24,373.89**	**£31,270.84**	**£31,682.62**
Current Liabilities			
Cheques not yet presented for payment	£0.00	£55.00	£79.00
Net Assets	**£24,373.89**	**£31,215.84**	**£31,603.62**

Funds	General Fund	Designated Reserve	Total
Balance at 31st March 2020	**£16,215.84**	**£15,000.00**	**£31,215.84**
Result for the year ending 31st March 2021	**£9,373.89**	**£15,000.00**	**£24,373.89**

Approved by the committee on 12th April 2021.

Prof Richard Joyner - Chair

Mrs Valerie Morgan - Secretary

Dr Bradley Poulson - Treasurer

Agenda Item No: 7 **Committee Date: Wednesday 16th March 2022**

FINANCE & GENERAL PURPOSES COMMITTEE

SUBJECT:	**RISK REGISTER**
REPORT BY:	**TOWN CLERK**

1. Recommendations

1.1 Members are asked to:

(i) Consider the strategic risks as discussed in this report and approve as appropriate the revised Risk Management Strategy.

2. Background

2.1 The Town Council's Risk Strategy was first approved in July 2010 and has been monitored and updated by this Committee since then; it is also monitored by my Senior Managers to ensure that it remains up to date and relevant.

It has recently been reviewed and this report is submitted for consideration of some proposed changes to the Risk Register.

3. Risk Register

3.1 The Council's Strategic Risk Register is made up by the following risks which are discussed in detail below:

3.2 **Risk No. 1 – Town Hall, Building**

Description – The Town Hall is one of the Council's main assets but, given its age, could also be a significant liability above and beyond that which would be associated with the operational base for any organisation.

Risk – the loss of the building as an operational centre, this could arise from a number of events such as fire, structural safety, flood etc.

What are we already doing about it -

(i) Fire safety procedures are in place and approved by the Fire Authority.

(ii) Fire evacuation procedures are in place.

(iii) Contingency Fund established to meet the cost of ongoing and future structural works.

(iv) An I.T. Contingency Plan is in place and is currently under review.

(v) The Lift, Intruder and Fire alarms have been replaced in 2012.

(vi) The major renovation project for the exterior of the building has been completed in recent years; this has improved the exterior structure and should ensure that the

building continues to be in a physical condition that allows it to be used on a day to day operational basis.

(vii) The Town Council has an approved Business Continuity Plan which sets out how the Town Council will operate in the event of the Town Hall becoming unavailable.

(viii) The Town hall has recently been valued for Insurance re-build purposes to ensure that in the event of a catastrophic loss the Town Council is properly insured to enable the Town hall to be re-built.

What more can we do – no more actions are currently required

It is proposed that this risk remains at low probability and high impact.

3.3 **Risk No. 2 – Town Hall, Events**

Description – The Town Hall Ballroom is rented out for a range of private functions which can involve a significant number of members of the public and which could introduce a wide range of risks associated with the event.

Risk – potential damage to the building and/or the pictures and other items on display within the areas accessible to the public.

Public Liability and Property Insurance cover is in place.

Caretaking and/or Security staff are present on site for the duration of an event.

Lettings include a Damage Waiver deposit of £200.

Events staff have been given training on their responsibility and expectations when on duty at an event.

What more can we do – the Town Hall has effectively been closed to all private events for the past year due to the Coronavirus events are slowly returning; no further action is required at the moment.

It is proposed therefore that there is no change and leave the risk as low probability and low impact.

3.4 **Risk No. 3 – Staffing Resilience**

Description – The Town Council now provides a wide range of services following the Devolution Agreement which resulted in an increase in the number of services and additional staff to run them.

Risk – there is a lack of cover in the event of an unplanned absence from work which could result in a disruption to service delivery and could have an adverse impact on systems of internal control.

The decision taken by the Town Council over the last two years to reduce the number of employees as a response to the impacts of the Coronavirus has highlighted the need for staffing resilience as there are significantly fewer staff available to cover for any prolonged absences.

This risk has also been highlighted with the difficulties in recruiting a new Town Clerk.

What are we already doing about it – The Council uses a number of consultancy staff to bridge some of the gaps in existing staff structure and where it is uneconomic to employ an individual. The staff structure has been reviewed and some small changes have been

agreed. The staff are all very flexible and willing to provide cover as and when required.

What more can we do – a further staff review should be carried out when a new Town Clerk is in position to reflect the skills that the remaining team have.

It is proposed therefore that there is no change and leave the risk as high probability and medium impact.

3.5 **Risk No. 4 – Health & Safety**

Description – The current policy statement was adopted in 2010 and remains in place. In addition Risk Assessments have been carried out across all operational areas and activities. For the new service areas which have transferred to the Town Council under the Devolution Agreement, risk assessments are in place for the Market and Parks & Open Spaces services.

The Markets staff have now all transferred to the Town Council and risk assessments are now a direct responsibility of the Town Council.

Risk – the Policy does not reflect best practice and could lead to liability claims arising from any shortcomings. It needs to reflect the new services which were transferred on 1st April 2015.

What are we already doing about it – maintaining it on an ad hoc basis and incorporating the Market risk assessments into the Town Council's documentation.

It is proposed that no additional action is required at the moment and therefore leave the risk as low probability and high impact.

3.6 **Risk No. 5 – Other Policies & Procedures**

Description – The Council is required to have in place a range of policies to reflect its legal responsibilities and best practice. All Policies and Procedures may need to be updated to reflect the new services that will be transferred as part of the devolution Project.

Risk – The Council could leave itself open to challenge, legal action or bad publicity if it is unable to demonstrate that it has appropriate and necessary policies in place.

What are we already doing about it – maintaining them on an ad hoc basis. Policies are starting to be reviewed to reflect devolved services where necessary. The Town Council's Standing Orders and Financial Regulations were reviewed and updated in 2019.

What more can we do – A timeline for the review of the remaining policies has been submitted to the Town Council; action the phased review over the life of the new Town Council from May 2019 over the next four years.

It is proposed that no additional action is required at the moment and therefore leave the risk at low probability and medium impact.

3.7 **Risk No. 6 - Training**

Description – Following the recent staff review some individuals are undertaking slightly new roles. There is no formal Member training scheme in place.

Risk – employees and Members do not have the necessary skills to undertake their role.

What are we already doing about it – the Council has an approved training budget; training sessions have been held for all staff to improve customer care. All Members received an induction pack following the elections in May 2019.

What more can we do – undertake a review of individual staff training needs, particularly in

the context of the reduction in the number of employees arising from the staff reviews undertaken in response to the Coronavirus. This may result in training staff to cover a wider range of duties to support the resilience for the Town Council.

Further consider more specific training needs for individual Town Councillors.

It is proposed that at the moment the risk remains as medium probability and medium impact.

3.8 **Risk No. 7 – Newark Festival/ Newark Heart Initiative**

Description – The Town Council agreed to move the date of the Newark Music Festival for 2020 to the August Bank Holiday weekend. It was also decided to combine the Free Family Sunday with the Brass explosion event which was due to be held over the same weekend. An expenditure budget of £45,000 has been approved. The financial arrangements for this event remain in place to ensure that the Town Council has no financial risk associated with the sale of tickets. The Festival wasn't able to take place in 2020 due to the Coronavirus. Budgetary provision has been made to support the Festival in 2021; subject to it being allowed to proceed if the Coronavirus limitations are relaxed. It has now been accepted that the Riverside Park isn't a site that can be sued to stage large scale concerts in a safe manner. Alternative sites are being explored to ascertain if a viable alternative is available in the town, the Town Council will then consider the future of this event.

In addition the Town Council is taking responsibility for the Newark Heart project as part of the Towns Fund initiative. This will enable a wide range of Town Council events and those staged by partner organisations to be brought together, enhanced with the aim of expanding the cultural offer provided in the town.

Risk – Town Council has a reputational risk to ensure that the programme of cultural events & entertainment are delivered in a professional manner and attract people to attend both from the local community and visitors from further afield.

What are we already doing about it – The Town Council has agreed to employ two new officers to support this project and ensure that events are properly staged in a safe and effective manner.

What more can we do – monitor the events programme and assess the impact on the town centre economies and footfall of people in the town centre.

It is proposed that at the moment the risk remains as low probability and medium impact

3.9 **Risk No. 8 – New Housing Developments**

Description – The District Council's long term Core Planning Strategy includes significant allocations of land in and around Newark for new housing developments. This will in the future lead to a significant increase in the population and a subsequent demand for services. Work has now commenced on the land allocated for housing to the South of Newark.

Risk – The Town Council is faced with an increase in demand for services without an appropriate corresponding increase in income from Council Tax to meet it.

What are we already doing about it – Newark & Sherwood District Council undertook a second review of the Town Council boundary in 2018, to reflect the new housing developments. The new Town boundary came into place on 1st April 2019; this incorporates all of the new housing development to the South of the Town. The Devolution Agreement includes an assumption that any new parks and open spaces which are provided in connection with the new housing development will be operated by the Town Council. The Town Council will be included in future discussions with regard to the location and extent of any new facilities or provision. Whilst they will be provided at the cost of the developers with

some annual revenue support they will ultimately add to the Town Councils' revenue expenditure and portfolio of such assets. This may have a significant impact on the capacity of the Town Council to operate and manage a bigger and wider package of services.

What more can we do – The funding package for the Southern Link Road is now largely in place and the risk associated with this not being completed has reduced significantly. This position has been reviewed and reflected in the Town Council's Medium Term Financial Plan. This demonstrates that this risk can now be downgraded.

This risk was scored at medium probability and medium impact, it is proposed that this is now scored at low probability and medium impact.

3.10 **Risk No. 9 – Southern Link Road**

Description – the major housing development on South of Newark includes a proposed Southern Link road, effectively joining the A46 with the A1.

Funding for this road has now been fully secured which means that the Planning permission for over 3,000 properties can now be fully implemented.

Risk – the Devolution Agreement is predicated on the new housing development on land South of Newark delivering over 3,000 new houses, if this is not achieved in a timely manner then the Town Council could still face a financial position over the next ten years where the Revenue Account could fall into deficit.

What are we already doing about it – the Town Council has considered and approved agreed a new Medium Term Financial Plan which demonstrates the possible financial difficulties towards the end of the twenty year Devolution Agreement. An understanding and appreciation of the potential longer term financial problems associated with this is a vital component id addressing this issue.

The Town Council has also created a Devolution Reserve Fund into which additional monies can be transferred to provide further financial support over the next ten years.

What more can we do – continue to monitor the delivery of new houses in this development and take any necessary adjustments to the Town Council's spending to ensure that the revenue account remains in balance.

This risk was scored as high probability and high impact, it is proposed that this is now scored at medium probability and medium impact.

3.11 **Risk No. 10 – Devolved Services, Markets Income**

Description – The Town Council approved the transfer of a significant package of services from the District Council. The transfer was agreed and was implemented with effect from 1st April 2015.

