

Contact details

Name of smaller authority: _____ **Frome Town Council** _____

County Area (local councils and parish meetings only): _____ **Somerset**

Please complete this form and send it back to us with the AGAR or exemption certificate

	RFO (Main contact)	Chair
Name	Sarah Williams (RFO)	Mark Dorrington - Mayor
Address	Frome Town Council Frome Town Hall Christchurch Street West Frome Somerset BA11 1EB	c/o Frome Town Council Frome Town Hall Christchurch Street West Frome Somerset BA11 1EB
Daytime telephone number	01373 475577	01373 465757
Mobile telephone number		
Email address	swilliams@frometowncouncil.gov.uk	mdorrington@frometowncouncil.gov.uk

Section 1 – Annual Governance Statement 2018/19

We acknowledge as the members of:

FROME TOWN COUNCIL

our responsibility for ensuring that there is a sound system of internal control, including arrangements for the preparation of the Accounting Statements. We confirm, to the best of our knowledge and belief, with respect to the Accounting Statements for the year ended 31 March 2019, that:

	Agreed		
	Yes	No*	'Yes' means that this authority:
1. We have put in place arrangements for effective financial management during the year, and for the preparation of the accounting statements.	✓		prepared its accounting statements in accordance with the Accounts and Audit Regulations.
2. We maintained an adequate system of internal control including measures designed to prevent and detect fraud and corruption and reviewed its effectiveness.	✓		made proper arrangements and accepted responsibility for safeguarding the public money and resources in its charge.
3. We took all reasonable steps to assure ourselves that there are no matters of actual or potential non-compliance with laws, regulations and Proper Practices that could have a significant financial effect on the ability of this authority to conduct its business or manage its finances.	✓		has only done what it has the legal power to do and has complied with Proper Practices in doing so.
4. We provided proper opportunity during the year for the exercise of electors' rights in accordance with the requirements of the Accounts and Audit Regulations.	✓		during the year gave all persons interested the opportunity to inspect and ask questions about this authority's accounts.
5. We carried out an assessment of the risks facing this authority and took appropriate steps to manage those risks, including the introduction of internal controls and/or external insurance cover where required.		✓	considered and documented the financial and other risks it faces and dealt with them properly.
6. We maintained throughout the year an adequate and effective system of internal audit of the accounting records and control systems.	✓		arranged for a competent person, independent of the financial controls and procedures, to give an objective view on whether internal controls meet the needs of this smaller authority.
7. We took appropriate action on all matters raised in reports from internal and external audit.	✓		responded to matters brought to its attention by internal and external audit.
8. We considered whether any litigation, liabilities or commitments, events or transactions, occurring either during or after the year-end, have a financial impact on this authority and, where appropriate, have included them in the accounting statements.	✓		disclosed everything it should have about its business activity during the year including events taking place after the year end if relevant.
9. (For local councils only) Trust funds including charitable. In our capacity as the sole managing trustee we discharged our accountability responsibilities for the fund(s)/assets, including financial reporting and, if required, independent examination or audit.	Yes	No	N/A
	✓		has met all of its responsibilities where, as a body corporate, it is a sole managing trustee of a local trust or trusts.

*Please provide explanations to the external auditor on a separate sheet for each 'No' response and describe how the authority will address the weaknesses identified. These sheets should be published with the Annual Governance Statement.

This Annual Governance Statement was approved at a meeting of the authority on:

15/05/2019

and recorded as minute reference:

MI2019/09/FCIENCE

Signed by the Chairman and Clerk of the meeting where approval was given:

Chairman

Mark Dwyer

Clerk

Paul Wynn

Other information required by the Transparency Codes (not part of Annual Governance Statement)

Authority web address

www.frometowncouncil.gov.uk

Section 2 – Accounting Statements 2018/19 for

FROMETOWN COUNCIL

	Year ending		Notes and guidance
	31 March 2018 £	31 March 2019 £	
1. Balances brought forward	1,267,829	723,907	Total balances and reserves at the beginning of the year as recorded in the financial records. Value must agree to Box 7 of previous year.
2. (+) Precept or Rates and Levies	1,193,268	1,268,273	Total amount of precept (or for IDBs rates and levies) received or receivable in the year. Exclude any grants received.
3. (+) Total other receipts	124,762	323,255	Total income or receipts as recorded in the cashbook less the precept or rates/levies received (line 2). Include any grants received.
4. (-) Staff costs	594,764	667,676	Total expenditure or payments made to and on behalf of all employees. Include salaries and wages, PAYE and NI (employees and employers), pension contributions and employment expenses.
5. (-) Loan interest/capital repayments	158,364	167,857	Total expenditure or payments of capital and interest made during the year on the authority's borrowings (if any).
6. (-) All other payments	1,108,824	793,932	Total expenditure or payments as recorded in the cash-book less staff costs (line 4) and loan interest/capital repayments (line 5).
7. (=) Balances carried forward	723,907	685,970	Total balances and reserves at the end of the year. Must equal (1+2+3) - (4+5+6).
8. Total value of cash and short term investments	711,941	682,884	The sum of all current and deposit bank accounts, cash holdings and short term investments held as at 31 March – To agree with bank reconciliation.
9. Total fixed assets plus long term investments and assets	4,836,447	4,873,442	The value of all the property the authority owns – it is made up of all its fixed assets and long term investments as at 31 March.
10. Total borrowings	1,820,685	1,719,111	The outstanding capital balance as at 31 March of all loans from third parties (including PWLB).
11. (For Local Councils Only) Disclosure note re Trust funds (including charitable)	Yes	No	The Council, as a body corporate, acts as sole trustee for and is responsible for managing Trust funds or assets.
	✓		N.B. The figures in the accounting statements above do not include any Trust transactions.