Risk – There remains one risk associated with this:

The transfer of the Markets service included a budget for income totalling £275,000 in the 2016/17 financial year. This is the largest single item of income which the Town Council generates from the services it provides. Since then the level of income generated from the Market has declined; the original estimate for the 2020/21 financial year was £230,000.

Furthermore the Coronavirus Lockdowns have had a significant impact on the Market with only food & essential traders being able to stand for most of the year. This has resulted in a loss of income in the order of £130,000. Whilst it was hoped that income will recover somewhat during the 2021/22 financial year it has not yet got back to previous levels, the budget for the 2022/23 financial year has been set at £150,000 which is a reduction of some

£125,000 from the level achieved when the service was initially transferred from the District Council.

What are we already doing about it – the Town Council has continued investment in the promotion budget for the Market which has enabled more entertainment to be out on to add value to the Market offer. This appears to have been successful resulting in an increased footfall being experienced particularly at the Saturday market.

The Town Council has approved an increase in the minimum level of General Revenue Reserves to £200,000 in order to provide additional financial protection from such an occurrence happening again in the future.

What more can we do – The Town Council's decision to take the lead in the Newark Heart project will provide new opportunities to further enhance the entertainment & cultural offer in Newark a which in turn should further increase footfall in the town centre.be invited to review the Market service and consider a number of possible initiatives to diversify the offer provided by the Market.

This risk was scored as high probability and high impact, it is proposed that this is now scored at medium probability and medium impact.

3.12 **Risk No. 11 – Workforce Succession Planning**

Description – The Town Council now has 7 employees who work in management or administrative positions.

This represents a reduction of 4 employees arising from the redundancies that have been made over the last year. However the majority of the remaining staff are over 60 years of age and are therefore approaching retirement age.

Risk – If these employees were to retire over a relatively short period of time there is the possibility of a significant disruption to the management capacity and skills available to the Town Council which are required to ensure that service delivery is maintained.

This risk has been highlighted by the difficulties experienced in recruiting a new Town Clerk

What are we already doing about it – The Town Council has also approved the creation of a new Finance Officer post which will enable the Town Clerk to focus on the overall management of the Town Council and bring more resilience into the financial administration & operational activities.

What more can we do - Undertake a further staff review to reflect the changes that have occurred over the last year.

It is proposed that this risk is maintained at medium probability and high impact.

3.13 **Risk No. 12 – Buttermarket Future Use**

Description – The Buttermarket is a very high profile iconic building located in the heart of the town centre. The Town Council has re-affirmed that its preferred option is to enhance the Town Museum.

Risk – The Town Council faces a reputational risk if it is not perceived that this iconic building remains under occupied and hasn't got an agreed longer term meaningful use.

What are we already doing about it – the Town Council has engaged professional support to advise on options for the design and layout of the Buttermarket and the Town Hall to identify the space available for an expanded Museum together with physical building works that would be required to facilitate such a project. A further piece of work has been procured to start to build up a business case for an expended museum including the options for its

operation and the financial implications associated with it.

What more can we do – Review the advice received with regard to the physical works presented for the Town Hall & Buttermarket and the feasibility studies that will inform the associated costs.

It is proposed that the score for this risk remains at medium probability and high impact.

3.14 **Risk No. 13 - Coronavirus**

Description – The Coronavirus has had significant impacts on the Town Council as an organisation, it has already adjusted to working against a backdrop of restrictions that were in place over the last two years. As the 'lockdown' is relaxed the Town Council will be faced with addressing how its operations and services are provided in the future.

Risk – The Town Council doesn't have sufficient capacity to deal with the organisational and operational issues that could arise over the next year whilst endeavouring to re-establish those services and events that have had to stop due to the Coronavirus.

What are we already doing about it – the Town Council has recently reviewed its staff structure to reflect the impacts of Coronavirus, further reviews will be undertaken when the new Town Clerk is in position.

Opening times of the Town hall have been reduced significantly, although this appears to have had little impact on the ability to deal with customers and has now been accepted as the norm.

Staff have been given the opportunity to work from home for part of their working week, this has been taken up positively and has been achieved with no detriment to the services provided to the general public.

What more can we do – review the current methods of working for all services and staff. Provide additional support as and when required to ensure that all the necessary resources are in place and available to enable service continuity until a return to 'normal' activity is possible.

This risk was scored as high probability and medium impact, it is proposed that this is now scored at medium probability and medium impact.

3.15 **Risk 14 - Inflationary Pressures**

Description – The Town Council set its budgets for 2022/23 and approved its Medium Term Financial Plan at its meeting on 23rd February. Whilst these financial decision were taken with the inclusion of an inflationary provision of 2.5% for 2022/23 and 2% thereafter, recent international events have indicated that we may be entering a period of higher inflation; current fuel prices have risen significantly over the last few months.

Risk – There is a risk therefore that inflationary pressures may have a negative impact on the Town Council's financial position in the medium term.

What are we already doing about it – A Medium Term Financial Plan is in place which demonstrates the forecasted Town Councils financial position for a number of years. A knowledge & understanding of this position is a good starting point and shows an awareness of the issues it will face and when.

We have entered into contracts with fixed prices for fuel supplies.

What more can we do – Monitor inflationary pressures more closely particularly as they impact on specific elements of the Town Councils expenditure.

This risk is scored as medium probability and high impact.

4. Summary

4.1 I invite Members to consider the risks described, together with the proposed changes, in the Town Councils Risk Management Strategy document which is attached at Appendix A. If Members accept the risks then I would ask that the revised Strategy is then approved.

5. Financial Legal, Equality, Risk & Environmental Issues

5.1 Contained in the report.

Background Papers:	**Risk Strategy files.**
Lead Officer:	**Alan Mellor** **Tel: 01636 684801 Email: alan.mellor@newark.gov.uk**

APPENDIX A

Newark Town Council

Risk Management Strategy

March 2022

Contents

Appendices

1. Introduction

Risk management is a key in every organisation. Failure to pay proper attention to the likelihood and consequences of risks can cause the Council serious problems; financial cost, service disruption, bad publicity or claims for compensation are among the most obvious. The effective management of risk is therefore a critical part of the Council's approach to the way in which it works and delivers services to its community.

A systematic assessment of risk needs to be undertaken when judging all policy and service delivery options available to the Council.

This strategy is drawn up in order to ensure that all areas of high risk are identified, assessed and suitable remedial action is considered and where appropriate, financial provision is made to implement risk reduction measures.

2. Purpose, Aims and Objectives

The purpose of the Council's Corporate Risk Management Strategy is to effectively manage potential threats to the Council achieving its objectives.

Newark Town Council has adopted the Audit Commission definition of Risk:

'Risk is the threat that an event or action will adversely affect the organisation's ability to achieve its objectives and to successfully execute its strategies'.

The Council's Corporate Risk Management Strategy has the following objectives:

- Integration of Risk Management into the culture of the Council
- Raising awareness of the need for Risk Management by all those connected with the delivery of services
- Enabling the Council to anticipate and respond to changing social, environmental and legislative conditions
- Minimisation of injury, damage, loss and inconvenience to staff, members of the public, service users, assets etc. arising from or connected with the delivery of the Council's services
- Introduction of a robust framework and procedures for identification, analysis, assessment and management of risk, and the reporting and recording of events, based on best practice
- Minimisation of the cost of risk

These objectives will be achieved by:

- Establishing clear roles, responsibilities and reporting lines within the Council for risk management
- Incorporating risk management in the Council's decision making operational management processes
- Reinforcing the importance of effective risk management through training
- Incorporating risk management considerations into Service/Business Planning, Project Management, Partnerships and Procurement processes
- Monitoring risk management arrangements on a regular basis

The benefits of risk management include:

- A safer environment for all
- Improved reputation of the Council
- Improved efficiency and effectiveness

- Protect employees and others from harm
- Reduction in the probability and size of insured and uninsured losses
- Reduced insurance premiums
- Maximise the efficient use of available resources

3. Methodology

Risk management is the process of identifying risks, evaluating their potential consequences and determining the most effective methods of controlling them and/or responding to them. It is not an end in itself. Rather, risk management is a means of minimising the costs and disruption to the Council caused by undesirable events. The aim is to reduce the frequency of risk events occurring (wherever this is possible) and minimise the severity of their consequences if they do occur. Even when the likelihood of an event occurring cannot be controlled, steps can be taken to minimise the consequences i.e. by having an effective and robust Business Continuity Plan in place.

Risk Management involves the following 4 processes:

3.1 Identification of risk

A systematic approach needs to be applied if all strategic and operational risks are to be identified and managed. By identifying areas of risk before an event or loss occurs, steps can be taken to prevent the event occurring and/or minimising the cost to the authority. Reacting to events only after they have occurred can be a costly method of risk identification.

3.2 Analysis of risk

Having identified areas of potential risk they need to be systematically and accurately assessed. The process requires managers to make:

- An assessment of the probability of a risk event occurring
- An assessment of the potential severity of the consequences should such an event occur
- An estimate of the likely cost of future incidents

3.3 Control of risk

Risk cannot be eliminated completely. Risk control is the process of taking action to minimise the likelihood of the risk event occurring and/or reducing the severity of the consequences should it occur. There are three options for controlling risk:

Avoidance

Risk avoidance involves the authority opting not to take a current or proposed activity because it believes it is too risky.

Reduction

Risk reduction is dependent on implementing projects or procedures that will minimise the likelihood of an event occurring or limit the severity of the consequences should it occur.

Transfer

Risk transfer involves transferring liability for the consequences of an event to another body. This can occur in two forms. Firstly, legal liability may be transferred to an alternative provider under contractual arrangements for service delivery. Secondly, transferring some or all of the financial risk to external insurance companies may reduce the costs associated with a damaging event.

3.4 **Monitoring and review of risk**

The risk management process does not finish when the risk control actions have been identified. There must be monitoring and review of:

- The implementation of the agreed control action
- The effectiveness of the action in controlling the risk
- How the risk has changed over time

3.5 **Funding**

A risk management fund provides service managers with the encouragement to raise the level of risk awareness within their areas of responsibility by formally identifying risks and proposals for action. The reserve provides the opportunity to apply for financial support and creates an incentive for loss control, without adversely affecting service area budgets. This investment in risk management measures should lead to a reduction in insured and uninsured losses and eventually to lower costs, including premiums, giving service managers a vested interest.

4. Roles & Responsibility

A framework has been implemented that has addressed the following issues:

- The different types of risk – Strategic and Operational
- Where it should be managed

Responsibilities for various elements of the Risk Strategy are set out below:

Elected Members:

- To oversee and scrutinise the effective management of risk by officers
- Finance & General Purposes Committee has responsibility to approve and maintain the Council's Risk Strategy

The Town Clerk:

- To ensure the Risk Management Strategy is fully implemented
- To ensure proper training is provided
- To ensure that an effective Business Continuity Plan is in place
- To ensure a proper system of internal audit is carried out for the authority
- To monitor and control the risk management reserve, in consultation with Chairman of Finance & General Purposes Committee
- To ensure that appropriate insurance cover is in place and that a register of claims is maintained
- To effectively develop, implement and review the risk management strategy on a corporate basis

The Management Team:

- To monitor the Council's Strategic Risk Register and make recommendations to F&GP as appropriate
- To maintain the Council's Operational Risk Register
- To identify those areas of strategic and operational practices that present the greatest risk to the authority and to make proposals for reducing the potential probability or scale of such loss.
- Improve co-ordination of risk management activity throughout the authority
- To review the Business Continuity Plan on a regular basis to ensure its currency, accuracy and overall effectiveness
- To advise on the use of the risk management reserve to support funding necessary for projects, activities and initiatives that will reduce vandalism, arson, theft, damage to council property and personal injury to employees, visitors and persons under the care of the authority.