I certify that for the year ended 31 March 2019 the Accounting Statements in this Annual Governance and Accountability Return have been prepared on either a receipts and payments or income and expenditure basis following the guidance in Governance and Accountability for Smaller Authorities – a Practitioners' Guide to Proper Practices and present fairly the financial position of this authority.

Signed by Responsible Financial Officer before being presented to the authority for approval

 SIGNED REQUIRED

Date

02/05/2019

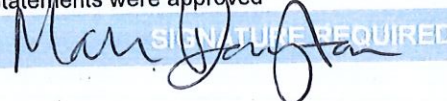
I confirm that these Accounting Statements were approved by this authority on this date:

15/05/2019

as recorded in minute reference:

MI2019/10/FCENCE

Signed by Chairman of the meeting where the Accounting Statements were approved

 SIGNED REQUIRED

Section 3 – External Auditor Report and Certificate 2018/19

In respect of

ENTER NAME OF AUTHORITY

1 Respective responsibilities of the body and the auditor

This authority is responsible for ensuring that its financial management is adequate and effective and that it has a sound system of internal control. The authority prepares an Annual Governance and Accountability Return in accordance with *Proper Practices* which:

- summarises the accounting records for the year ended 31 March 2019; and
- confirms and provides assurance on those matters that are relevant to our duties and responsibilities as external auditors.

Our responsibility is to review Sections 1 and 2 of the Annual Governance and Accountability Return in accordance with guidance issued by the National Audit Office (NAO) on behalf of the Comptroller and Auditor General (see note below). Our work **does not** constitute an audit carried out in accordance with International Standards on Auditing (UK & Ireland) and **does not** provide the same level of assurance that such an audit would do.

2 External auditor report 2018/19

(Except for the matters reported below)* on the basis of our review of Sections 1 and 2 of the Annual Governance and Accountability Return, in our opinion the information in Sections 1 and 2 of the Annual Governance and Accountability Return is in accordance with Proper Practices and no other matters have come to our attention giving cause for concern that relevant legislation and regulatory requirements have not been met. (*delete as appropriate).

(continue on a separate sheet if required)

Other matters not affecting our opinion which we draw to the attention of the authority:

(continue on a separate sheet if required)

3 External auditor certificate 2018/19

We certify/do not certify* that we have completed our review of Sections 1 and 2 of the Annual Governance and Accountability Return, and discharged our responsibilities under the Local Audit and Accountability Act 2014, for the year ended 31 March 2019.

*We do not certify completion because:

External Auditor Name

ENTER NAME OF EXTERNAL AUDITOR

External Auditor Signature

SIGNATURE REQUIRED

Date

DD/MM/YY

*Note: the NAO issued guidance applicable to external auditors' work on limited assurance reviews in Auditor Guidance Note AGN/02. The AGN is available from the NAO website (www.nao.org.uk)