5. Skills and Expertise

Having established roles and responsibilities for risk management, the Council must also ensure that it has the skills and expertise necessary. It will achieve this by providing Risk Management Training for Members and Officers and, where appropriate, providing awareness courses that address the individual needs of all employees.

6. Embedding Risk Management

Risk management is an important part of the service planning process. This will enable both strategic and operational risk, as well as the accumulation of risks from a number of areas to be properly considered.

This strategy and the information contained within the appendices provides a framework to be used by all levels of staff, and Members, in the implementation of risk management as an integral part of good management.

7. Risk Evaluation

Having identified areas of potential risk they need to be assessed to be ranked against the following two criteria:

- An assessment of their Impact
- An assessment of their Likelihood of occurring

They can then be placed in a Risk Assessment Matrix, as shown at Appendix A. This will enable Members and officers to be aware of the risks which may affect the Council and prepare action plans to mitigate the effects of them.

A Risk Assessment Matrix

Probability

Very High		*Risk tolerance line*			
High			3		
Medium			6/9/10/13	11/12/14	
Low		2	7/5/8	1/4	
Very Low					
	Very Low	Low	Medium	High	Very High

Impact

B Strategic Risk Register

Risk No. 1 – Town Hall, Building

Description – The Town Hall is one of the Council's main assets but, given its age, could also be a significant liability above and beyond that which would be associated with the operational base for any organisation.

Risk – the loss of the building as an operational centre, this could arise from a number of events such as fire, structural safety, flood etc.

What are we already doing about it -

(i) Fire safety procedures are in place and approved by the Fire Authority.

(ii) Fire evacuation procedures are in place.

(iii) Contingency Fund established to meet the cost of ongoing and future structural works.

(iv) An I.T. Contingency Plan is in place and is currently under review.

(v) The Lift, Intruder and Fire alarms have been replaced in 2012.

(vi) The major renovation project for the exterior of the building has been completed in recent years; this has improved the exterior structure and should ensure that the building continues to be in a physical condition that allows it to be used on a day to day operational basis.

(vii) The Town Council has an approved Business Continuity Plan which sets out how the Town Council will operate in the event of the Town Hall becoming unavailable.

(viii) The Town hall has recently been valued for Insurance re-build purposes to ensure that in the event of a catastrophic loss the Town Council is properly insured to enable the Town hall to be re-built.

What more can we do – no more actions are currently required

It is proposed that this risk is scored as low probability and high impact.

Risk No. 2 – Town Hall, Events

Description – The Town Hall Ballroom is rented out for a range of private functions which can involve a significant number of members of the public and which could introduce a wide range of risks associated with the event.

Risk – potential damage to the building and or the pictures and other items on display within the areas accessible to the public.

What are we already doing about it –

(i) Public Liability and Property insurance cover is in place

(ii) Caretaking and/or Security staff are present on site for the duration of an event

(iii) Lettings include a Damage Waiver deposit of £200

(iv) Events staff have been given training on their responsibility and expectations when on duty at an event.

What more can we do – the Town Hall has effectively been closed to all private events for the past year due to the Coronavirus events are slowly returning; no further action is required at the moment.

It is proposed that this risk is scored as low probability and low impact.

Risk No. 3 – Staffing Resilience

Description – The Town Council now provides a wide range of services following the Devolution Agreement which resulted in an increase in the number of services and additional staff to run them.

Risk – there is a lack of cover in the event of an unplanned absence from work which could result in a disruption to service delivery and could have an adverse impact on systems of internal control.

The decision taken by the Town Council over the last two years to reduce the number of employees as a response to the impacts of the Coronavirus has highlighted the need for staffing resilience as there are significantly fewer staff available to cover for any prolonged absences.

This risk has also been highlighted with the difficulties in recruiting a new Town Clerk.

What are we already doing about it – The Council uses a number of consultancy staff to bridge some of the gaps in existing staff structure and where it is uneconomic to employ an individual. The staff structure has been reviewed and some small changes have been agreed. The staff are all very flexible and willing to provide cover

as and when required.

What more can we do – a further staff review should be carried out when a new Town Clerk is in position to reflect the skills that the remaining team have.

It is proposed that this risk is scored as high probability and medium impact.

Risk No. 4 - Health & Safety

Description – The current policy statement was adopted in 2010 and remains in place. In addition Risk Assessments have been carried out across all operational areas and activities. For the new service areas which have transferred to the Town Council under the Devolution Agreement, risk assessments are in place for the Market and Parks & Open Spaces services.

The Markets staff have now all transferred to the Town Council and risk assessments are now a direct responsibility of the Town Council.

Risk – the Policy does not reflect best practice and could lead to liability claims arising from any shortcomings. It needs to reflect the new services which were transferred on 1st April 2015.

What are we already doing about it – maintaining it on an ad hoc basis and incorporating the Market risk assessments into the Town Council's documentation.

It is proposed that this risk is scored as low probability and high impact.

Risk No. 5 – Other Policies & Procedures

Description – The Council is required to have in place a range of policies to reflect its legal responsibilities and best practice. All Policies and Procedures may need to be updated to reflect the new services that will be transferred as part of the devolution Project.

Risk – The Council could leave itself open to challenge, legal action or bad publicity if it is unable to demonstrate that it has appropriate and necessary policies in place.

What are we already doing about it – maintaining them on an ad hoc basis. Policies are starting to be reviewed to reflect devolved services where necessary. The Town Council's Standing Orders and Financial Regulations were reviewed and updated in 2019.

What more can we do – A timeline for the review of the remaining policies has been submitted to the Town Council; action the phased review over the life of the new Town Council from May 2019 over the next four years.

It is proposed that this risk is scored at low probability and medium impact.

Risk. No. 6 – Training

Description – Following the recent staff review some individuals are undertaking slightly new roles. There is no formal Member training scheme in place.

Risk – employees and Members do not have the necessary skills to undertake their role.

What are we already doing about it – the Council has an approved training budget; training sessions have been held for all staff to improve customer care. All Members received an induction pack following the elections in May 2019.

What more can we do – undertake a review of individual staff training needs, particularly in the context of the reduction in the number of employees arising from the staff reviews undertaken in response to the Coronavirus. This may result in training staff to cover a wider range of duties to support the resilience for the Town Council.

Further consider more specific training needs for individual Town Councillors.

It is proposed that the risk is scored as medium probability and medium impact.

Risk. No. 7 – Newark Festival/Newark Heart Project

Description – The Town Council agreed to move the date of the Newark Music Festival for 2020 to the August Bank Holiday weekend. It was also decided to combine the Free Family Sunday with the Brass explosion event which was due to be held over the same weekend. An expenditure budget of £45,000 has been approved. The financial arrangements for this event remain in place to ensure that the Town Council has no financial risk associated with the sale of tickets. The Festival wasn't able to take place in 2020 due to the Coronavirus. Budgetary provision has been made to support the Festival in 2021; subject to it being allowed to proceed if the Coronavirus limitations are relaxed. It has now been accepted that the Riverside Park isn't a site that can be sued to stage large scale concerts in a safe manner. Alternative sites are being explored to ascertain if a viable alternative is available in the town, the Town Council will then consider the future of this event.

In addition the Town Council is taking responsibility for the Newark Heart project as part of the Towns Fund initiative. This will enable a wide range of Town Council events and those staged by partner organisations to be brought together, enhanced with the aim of expanding the cultural offer provided in the town.

Risk – Town Council has a reputational risk to ensure that the programme of cultural events & entertainment are

delivered in a professional manner and attract people to attend both from the local community and visitors from further afield.

What are we already doing about it – The Town Council has agreed to employ two new officers to support this project and ensure that events are properly staged in a safe and effective manner.

What more can we do – monitor the events programme and assess the impact on the town centre economies and footfall of people in the town centre.

It is proposed that this risk is scored low probability and medium impact

Risk. No. 8 – New Housing Developments

Description – The District Council's long term Core Planning Strategy includes significant allocations of land in and around Newark for new housing developments. This will in the future lead to a significant increase in the population and a subsequent demand for services. Work has now commenced on the land allocated for housing to the South of Newark.

Risk – The Town Council is faced with an increase in demand for services without an appropriate corresponding increase in income from Council Tax to meet it.

What are we already doing about it – Newark & Sherwood District Council undertook a second review of the Town Council boundary in 2018, to reflect the new housing developments. The new Town boundary came into place on 1st April 2019; this incorporates all of the new housing development to the South of the Town. The Devolution Agreement includes an assumption that any new parks and open spaces which are provided in connection with the new housing development will be operated by the Town Council. The Town Council will be included in future discussions with regard to the location and extent of any new facilities or provision. Whilst they will be provided at the cost of the developers with some annual revenue support they will ultimately add to the Town Councils' revenue expenditure and portfolio of such assets. This may have a significant impact on the capacity of the Town Council to operate and manage a bigger and wider package of services.

What more can we do – The funding package for the Southern Link Road is now largely in place and the risk associated with this not being completed has reduced significantly. This position has been reviewed and reflected in the Town Council's Medium Term Financial Plan. This demonstrates that this risk can now be downgraded.

It is proposed that this risk is scored low probability and medium impact

Risk. No. 9 – Southern Link Road

Description – the major housing development on South of Newark includes a proposed Southern Link Road, effectively joining the A46 with the A1.

Funding for this road has now been fully secured which means that the Planning permission for over 3,000 properties can now be fully implemented.

Risk – the Devolution Agreement is predicated on the new housing development on land South of Newark delivering over 3,000 new houses, if this is not achieved in a timely manner then the Town Council could still face a financial position over the next ten years where the Revenue Account could fall into deficit.

What are we already doing about it – the Town Council has considered and approved agreed a new Medium Term Financial Plan which demonstrates the possible financial difficulties towards the end of the twenty year Devolution Agreement. An understanding and appreciation of the potential longer term financial problems associated with this is a vital component in addressing this issue.

The Town Council has also created a Devolution Reserve Fund into which additional monies can be transferred to provide further financial support over the next ten years.

What more can we do – continue to monitor the delivery of new houses in this development and take any necessary adjustments to the Town Council's spending to ensure that the revenue account remains in balance.

It is proposed that this risk is scored as medium probability and medium impact.

Risk. No. 10 – Devolved Services, Markets Income

The transfer of the Markets service included a budget for income totalling £275,000 in the 2016/17 financial year. This is the largest single item of income which the Town Council generates from the services it provides. Since then the level of income generated from the Market has declined; the original estimate for the 2020/21 financial year was £230,000.

Furthermore the Coronavirus Lockdowns have had a significant impact on the Market with only food & essential traders being able to stand for most of the year. This has resulted in a loss of income in the order of £130,000. Whilst it was hoped that income will recover somewhat during the 2021/22 financial year it has not yet got back to previous levels, the budget for the 2022/23 financial year

has been set at £150,000 which is a reduction of some £125,000 from the level achieved when the service was initially transferred from the District Council.

What are we already doing about it – the Town Council has continued investment in the promotion budget for the Market which has enabled more entertainment to be out on to add value to the Market offer. This appears to have been successful resulting in an increased footfall being experienced particularly at the Saturday market.

The Town Council has approved an increase in the minimum level of General Revenue Reserves to £200,000 in order to provide additional financial protection from such an occurrence happening again in the future.

What more can we do – The Town Council's decision to take the lead in the Newark Heart project will provide new opportunities to further enhance the entertainment & cultural offer in Newark a which in turn should further increase footfall in the town centre.be invited to review the Market service and consider a number of possible initiatives to diversify the offer provided by the Market.

It is proposed that this risk is scored as medium probability and medium impact.

Risk No. 11 – Workforce Succession Planning

Description – The Town Council now has 7 employees who work in management or administrative positions.

This represents a reduction of 4 employees arising from the redundancies that have been made over the last year. However the majority of the remaining staff are over 60 years of age and are therefore approaching retirement age.

Risk – If these employees were to retire over a relatively short period of time there is the possibility of a significant disruption to the management capacity and skills available to the Town Council which are required to ensure that service delivery is maintained.

This risk has been highlighted by the difficulties experienced in recruiting a new Town Clerk

What are we already doing about it – The Town Council has also approved the creation of a new Finance Officer post which will enable the Town Clerk to focus on the overall management of the Town Council and bring more resilience into the financial administration & operational activities.

What more can we do - Undertake a further staff review to reflect the changes that have occurred over the last year.

It is proposed that this risk is scored at medium probability and high impact.

Risk No. 12 – Buttermarket Future Use

Description – The Buttermarket is a very high profile iconic building located in the heart of the town centre. The Town Council has re-affirmed that its preferred option is to enhance the Town Museum.

Risk – The Town Council faces a reputational risk if it is not perceived that this iconic building remains under occupied and hasn't got an agreed longer term meaningful use.

What are we already doing about it – the Town Council has engaged professional support to advise on options for the design and layout of the Buttermarket and the Town Hall to identify the space available for an expanded Museum together with physical building works that would be required to facilitate such a project. A further piece of work has been procured to start to build up a business case for an expended museum including the options for its operation and the financial implications associated with it.

What more can we do – Review the advice received with regard to the physical works presented for the Town Hall & Buttermarket and the feasibility studies that will inform the associated costs.

It is proposed that this risk is scored at medium probability and high impact.

Risk No. 13 – Coronavirus

Description – The Coronavirus has had significant impacts on the Town Council as an organisation, it has already adjusted to working against a backdrop of restrictions that were in place over the last two years. As the 'lockdown' is relaxed the Town Council will be faced with addressing how its operations and services are provided in the future.

Risk – The Town Council doesn't have sufficient capacity to deal with the organisational and operational issues that could arise over the next year whilst endeavouring to re-establish those services and events that have had to stop due to the Coronavirus.

What are we already doing about it – the Town Council has recently reviewed its staff structure to reflect the impacts of Coronavirus, further reviews will be undertaken when the new Town Clerk is in position.

Opening times of the Town hall have been reduced significantly, although this appears to have had little impact on the ability to deal with customers and has now been accepted as the norm.

Staff have been given the opportunity to work from home for part of their working week, this has been taken up positively and has been achieved with no detriment to the

services provided to the general public.

What more can we do – review the current methods of working for all services and staff. Provide additional support as and when required to ensure that all the necessary resources are in place and available to enable service continuity until a return to 'normal' activity is possible.

It is proposed that this risk is scored at medium probability and medium impact.

Risk No. 14 – Inflationary Pressures

Description – The Town Council set its budgets for 2022/23 and approved its Medium Term Financial Plan at its meeting on 23rd February. Whilst these financial decision were taken with the inclusion of an inflationary provision of 2.5% for 2022/23 and 2% thereafter, recent international events have indicated that we may be entering a period of higher inflation; current fuel prices have risen significantly over the last few months.

Risk – There is a risk therefore that inflationary pressures may have a negative impact on the Town Council's financial position in the medium term.

What are we already doing about it – A Medium Term Financial Plan is in place which demonstrates the forecasted Town Councils financial position for a number of years. A knowledge & understanding of this position is a good starting point and shows an awareness of the issues it will face and when.

We have entered into contracts with fixed prices for fuel supplies.

What more can we do – Monitor inflationary pressures more closely particularly as they impact on specific elements of the Town Councils expenditure.

This risk is scored as medium probability and high impact.

Agenda Item No: 8 **Committee Date: 16th March 2022**

FINANCE & GENERAL PURPOSES COMMITTEE

SUBJECT:	**INTERNAL AUDIT REPORT**
REPORT BY:	**INTERNAL AUDITOR**

1. Recommendations

1.1 Members are asked to accept the Internal Audit Report and endorse the proposed actions in response to the report's recommendations.

2. Second Half Year Internal Audit Report

2.1 In keeping with the proposed internal audit schedule approved by the Finance & General Purposes Committee on 14 July 2021 and the Town Clerk, reviews have been conducted of a number of control systems within the Town Council during the financial year 2021-22.

The systems selected for review in the second half year were:

1. Payroll - Processing
2. Payroll - Deductions
3. Leavers
4. Investments
5. Computer Systems
6. Allotment Income
7. Cemetery Income
8. Dorothy Bainbridge Trust Fund
9. Asset management
10. Petty Cash

2.2 Attached at Appendix 1 is my report on the control areas that have been reviewed together with recommendations to the Town Clerk, his response and target date for action where appropriate.

Based on the sample of items selected for testing during the audit (listed above), I am pleased to report that no major exceptions have been found. One or two minor recommendations have been included in the report that will go some way to tightening controls a little further.

3. Financial Legal, Equality, Risk & Environmental Issues

None.

Background Papers:	**Internal audit working papers**
Lead Officer:	**Ken Goddard** **Tel: 01636 684801** **Email:** ken.goddard@newark.gov.uk

INTERNAL AUDIT REPORT

System: Payroll Auditor: Ken Goddard Date January 2022

Control Objective 1: To ensure all payroll processing since the last audit has been carried out correctly

Ref	Expected Control	Actual Control	Test Findings & Recommendations	Council's Response And Date of Implementation
1.1	Payroll operations are carried out by 2 officers.	A Finance Assistant prepares the payroll and another member of staff checks it.	Evidence was seen during the audit that the payroll is prepared by a Finance Assistant and checked by the Town Clerk. Evidenced by signature. This was checked for 4 months from September-December 2021.	None required.
1.2	All staff are paid according to their grades and salary bands	A salaries payroll listing for the year is produced in April and used to control the monthly payroll runs	This was seen during the audit and used for producing the payroll for April &September 2021. A new scale of rates was received from the National Joint Council payable from April 2021.	None required
1.3	All promotions and salary increases are approved by the Council	All re-gradings etc are submitted to the F & P Committee for their approval.	None were seen during the payroll testing.	None required
1.4	All overtime claims are properly authorised.	All timesheets signed by manager.	All overtime paid in May 2021 was checked to timesheets and evidence seen by way of signature/initials authorising the overtime payments.	None required
1.5	The final payroll figures are monitored to identify and report any anomalies	The final Payroll reports are approved by a Senior Officer	Evidence was seen during the audit that the Town Clerk checks and signs that he agrees the payroll results.	None required
1.6	Before the credit transfer	BACS transfer report is	This reconciliation is part of the above agreement	None required

Ref	Expected Control	Actual Control	Test Findings & Recommendations	Council's Response And Date of Implementation
	is made, the BACS figures are matched against the payroll figures.	matched to the final net figures on the Payroll run.	check.	
1.7	The payment of the payroll is authorised by a senior officer before finalisation	By the Town Clerk and 2 Members	Payments via BACS were authorised by the Town Clerk for the payroll runs for September – December 2021.	None required
1.8	The Internal Auditor re-calculates the payroll run including any pay rise.	This was carried out during the audit	All aspects of the May 2021 payroll were thoroughly reviewed and agreed by the Internal Audit – rates, calculations, deductions etc. Spot checks for the September 2021 payroll run were also carried out.	None required
1.9	Monthly HMRC processes are carried out as per regulations	At the end of each payroll run, an e-mail is sent to HMRC together with listings of all income tax and NI deductions for each member of staff.	Copies of the exchange of e-mails were seen in the payroll files for May and September 2021. The figures used were checked back to the payroll process and found to be correct.	None required
1.10	The software and data is backed up to facilitate recovery of files.	After each monthly payroll process, data is written to a memory stick and stored in the fireproof safe for emergency purposes. However, no backup of the software is made.	The data for the payroll system is backed up each evening together with the rest of the Council's data files and retained in the fire-proof safe.	None required

INTERNAL AUDIT REPORT

System: Payroll Auditor: Ken Goddard Date October 2016

Control Objective 2: To ensure that all statutory and voluntary deductions are correctly deducted and paid away.

Ref	Expected Control	Actual Control	Test Findings & Recommendations	Council's Response and Date of Implementation
2.1	All Income Tax and NI contributions are deducted from gross salary	Statutory deductions are made from gross or taxable pay.	A review of the gross-net payroll figures showed all income tax and NI deductions. These figures were agreed to those e-mailed to HMRC as mentioned in 1.9 above.	None required
2.2	Income Tax is calculated using the latest advice from the Inland Revenue	Statutory deductions are made according to advice received from Central Government	New tax codes were used to calculate the tax deductions in the September 2021 payroll.	None required
2.3	Income Tax, employee NI and employer NI contributions are forwarded to the Inland Revenue by the deadline date.	Forwarded to Inland Revenue each month.	The sum of £9,205.50 in respect of income tax and NI deductions from staff and the employer's NI contributions, were sent to HMRC on 18 May 2021 for the May 2021 payroll run. The figures used were agreed back to the payroll figures.	None required
2.4	All occupational pension contributions by the employee are matched with an agreed amount from the employer.	Employer contributes 19.72% plus a fixed sum of £2,962.08 each month.	This figure was used to calculate the return to Notts CC for the May 2021 payroll.	None required
2.5	All occupational pension scheme deductions were made at the correct rate.	Employees' contributions based on a sliding scale.	The percentages for each member of staff were checked against the May 2021 payroll run and all deductions were based on the correct percentages.	None required

Ref	Expected Control	Actual Control	Test Findings & Recommendations	Council's Response and Date of Implementation
2.6	All pension deductions are forwarded to the pension provider	All deductions for pension are made to Notts County Council.	Superannuation deductions in respect of the May 2021 payroll run were sent to Notts County Council as follows: £2,176.21 for employees, £6,728.60 for the employer's contribution plus the Employer's Deficit of 2,962.08, a total of £11,866.89. This figure appears on the bank statement on 17 June 2021.	None required
2.7	All voluntary deductions are authorised by the employee.	All deductions to pension schemes or unions etc are authorised by the employee's signature.	The employees' files hold the staff member's permission to make the voluntary deduction.	None required
2.8	All voluntary deductions are paid to the third party on a timely basis.	Paid quarterly to the 2 unions involved.	The figure of £259.05 in respect of seven members of staff was paid to UNISON on 30 June 2021 according to the bank statement, and this figure was agreed back to the deductions made in the April-June 2021 payroll runs.	None required
2.9	All Direct Earnings Attachments (DEA) are deducted from the employee(s)' net pay in accordance with the calculation set down by the DWP.	Deductions are made as per instructions received from DWP.	There were no Direct Earnings Attachments in place at the present time.	None required
2.10	All deductions made against DEAs are paid within the time-scale laid down by the BWP.	Payments should be made to the DWP by the 19th day of the month following the month in which they were deducted.	N/A	None required
2.11	P60 End of Year certificates are issued at	All P62 certificates are printed and handed to	Copies of the P60 Certificates were seen during	None required

	the end of each year.	members of staff.	the audit.	
2.12	All year-end figures are reported to HMRC.	Total figures for the year for Income Tax and NI (ee & er) are sent to HMRC at the end of each financial year.	The returns for the year 2021-2021 were seen during the audit. The total figures were checked back to the payroll figures and were seen to be correct.	None.

INTERNAL AUDIT REPORT

System: Payroll Auditor: Ken Goddard Date: January 2022

Control Objective 3: To ensure all LEAVERS since the last audit have been removed from the payroll correctly

Ref	Expected Control	Actual Control	Test Findings & Recommendations	Council's Response and Date of Implementation
3.1	All employees resign by submitting a letter of resignation.	Yes, a letter of resignation is required.	There have been no resignations during this audit period. The focus was on those members of staff who have been made redundant or retired over the past 2 years. Of the eleven members of staff affected, I elected four to examine.	None required
3.2	All resigning employees give/work an appropriate period of notice.	Yes, in most cases one month's notice is required to be given.	N/A	None required
3.3	Members of staff made redundant are advised in advance	Letters were sent to all members of staff who were being made redundant informing them of that fact.	Letters on staff files seen during the audit.	None required
3.4	All leavers are invited to have an exit interview.	This is the policy and all staff made redundant were invited to have an Exit Interview if they so desired.	Interviews had been carried out between the Town Clerk and those affected employees and so no requests for an exit interview were received.	None required

3.5	Leavers are paid all entitled holidays in their final salary.	Leavers are paid to their leaving date plus any outstanding holiday entitlements and TOIL etc.	Staff made redundant were paid all their full entitlement on their last working date. This was checked against the relevant payroll run.	None required
3.6	Final salary is calculated to final day of employment.	Final salary is calculated to leaving date	The payroll runs showing their final salary were checked during the audit and staff were found to have been paid correctly.	None required
3.6	All passwords, keys etc are changed/obtained from the leaver.	All keys etc are handed in to the line manager on last working day.	Keys and fobs were handed in and all access codes into the IT system were removed.	None required
3.7	Leavers are dormant on the payroll following their final salary payment.	Leavers are not paid after their leaving date.	The subsequent payroll runs were checked to ensure no further payments were made.	None required

INTERNAL CONTROL QUESTIONNAIRE

System: Investments Auditor: Ken Goddard Date: January 2022

Control Objective 4: To ensure that the Council has effective management controls over its investments

No	Expected Control	Actual Control	Test Findings & Recommendations	Council's Response and Target Date
4.1	The Council has an investment policy document detailing the Council's strategy regarding the investment of funds.	The Council has a policy that determines the procedures to be followed in investing surplus monies for the Council.	The latest Investment Policy was prepared and approved by the Finance & General Policy Committee at its meeting on 10 February 2016. The major change was to transfer funds available for investment from NatWest Bank savings account to CCLA. Two funds were opened – Property Investment Fund and Cash Deposit Fund.	None required

4.2	Regular reports on investments, and their returns are submitted to a managing body	On regular intervals, the Town Clerk reports the returns from both Funds to the Finance & Policy Committee.	An update on the investments with CCLA was provided to the Committee at their meeting on 10 March 2021.	None required
4.3	When funds are moved by automatic transfer, they are properly authorised and a check is made to ensure the transfer was made correctly.	Automatic transfers are made between the Council's current A/c and Business Reserve A/c to maximise interest on surplus funds. This is evidenced by the bank statements	The balances for the two funds as reported on 10 March 2021 were as follows: <u>Property Fund</u> Opening balance 1 April 2020 was £2,279,920 Balance as at 28 February 2021 was £2,279,920. <u>Cash Fund</u> Opening balance 1 April 2020 was £150,000 Balance as at 28 February was £495,000.	None required
4.4	There is evidence that the Council is obtaining the best returns for their investments	The Town Clerk places funds in investment A/cs that maximise returns commensurate with risk.	Since the Council has been investing its surplus funds with CCLA, the returns have been much greater than previously with NatWest. The income up to 18 February 2021 was as follows: Property Fund = £69,642; Cash Fund = £863. Income received from the property fund for July-September 2021 totalled £19,176.13 and was verified on the bank statement on 29 October 2021. In a previous Audit Report it was recommended that in addition to the income earned from the investment in the Property Fund, Members were kept up to date with its value, as the value of such investments could go down as well as up. It was noted that this recommendation had been implemented and at their 10 March 2021 meeting, Members were informed that although the value of the investments had been reduced by £235,000, this was adequately compensated	None required.

			by the increased income over that period of nearly £400,000. This update of the value of the fund will be presented to Members twice a year.	

INTERNAL CONTROL QUESTIONNAIRE

System: Computer Systems Auditor: Ken Goddard Date: January 2022

Control Objective 5: To ensure that the Council has secure and effective computer systems to support the Council's services

No	Expected Control	Actual Control	Findings and Recommendations	Council's Comments and Target Date
5.1	The Council has an IT policy that spells out access, usage, security and contingency.	The Council has a written Policy created on 17 November 2007.	The IT Policy was last reviewed and updated in January 2018. **RECOMMENDATION** This policy is ready for its 4-year review this coming year.	This policy should be reviewed in the 2022/23 financial year by the new Town Clerk.
5.2	There is an officer appointed as IT Manager.	The Office Manager (PA to the Town Clerk) has included within her duties, the responsibility for the Council's IT systems.	Part of her job-description.	None required.
5.3	Training has been provided for staff to make full use of the IT capacity.	Training is provided on an on-going basis as and when the need for further IT training is identified.	There have been no staff who have joined the Council so no additional training has been required. The Council has recently installed a new server but no training is required.	None required.
5.4	All individual systems i.e. payroll, accounts, etc are accessed only by authorised staff using a unique ID and password.	All staff have a unique ID and password. The system forces staff to change their passwords every month. New staff are put onto the system and all leavers are removed from the system by the IT	Yes, all staff have their own unique ID and control over their passwords. All IT stations have a "sleep" facility to lock the screen after a certain length of no-activity. All users are forced to change their passwords at required	None required

		Manager.	intervals and there are protocols regarding what can constitute an acceptable password.	
5.5	All crucial files are backed-up on a regular basis and kept off-site.	At mid-night, the system automatically makes a copy of all data and system files onto tape and SCS send an e-mail to confirm this. The tape is taken off-site and return 48 hours later for re-using. It is locked in the safe as part of a ten-day rotation sequence.	There is a 2 weeks rotation cycle for back-up tapes. Last night's copy-tape will be taken home today by the Town Clerk's PA, and yesterday's would be put on the safe. The tape for 10 days ago will be used to backup this evening and so on. All e-mails are backed up on an Office365 Cloud.	None required
5.6	SCS confirm that the overnight back-up was carried out successfully.	SCS send an e-mail message to the Council after each back-up confirming it was done successfully.	SCS send an e-mail confirming that the back-up took place satisfactorily. A copy on the latest confirmation is in the working papers.	None required
5.7	A contingency plan has been prepared and tested in the event of a total failure of the IT system.	The IT Policy document does not include a section on Contingency Planning.	Arrangements have been made with SCS in the event of an emergency. SCS can have the IT systems up and running in 72 hours.	None required
5.8	Security measures are in place to protect the hardware,	All hardware is given a unique ID number. The access to IT equipment is protected by the general office access security.	Each station has its own manufacturer's unique reference number. Staff ensure all windows and doors are locked overnight.	None required
5.9	The Server is kept secure and well protected.	The Server is kept locked in a separate cupboard	The door to the server room was checked during the audit and was found to be locked shut.	None required
5.10	An agreement exists with a reputable supplier to carry out preventive and corrective maintenance work on the IT system, hardware (including LAN) and software.	Service agreements are in existence with our IT suppliers, SCS, under which they maintain the server and 9 work stations. The agreements also cover for a one-hour monthly visit throughout the year.	An annual contract between the Council and SCS is agreed at the start of each financial year. The current one covers the Server and the work-stations: *12 months Premium Extended Onsite Warranty for Server – Labour only;	None required.

		The current agreement is for a 12 month period.	*12 months Standard Extended Onsite Warranty for Work stations – Labour only; *12 months Remote Server Monitoring; *12 months Remote Service Administration; *One year one hour monthly visits. The cost of the current contract is £4,995.	
5.11	The IT system is regularly monitored for health and performance.	As part of the annual contract SCS carry out remote server monitoring using a software package called Nimbus. There are a number of critical alerts which will be notified to the Council within one hour of their being discovered. Otherwise a monthly report will be sent showing then overall health of the server measured against criteria.	A copy of the monthly report for December 2021 was seen during the audit to confirm this contractual monitoring is being carried out.	None required.
5.12	Adequate insurance has been taken out to cover hardware, software and business loss from IT disasters.	IT equipment is covered within the overall policy the Council has with Zurich.	The policy with Zurich Municipal for 2021-2022 year includes cover of £12,775.72 for office, computer and sports equipment.	None required

INTERNAL CONTROL QUESTIONNAIRE

System: Allotment Income Auditor: Ken Goddard Date: February 2022

Control Objective 6: To ensure that all payments for Allotments are correctly invoiced, received and banked.

Ref	Expected Control	Actual Control	Test Findings & Recommendations	Council's Response and date of Implementation
6.1	Rates for allotment rentals are approved by Members	The F&GP Committee considers the level of Allotment rents in July each year to set the new rents for implementation in October of the following year.	In July 2020 the Town Clerk agreed an increase of 4% in Allotment Rents for the period 1st October 2021 to 30th September 2022. This decision was taken as a Delegated matter by the Town Clerk, following consultation with the, then, four Group Leaders. This unusual departure from the normal decision making processes was a result of the Coronavirus restrictions.	None required
6.2	Allotment holders are advised of the approved new rates 12 months in advance.	Each year in September allotment holders are sent a letter advising them of the new rates that will apply for the following year.	Letters sent to allotment holders in September 2020 advising them of the rates from 1st October 2021 was seen during the audit indicating that there would be a 4% increase in rents A sample of the increased rents was recalculated and all were found to be correct. .	None required
6.3	The RIALTAS system produces an agreement and invoice annually to allotment holders to renew their licence.	Tenancy Agreements and invoices are produced and sent to the holders	Copies of signed agreements seen during the audit	None required
6.4	A receipt it issued for all payments received	An official receipt is given for all payments received.	Fourteen Tenancy Agreements were reviewed during the audit and receipts had been issued for all payments	None required
6.5	Receipts are accounted for	Payments are banked as soon as	Payments for the selected 14 agreements	None required

	and banked as soon as possible.	possible.	were followed to the bank statement. This included one payment of a Bond for £20.00	

INTERNAL AUDIT REPORT

System: Cemetery Income Auditor: Ken Goddard Date: February 2022

Control Objective 7: All payments for Cemetery facilities correctly invoiced, received, recorded and banked.

Ref	Expected Control	Actual Control	Test Findings & Recommendations	Council's Response
7.1	All bookings for Interments or Cremations are logged in a diary.	For interments/cremations, a phone call from the Funeral Director is recorded in the diary. The Notice of Interment from the Funeral Director arrives together with the Certificate of Burial from the Registrar and is filed. Instructions for Interment form is faxed to the grave diggers and to the Cemetery Operatives stating date and plot No. Both parties confirm receipt.	The Epilog system records all applications for interments and cremations received from the local Funeral Directors.	None required
7.2	An invoice is raised to cover the cost of the cemetery services.	Information from the Funeral Director is entered onto the Epilog system which after the burial will produce an invoice based on the official fees.	Of the 38 bookings from July-September 2021, 8 were chosen for testing. No exceptions were found.	None required
7.3	A Grant of Exclusive Right is issued for new graves.	If it is a new plot, a Grant of Exclusive Right of Burial is raised and sent to the grave owner together with a letter, the bottom part of which the owner signs as receipt and returns to the Council.	Yes this procedure is followed in all cases.	None required

7.4	Applications are received for all memorials for placement on graves etc.	The Memorial Mason will submit his application form showing the design and size of the memorial and the wording. The application will be approved, and a permit is sent to the mason together with an invoice.	The applications are checked for compliance with the cemetery regulations before being approved. A sample of 7 was chosen from the 28 applications received from July-September 2021 and followed through to bank statements via invoices and receipts. No exceptions were noted.	None required
7.5	An application form is submitted from private individuals for tablets to be placed in the Garden of Remembrance.	Once the application has been approved and money received, the tablet is ordered from Lidsters.	Of the 19 orders for tablets, a sample of 5 orders was chosen for testing. The correct rate was used in all cases and payments from individuals was received before the order sent to Lidsters. Orders from funeral directors was paid in time and banked. No exceptions were found.	None required
7.6	The correct fees are used when raising the invoice	A list of current fees agreed by the Environment Committee is used when calculating the fees etc.	All fees stated on the invoices matched with the approved table of fees.	None required
7.7	All fees are approved by the Environment Committee	Rates charged for cemetery use are approved by Members.	At their meeting on 10 February 2021, Members agreed to increase existing charges by 3%.	None required
7.8	Payments are recorded and banked correctly.	Cheques and cash are banked the same day and follow the same procedure as for income from lettings.	All selected items were checked through to receipt book, daily banking ledger and the bank statements. No exceptions were found.	None required
7.9	All customers are provided with receipts for payments made.	Customers are provided with a signed receipt when payment received by the Council.	All payments received were covered by a receipt – evidenced by the copy in the receipt book.	None required

INTERNAL AUDIT REPORT

System: Dorothy Bainbridge Trust Fund Auditor: Ken Goddard Date: February 2022

Control Objective 8: To ensure that the Trust Fund is managed according to the terms of the Trust.

Ref	Expected Control	Actual Control	Test Findings & Recommendations	Council's Response & date of Implementation
8.1	The amount bequeathed to the Council is invested to earn interest	The sum of £56,018.10 was bequeathed to the Council under trust by Doris Bainbridge on 1 February 1997 The funds were transferred in February 2016 from the NatWest A/c earning 0.25% to a CCLA Local Authority Property Fund to earn increased returns.	£28,920 was approved by the Town Council for the installation of Christmas lights along the Castle grounds. An additional £1,000 as also donated towards the gatehouse project at the castle. The remaining balance of £26,098 was invested in the CCLA's Property Fund. This transfer was authorised by the Town Council at its meeting in February 2016. Paperwork confirming the transfer was seen during the audit.	None required
8.2	The investment is earning optimum interest commensurate with risk.	The monies are earning minimum amounts of interest.	Total income in the form of dividends from 30 April – 30 September 2022 was £1,001.80 The amounts was agreed back to the bank statement.	None required
8.3	The interest is used according to the terms of the Trust	The Terms of the Trust states that the Council is "to apply the net income of the Trust Fund in assisting the upkeep, in the interests of social welfare as a public recreation ground, the grounds of Newark Castle for the use of the inhabitants of the neighbourhood and visitors".	A copy of the Trust Fund is in the working papers. Earnings from the investment of the grant funds have been used to finance the Summer band concerts at the Castle.	None required
8.4	Control over the use of the Trust Fund resides with the Full Council.	At its meeting on 12th October 2011, the Town Council agreed that "decisions concerning the application of Trust funds be	A copy of the minute – ref No TC34/11/12 is held in the working papers.	None required

		retained by the Full Town Council".		
8.5	All expenditure from the Trust Fund is authorised by the Full Council.	Recommendations from the Town Clerk regarding the disposition of the funds are submitted to the full Town Council each year.	A full report was presented to the Town Council at its meeting on 23 June 2021 showing the capital with CCLA and he interest earned which was transferred to an Interest Reserve a/c to be used for future Band Concerts.	None required
8.6	Regular accounts are maintained for the Balance and interest earned from the Trust Fund.	CCLA provides monthly returns showing the value of the trusts and the interest earned that month.	Returns seen during the audit. See 8.2 above.	None required

INTERNAL CONTROL QUESTIONNAIRE

System: Asset Management **Auditor: Ken Goddard** **Date: January 2022**

Control Objective 9: To ensure registers of assets are adequately maintained.

No	Expected Control	Actual Control	Test Findings & Recommendations	Council's Response and date for Implementation
9.1	A statement exists explaining the Council's Policy regarding the management of assets	Section 4 of Financial Regulations and section 2 of Code of Financial Procedures explains the policies regarding management of assets	Financial Regulations and the Code of Financial Procedures seen.	None required
9.2	This policy includes a procedure for depreciation	The rate of depreciation of each type of asset is shown on the Financial Asset register.	During the review of the year-end accounts for the financial year 2014-2015, Grant Thornton, the external auditors, pointed out that local councils are required to account for fixed assets at purchase cost and not at their depreciated book value. This has now been followed in the	None required

			asset register.	
9.3	This policy statement is subject to regular, at least annual, review and update.	There is no policy for the reviewing of policies.	It was agreed that a cyclical approach to reviewing all policies should be undertaken.	None required
9.4	All assets are purchased with proper budget approval	Very few capital purchases are made, but they are carried out with full approval as part of the budget approval.	Copies of FPC and Council meetings approving the budget, including the purchase of new fixed assets are in the working papers. All purchases assets were checked back to the Nominal Ledger with no exceptions.	None required
9.5	All assets are marked with a unique asset ID No.	The Museum items are allocated a unique ID No and Cemetery assets are marked with a colour identification.	Observation and conversation with Deputy Town Clerk.	None required
9.6	A register is maintained of all assets	A financial asset register is maintained office equipment etc, An adequate register is maintained of the Council's treasures.	A register of all Council assets has been prepared for inventory and insurance purposes. The listing for 2020/21 was reviewed during the audit and figures agreed to the balance sheet for the financial year ended 31st March 2021.	None required
9.7	Periodic checks are made to ensure all assets on the register are still being used by the Council.	Section 2.4 Inventories in the Code of Financial Procedures, specifies that annual checks of the inventory against the assets should be carried out.	The asset register mentioned above is distributed to all managers so an inventory check can be carried out. There was no evidence that the check was fully carried out, and no reports were submitted. **RECOMMENDATION** After all assets have been checked, the completed form should be returned to the town Clerk.	Agreed will be included within the Year End accounting procedures for 2021/22
9.8	Periodic checks are made to ensure all assets are listed on the asset register	As above	See above	None required

9.9	The safekeeping and security of all assets is the responsibility of the asset custodian	Section 2.2, Security of Assets in the Code of Financial Procedures stipulates that each manager is responsible for maintaining security of assets.	Observation. It was noticed that the key-pad code had not been changed for some time and after several members of staff had left their employ. **RECOMMENDATION** The code to the key-pad should be changed as soon as possible and then on a regular basis thereafter.	Agreed now changed.
9.10	All assets are included in the Council's insurance policies	Regular valuations are carried out for insurance purposes.	The premium for 2021/22 was £26,104.74 up by about 2.54% over the previous year. Items on the asset register were checked back to the insurance policy documents. The value of all assets was increased by 1.3% for insurance purposes and all assets are adequately covered. It was noted that the Council has agreed a Long Term Agreement of three years with Zurich for which the renewal cost for 2022-2023 of £27,600.24 was reduced to £27,235.10.	None required
9.11	All disposals of assets are properly authorised and the income records.	Yes. The Financial Asset register reflects the disposal of assets	There were no disposals during the current financial year.	None required
9.12	The asset register is updated to record all disposals with date, sale proceeds etc.	Yes	N/A see above.	None required
9.13	**Lands & Buildings**: Have been registered with the Land Registry in the name of the Council; Deeds of title are held secure with Adequate insurance cover.	Asset values reviewed each year to arrive at the correct insurance cover.	The current policy with Zurich was reviewed during the audit and found to be adequate.	None required

9.14	**Plant & vehicles**: Registration documents are securely held; Essential insurance has been taken out;	Yes, documents are held in the finance office in the Town Hall for the following: Fiat Flat Lorry LF18 KWM John Deere Tractor FG65 UOP Vauxhall Movano FV17 CXN Hyundai (Mayor's Car) FX69 XLP	Insurance documentation was seen and examined during the audit and all were found to be in order. The motor vehicle insurance covers any motor vehicle the property of or in the custody or control of the Policyholder.	None required
9.15	Stores Protection from damage & theft; Rotation to avoid waste & obsolescence. Unofficial issues of stores. Storage levels. Regular stocktaking. Disposals are authorised.	Yes. This applies to stationery items. Yes	Observation	None required

INTERNAL CONTROL QUESTIONNAIRE

System: Petty Cash Auditor: Ken Goddard Date: January 2022

Control Objective 10: To ensure that all payments through the petty cash system are for legitimate expenditures and are recorded properly.

Ref	Expected Control	Actual Control	Test Findings & Recommendations	Council's Response and date of Implementation
10.1	A sufficient float is kept in the petty cash to cover incidental expenditures.	A float of £500 is kept and topped up when below a working level.	The Petty cash box is kept and maintained in the Accounts Dept. Observation and a check of the petty cash box and records.	None required
10.2	All outgoings are supported by a receipt.	All payments are given in return for a receipt to prove the	All spends are supported by a receipt attached to the petty cash slip. This applied in every case for the period	None required

		expenditure has been made.	from November 2021 to 27 January 2022	
10.3	All expenditure is reported showing a split between net cost and VAT	All expenditure is recorded showing date, folio No, description, amount, recipient, net and VAT and budget head.	VAT is accounted for separately.	None required
10.4	VAT is identified and treated correctly.	VAT is shown separately.	In all cases, the VAT amount was shown separately and was calculated correctly.	None required
10.5	All expenditure is recorded and accounted for correctly.	All petty cash transactions are recorded in the ledger.	A spread sheet is kept showing all petty cash expenditure whenever the cash needs to be replenished. Seen during the audit for April-May 2021 and August – October 2021.	None required
10.6	The total of receipts plus cash in hand equals the float.	Receipts plus cash should equal £200 float.	The cash was checked during the audit and a discrepancy of £150.36 was found. This was due to an error in raising a cheque to top up the petty cash in June 2021. **RECOMMENDATION** The adjustment should be made to bring the cash and vouchers to agree to £500	Agreed now corrected.

Agenda Item No: 9 **Committee Date: Wednesday 16th March 2022**

FINANCE & GENERAL PURPOSES COMMITTEE

SUBJECT:	**INVESTMENT STRATEGY**
REPORT BY:	**TOWN CLERK**

1. Recommendations

1.1 Members are asked to:

(i) Approve the withdrawals and additional investments made during the current financial year to date,

(ii) To consider the performance of the investments achieved through CCLA.

2. Background

2.1 The Town Council's Investment Strategy was agreed in February 2016 by the Finance & General Purposes Committee.

It was agreed at that meeting to appoint the Charities, Churches and Local Authorities (CCLA) as an institution through which the Town Council's surplus funds should be invested.

2.2 CCLA operate two Funds:

(i) Property Investment Fund – designed for the investment of funds that will not be required in the short to medium term,

(ii) Cash Deposit Fund – for the short term investment of funds. These can be recalled with one day's notice.

2.3 This report is submitted to update Members on the Investment changes which have taken place in the financial year to date and the investment returns achieved.

3. Investment Changes

3.1 The amounts invested in the two Funds have been kept under review throughout the year. This exercise is aimed at keeping a minimum balance in the bank account to meet cash flow requirements thus maximising the return on surplus funds invested through CCLA.

The following investment changes have been made during the year to date:

	Property Fund	Cash Fund	Total
	£	£	£
Opening Balance 1st April	2,279,920	290,000	2,569,920
Withdrawals		-805,000	-805,000
Investments		1,115,000	1,115,000
Balance at 28th February	2,279,920	600,000	2,919,920

3.2 As Members will see from the above table, the Town Council's cash flow during the year has to date resulted in a net additional investment in the Cash Fund of £310,000. No changes have been made to the investments in the Property Fund.

4. Investment Returns

4.1 The table below sets out the returns achieved by the two Investment Funds up to 18th February:

	Property Fund	Cash Fund	Total
	£	£	£
Investment Income	60,063	214	60,277

Up to 28th February 2022

The estimated investment income for the full financial year is now:

	Property Fund	Cash Fund	Total
	£	£	£
Estimated Income	82,000	400	82,400
Estimated Annual Return	3.6%	0.1%	3.3%

4.2 Members will see from the above performance that the interest returns being achieved from these investments are significantly better than what would have been produced by leaving the funds in a bank account.

In addition the investments in these Funds spreads the financial risk across many more institutions than would have been the case leaving the money in the bank account.

4.3 When the original decision was taken to invest in the CCLA Property Fund; Members were advised that that value of such investments could go down as well as up and that there was a differential between the price paid for each unit invested and the price received when those units are sold.

The Table below compares the purchase price of units with the latest sell price:

Date	Investment £	Unit Purchase Price £	Unit Sell Price January 2022 £	Profit £
February 2016	1,278,920	3.1072	3.2677	0.1605
April 2018	1,000,000	3.2245	3.2677	0.0432

The above table shows that if the Investments were redeemed now they will have appreciated in value from the original investment value. The total appreciation in value as at January 2022 is estimated to be around £75,000, this is a pleasing position to be in and is the first time that the Unit Sell price has risen above the original purchase price.

This appreciation in value is however a 'paper' profit at present and will only be realised when the investments are redeemed.

It is not anticipated that the Town Council will need to recall any of the funds invested in the Property Fund over the coming year and therefore the profit at this point in time is only a

potential position.

Members are reminded that the value of these Property Fund units can go up as well as down, therefore there is no guarantee that the above 'profit' will be sustained in the future.

5. Investment Strategy

5.1 No changes or revisions of the Town Council's Investment Strategy, attached at Appendix 1, are proposed at the moment.

6. Financial Legal, Equality, Risk & Environmental Issues

6.1 Contained in the report.

Background Papers:	Investment Strategy working papers.
Lead Officer:	**Alan Mellor** **Tel: 01636 684801** **Email: alan.mellor@newark.gov.uk**

NEWARK TOWN COUNCIL

INVESTMENT STRATEGY

NEWARK TOWN COUNCIL

ANNUAL INVESTMENT STRATEGY

1. Introduction

1.1 Newark Town Council (the Council) acknowledges the importance of prudently investing surplus funds held by the Council. This has acquired even greater importance in the light of the credit crunch during 2008-09 and the risk involved is a major element to be considered.

1.2 This strategy complies with the arrangements set out in the Department of Communities and Local Government (formerly Office of the Deputy Prime Minister) Guidance on Local Government Investments 2004 and the Chartered Institute of Public Finance and Accountancy's Treasury Management in Public Services: Code of Practice and Cross Sectoral Guidance Notes and takes account of Section 15 (1) (a) of the Local Government Act 2003.

2. Investment Objectives

2.1 In accordance with Section 15 (1)(a) of the Local Government Act 2003, the Council will have regard (a) to such guidance as Government Ministers may issue from time to time and (b) to such other guidance as Government Ministers may by regulations specify.

2.2 The Council will aim to achieve the optimum return on its investments commensurate with proper levels of security and liquidity and be consistent with avoiding any major risks.

2.3 All investments will be made in sterling.

2.4 The Department for Communities and Local Government maintains that borrowing of monies purely to invest, or to lend and make a return, is unlawful and this Council will not engage in such activity.

2.5 Where external investment managers are used, they will be required to comply with this strategy and will have to be authorised and regulated by the Financial Services Authority. Where the Council uses Brokers to carry out the transactions on their behalf, they cannot and do not offer investment advice but simply act as an intermediary.

3. Specified Investments

3.1 Specified investments are those offering high security and high liquidity, made in sterling and which must mature within one year, will be invested for a period no longer than that proposed in the cash flow projection. These must be made in high credit-rated financial institutions, as measured by a credit rating agency such as Fitch. The credit rating for the institution should be either AAA, AA, A or BBB (F1, F2 or F3) which indicates relatively low to moderate credit risk. These investments can be used with minimal procedural formalities.

3.2 For the prudent management of its surplus balances, maintaining sufficient levels of security and liquidity, Newark Town Council will use:

- Deposits with banks, building societies, local authorities or other public authorities
- Deposits in securities which are guaranteed by the Government.

3.3 The limit of any such investment will be restricted to £500,000 with any one particular institution or such other sum as the Council specify from time to time. It should be noted that the Government guarantee of £50,000 which applies to private investors does not apply to bodies such as the Council.

4. Non Specified Investments

4.1 These investments have greater potential risk and mature after any period longer than 365 days – examples include investment in the money market, stocks and shares or with bodies which do not have a high credit rating.

4.2 Given the unpredictability and uncertainties surrounding such investments, Newark Town Council will not use this type of investment without a Council resolution stating otherwise.

5. Liquidity of Investments

5.1 The Responsible Financial Officer will determine the maximum periods for which funds may prudently be committed to ensure that the Town Council has access to funds as and when required to meet its cash flow on a continuous basis.

6. Town Council Policy

6.1 The Town Council appointed the Charities, Churches and Local Authorities Investment Management Ltd. (CCLA) as an institution for the external investment of surplus funds, at the meeting of the Finance & Policy Committee on 10th February 2016.

6.2 The CCLA provides an opportunity for the Town Council to invest cash in a Deposit Fund which spreads the investment risk over a wide range of banks and other financial institutions. This reduces the investment risk associated with holding deposits in just one institution such as the Town Council's bank.

6.2 Investing in this Cash Deposit Fund provides the opportunity of achieving a higher return than would be achieved through holding surplus funds in deposit accounts with its bank.

6.3 CCLA also have a Local Authority Property Fund which provides an opportunity to invest in property that should give an even higher return for any funds that will not be required to be returned over the medium to longer term.

6.4 The Finance & Policy Committee approved the initial investments of £1.25m in the Local Authority Property Fund and £1.65m in the Cash Deposit Fund.

6.5 Delegated Authority is granted to the Town Clerk, in consultation with the Chairman of the Finance & General Purposes Committee to move funds, both in and out, of the Cash Deposit Fund in line with the continuous review of the Town Council's cash flow.

6.6 Further investment in the Property Fund should be subject to a report and decision of the Finance & General Purposes Committee.

7. Internal Controls

7.1 On a quarterly basis and/or as existing investments mature, the Responsible Financial Officer will prepare a current cash flow projection indicating any future suggested investments. This projection will be authorised in written form by both the Responsible Financial Officer and Chairman of Finance & General Purposes Committee.

7.2 The Responsible Financial Officer will then act on this authorisation and proceed with any further investments as agreed. A copy of the confirmation of the investment from the financial institution will be initialled by the Chairman of Finance & General Purposes Committee and attached to the authorisation of the investment.

8. End of Year Investment Report

8.1 The Annual Strategy for the coming financial year will be prepared by the Responsible Financial Officer and presented to a Finance & General Purposes Committee meeting each year for approval.

The Responsible Financial Officer will report on the investment performance to the Finance & General Purposes Committee listing details of each investment and interest earned on a half yearly basis.

9. Review and Amendment of this Strategy

9.1 This Strategy will be reviewed annually.
9.2 The Council reserves the right to make variations to the Strategy at any time.

This strategy has been reviewed and agreed with the Council's Internal Auditor.

Alan Mellor – Town Clerk and Responsible Financial Officer
February 2022

Agenda Item No: 10 **Committee Date: Wednesday 16th March 2022**

FINANCE & GENERAL PURPOSES COMMITTEE

SUBJECT:	**NEWARK IN BLOOM – HANGING BASKETS**
REPORT BY:	**TOWN CLERK**

1. Recommendations

1.1 Members to are asked to consider;

(i) The fee for the provision of a hanging basket for this summer

(ii) If the hanging basket scheme should be subsidised this year.

(iii) If it is subsidised at what level.

(iv) Note the current position with peat free compost

2 Background

2.1 The Town Council has traditionally offered businesses the opportunity to have hanging baskets supplied, installed, watered and maintained throughout the summer, for a fee. The presence of floral baskets enhances the ambience of the town centre and helps with the towns entry into the annual East Midlands in Bloom campaign. The baskets are always well received and undoubtably add a splash of colour to the street scene.

3 Previous history

3.1 **2019**

Up to and including 2019, hanging baskets were charged out at a rate that covered the cost of their supply, watering and maintenance. Baskets were not subsidised.

2020

In March 2020 the Covid restrictions came into force, and by summer many businesses were forced to close. Those that were allowed to open found trading extremely difficult and financially challenging. The Town Council took the decision to provide all previous customers with baskets, free of charge and despite a very difficult working environment the Town centre looked very similar to 2019. Businesses were extremely grateful for the gesture.

2021

In 2021, trading was again difficult. Restrictions were easing but some were still in place. Covid survival grants were available and these were used to provide some support for hanging baskets in the town centre.

4 Current situation.

4.1 Covid restrictions are now lifted and businesses are slowly seeking to return to pre covid trading but many are still struggling. It is difficult to assess what the take up for hanging baskets will be in 2022 but it unlikely to be as high as it was pre covid.

4.2 In light of the continued difficult trading conditions, it is suggested that Members may wish to consider a phased return to charging a full fee. For example a phased re-introduction of charges on a sliding scale, say, a 50% reduction in 2022, a 25% reduction in 2023 and then full price in 2024.

4.3 For several years now the nursery that supplies hanging baskets has not increased their prices and does not intend to again this year. The cost price of a hanging basket to the Town Council will therefore remain at £38 plus VAT in 2022.

In 2019, the last year the Town Council charged for baskets, the charge to customers was £68 plus VAT.

4.4 In 2019 business's bought 185 hanging baskets and the Town Council had 45 baskets of our own. A watering crew of two are employed from June to the end of September, and a dedicated vehicle costs around £10,000 per annum..

5 Peat Free Compost - Background

5.1 The Government intends to phase out compost containing peat for domestic customers by 2024 and 2028 for commercial customers.

The Town Council currently uses two nurseries for summer plants, one providing the hanging baskets and the other servicing the black ground-based planters in and around the town centre. Both nurseries have carried out small trials of peat free compost and report similar success's and issues.

The Town Council trialled peat free compost last year. The tubs on the Riverside last summer used locally sourced 100% peat free compost (MCR Swinderby), with blood, fish, and bone meal added from the start. Compost containing peat does not normally require additives, other than feed in the water. They performed satisfactorily up to the point where they were vandalised mid-August.

MCR, and probably other sources, can provide commercial quantities but cannot guarantee consistent quality.

Up to a few years ago, commercial compost was usually around 60-70% peat, 30-40% other materials. This has slowly evolved to 30% peat and 70% other material. 100% peat free is still being pursued commercially but none of the big commercial suppliers are currently willing to provide peat free compost in commercial quantities. There is little doubt that there is a race on amongst suppliers to be the first to provide 100% peat free compost in commercial quantities.

There are some good 100% peat free products available, and both nurseries have tested a sample, but the materials are only available for the domestic market, they are not currently available in commercial quantities.

Consumer testing suggests the material based on recycled waste that is available commercially is very inconsistent quality, does not retain water very well, some products when analysed have harmful chemicals in them and have provided limited ability to support plants.

There are products available that are based on sustainable virgin materials such as sheep's wool, heather, coconut fibre (coir), wood fibres and the like but these are currently in none

commercial quantities.

The issue of peat free compost was discussed at the recent East Midlands in Bloom AGM, who are sponsored by and had a representative of the Royal Horticultural society present. The delegates present at the meeting represented both small and large communities and it was evident that some of the smaller groups had found and were successfully using peat free materials but all the larger users were struggling to find suppliers. Newark is classed as a large user in this context.

There is a risk that if the Town Council and communities use unproven products their planting schemes may fail prematurely.

The meeting recognised the issues of using peat free compost and agreed to share information about any trials that individuals have carried out, or suppliers that claim to be able to provide peat free compost. Newark will be included in the circulation of information and the information passed onto the nurseries.

6 Peat Free Compost – Now & Future Use

6.1 Both the Town Councils' suppliers are currently using compost with 30% peat and 70% other material. The compost is reliable and has given good results over the past three years.

Both the suppliers are also actively trying to find compost with lower peat content available in commercial quantities. This is not only for our benefit but also being requested by their other customers

Town Council officers are receiving information from a wider horticulturally based network.

Officers could technically specify peat free compost, starting from next year, (this year's supply is already at the nursery or on site) but that will risk putting what is widely recognised as a good floral display, at a significant risk of failure.

As there is a significant amount of work being done by the compost providers, nurseries and Town Council officers it is suggested that the current situation is allowed to develop and another report is brought back to this committee as and when a peat free compost becomes commercially available. Speculation aired at the EMIB AGM, suggests it will be in place ahead of the Government deadline of 2028.

7. Financial, Legal, Equality, Risk and Environmental Issues

7.1 The financial and risk implications are contained in the report. There are no legal or equality issues associated with this report.

Background Papers:	**None**
Lead Officer:	**Alan Mellor** **Tel: 01636 684801** **Email:**

Agenda Item No: 11 **Committee Date: Wednesday 16th March 2022**

FINANCE & GENERAL PURPOSES COMMITTEE

SUBJECT:	**TOWN TWINNING**
REPORT BY:	**TOWN CLERK**

1. Recommendations

Members are asked to consider the invitation received for the Town Mayor to attend a twinning celebration:

(i) Emmendingen - from 30th June to 4th July and, if approved, decide upon the official delegation for this visit and approve the estimated expenditure as set out in the report.

2. Background

2.1 An invitation has also been received from the Oberburgermeister of Emmendingen to attend a celebration of the 30th anniversary of their twinning agreement with Sandomierz.

The celebration of this anniversary was to have taken place on 25-28 June 2020, however due to the Coronavirus restrictions it couldn't be held.

This Committee considered the original invitation for this celebration at its meeting held on 4th March 2020, when it was decided to decline it.

If the Town Council wishes to be represented at the event the official delegation is usually made up of the Town Mayor, their Escort and the Town Clerk. I already have holiday commitments over this weekend and will not be in a position to accompany the Town Mayor if it is decided to accept this invitation.

I anticipate that the travel costs would be around £450 for such a delegation; it is usual for the accommodation costs to be met by our hosts.

3. Financial, Legal, Equality, Risk & Environmental Issues

The cost of the proposed twinning visit is estimated to be around £800 and can be met from the approved Twinning budget of £1,000.

Background Papers:	**Letters of invitation.**
Lead Officer:	**Alan Mellor** **Tel: 01636 684801** **Email: alan.mellor@newark.gov.uk**

Agenda Item No: 12 **Committee Date: Wednesday 16th March 2022**

FINANCE & GENERAL PURPOSES COMMITTEE

SUBJECT:	**TOWN MAYOR'S CHAIN**
REPORT BY:	**TOWN CLERK**

1. Recommendations

1.1 Members are asked to consider:

(i) Whether or not to add a pendant to the Town Mayor's Chain to mark the Platinum Jubilee of Queen Elizabeth's reign.

2. Background

2.1 The Town Mayor's Chain of office currently is made up of a number of individual links with two special links;

(i) The one at the back commemorates Alderman Becher Tidd Pratts 5th term of office as Town Mayor in 1887 and who presented the Chain to the Town Council,

(ii) The one at the front commemorates the visit of King George V to Newark in 1928 and was presented to the Town Council by Charles Henry Dale, who was the Town Mayor in that year.

2.2 The Town Council has traditionally used Fattorini's of Birmingham for all of its civic regalia requirements such as Past Mayor's Badges etc.

Fattorini's have recently promoted a pendant which celebrates the Platinum Jubilee of Queen Elizabeth II; these are intended as an addition for Councils to use as part of their own Civic Regalia and are a permanent symbol to celebrate her achievement.

2.3 If Members are minded to support an addition to the current Town Mayor's Chain, Fattorini's have confirmed that this would be possible.

A request has been made for them to submit artwork of how this could look on the Town Mayors' Chain and will be tabled at the meeting along with the cost.

3. Financial, Legal, Risk, Equality and Environmental Issues

3.1 The Town Council has a dedicated budget for; Badges/Shields/Insignia, with sums of £2,000 and £2,050 approved for the 2021/22 & 2022/23 financial years.

Background Papers:	Civic Regalia files.
Lead Officer:	**Alan Mellor – Town Clerk** **Tel: 01636 684801** **Email:** alan.mellor@newark.gov.uk

Agenda Item No: 13 **Committee Date: Wednesday 16th March 2022**

FINANCE & GENERAL PURPOSES COMMITTEE

SUBJECT:	**CLIMATE CHANGE WORKING GROUP**
REPORT BY:	**TOWN CLERK**

1. Recommendations

1.1 Members are asked to:

(i) Review the Membership of the Climate Change Working Group and re-appoint the membership as appropriate,

(ii) Consider any matters referred to this Committee from the Climate Change Working Group which is meeting prior to this meeting.

2. Background

2.1 I reported to the last full Town Council meeting that there had been a change to the Political Balance on the Town Council which is now:

Conservative Group – 7 Members

The Alliance Group – 6 Members

Labour Group – 4 Members

Un-aligned Independent – 1 Member

2.2 The new Political Balance when applied to the positions on Climate Change Working Group gives the following allocation of seats:

Conservative Group – 2 Members

The Alliance Group – 2 Members

Labour Group – 1 Members

2.3 The current membership of this Working Group is as follows:

Cllr E Cropper – The Alliance Group

Cllr J Henderson – The Alliance Group

Cllr J Lee – Conservative Group

Cllr J Olson – Labour Group

Cllr S Vickers – Un-aligned Independent

Members are invited to review the membership of this Working Group and re-appoint Members as appropriate.

3. Financial, Legal, Risk, Equality and Environmental Issues

3.1 None.

Background Papers:	None.
Lead Officer:	**Alan Mellor – Town Clerk** **Tel: 01636 684801** **Email:** alan.mellor@newark.gov.uk

Agenda Item No. 14 **Committee Date: Wednesday 16th March 2022**

FINANCE & GENERAL PURPOSES COMMITTEE

SUBJECT:	**EXCLUSION OF THE PRESS & PUBLIC**
REPORT BY:	**TOWN CLERK**

1. Recommendations

1.1 That under the Public Bodies (Admission to Meetings) Act 1960 (as extended by Section 100 of the Local Government Act 1972) the press and public be excluded from the remainder of the meeting on the grounds that the Committee's remaining business involves the likely disclosure of exempt information as defined in the Local Government (Access to Information) (Variation) Order 2006, and the public interest in disclosing the information.

Background Papers:	**None**
Lead Officer:	**Alan Mellor** **Tel: 01636 684 801** **Email: alan.mellor@newark.gov.uk**