**NOTICE OF PUBLIC RIGHTS AND PUBLICATION
OF UNAUDITED ANNUAL GOVERNANCE &
ACCOUNTABILITY RETURN**

ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2019

**Local Audit and Accountability Act 2014 Sections 26 and 27
The Accounts and Audit Regulations 2015 (SI 2015/234)**

NOTICE	NOTES
<p>1. Date of announcement (a) : 16 May 2019</p> <p>2. Each year the smaller authority's Annual Governance and Accountability Return (AGAR) needs to be reviewed by an external auditor appointed by Smaller Authorities' Audit Appointments Ltd. The unaudited AGAR has been published with this notice. As it has yet to be reviewed by the appointed auditor, it is subject to change as a result of that review. Any person interested has the right to inspect and make copies of the accounting records for the financial year to which the audit relates and all books, deeds, contracts, bills, vouchers, receipts and other documents relating to those records must be made available for inspection by any person interested. For the year ended 31 March 2019, these documents will be available on reasonable notice by application to:</p> <p>(b) Sarah Williams – Responsible Finance Officer swilliams@frometowncouncil.gov.uk 01373 475577</p> <p>Frome Town Council, Frome Town Hall Christchurch Street West, Frome, BA11 1EB</p> <p>commencing on (c) Monday 03 June 2019</p> <p>and ending on (d) Friday 12 July 2019</p> <p>3. Local government electors and their representatives also have:</p> <ul style="list-style-type: none"> • The opportunity to question the appointed auditor about the accounting records; and • The right to make an objection which concerns a matter in respect of which the appointed auditor could either make a public interest report or apply to the court for a declaration that an item of account is unlawful. Written notice of an objection must first be given to the auditor and a copy sent to the smaller authority. <p>The appointed auditor can be contacted at the address in paragraph 4 below for this purpose between the above dates only.</p> <p>4. The smaller authority's AGAR is subject to review by the appointed auditor under the provisions of the Local Audit and Accountability Act 2014, the Accounts and Audit Regulations 2015 and the NAO's Code of Audit Practice 2015. The appointed auditor is:</p> <p>PKF Littlejohn LLP (Ref: SBA Team) 1 Westferry Circus Canary Wharf London E14 4HD (sba@pkf-littlejohn.com)</p> <p>5. This announcement is made by (e): Sarah Williams – Responsible Finance Officer</p>	<p>(a) Insert date of placing of the notice which must be not less than 1 day before the date in (c) below</p> <p>(b) Insert name, position and address/telephone number/ email address, as appropriate, of the Clerk or other person to which any person may apply to inspect the accounts</p> <p>(c) Insert date, which must be at least 1 day after the date of announcement in (a) above and at least 30 working days before the date appointed in (d) below</p> <p>(d) The inspection period between (c) and (d) must be 30 working days inclusive and must include the first 10 working days of July.</p> <p>(e) Insert name and position of person placing the notice – this person must be the responsible financial officer for the smaller authority</p>

LOCAL AUTHORITY ACCOUNTS: A SUMMARY OF YOUR RIGHTS

Please note that this summary applies to all relevant smaller authorities, including local councils, internal drainage boards and 'other' smaller authorities.

The basic position

The [Local Audit and Accountability Act 2014](#) (the Act) governs the work of auditors appointed to smaller authorities. This summary explains the provisions contained in Sections 26 and 27 of the Act. The Act and the [Accounts and Audit Regulations 2015](#) also cover the duties, responsibilities and rights of smaller authorities, other organisations and the public concerning the accounts being audited.

As a local elector, or an interested person, you have certain legal rights in respect of the accounting records of smaller authorities. As an interested person you can inspect accounting records and related documents. If you are a local government elector for the area to which the accounts relate you can also ask questions about the accounts and object to them. You do not have to pay directly for exercising your rights. However, any resulting costs incurred by the smaller authority form part of its running costs. Therefore, indirectly, local residents pay for the cost of you exercising your rights through their council tax.

The right to inspect the accounting records

Any interested person can inspect the accounting records, which includes but is not limited to local electors. You can inspect the accounting records for the financial year to which the audit relates and all books, deeds, contracts, bills, vouchers, receipts and other documents relating to those records. You can copy all, or part, of these records or documents. Your inspection must be about the accounts, or relate to an item in the accounts. You cannot, for example, inspect or copy documents unrelated to the accounts, or that include personal information (Section 26 (6) – (10) of the Act explains what is meant by personal information). You cannot inspect information which is protected by commercial confidentiality. This is information which would prejudice commercial confidentiality if it was released to the public and there is not, set against this, a very strong reason in the public interest why it should nevertheless be disclosed.

When smaller authorities have finished preparing accounts for the financial year and approved them, they must publish them (including on a website). There must be a 30 working day period, called the 'period for the exercise of public rights', during which you can exercise your statutory right to inspect the accounting records. Smaller authorities must tell the public, including advertising this on their website, that the accounting records and related documents are available to inspect. By arrangement you will then have 30 working days to inspect and make copies of the accounting records. You may have to pay a copying charge. The 30 working day period must include a common period of inspection during which all smaller authorities' accounting records are available to inspect. This will be 1-12 July 2019 for 2018/19 accounts. The advertisement must set out the dates of the period for the exercise of public rights, how you can communicate to the smaller authority that you wish to inspect the accounting records and related documents, the name and address of the auditor, and the relevant legislation that governs the inspection of accounts and objections.

The right to ask the auditor questions about the accounting records

You should first ask your smaller authority about the accounting records, since they hold all the details. If you are a local elector, your right to ask questions of the external auditor is enshrined in law. However, while the auditor will answer your questions where possible, they are not always obliged to do so. For example, the question might be better answered by another organisation, require investigation beyond the auditor's remit, or involve disproportionate cost (which is borne by the local taxpayer). Give your smaller authority the opportunity first to explain anything in the accounting records that you are unsure about. If you are not satisfied with their explanation, you can question the external auditor about the accounting records.

The law limits the time available for you formally to ask questions. This must be done in the period for the exercise of public rights, so let the external auditor know your concern as soon as possible. The advertisement or notice that tells you the accounting records are available to inspect will also give the period for the exercise of public rights during which you may ask the auditor questions, which here means formally asking questions under the Act. You can ask someone to represent you when asking the external auditor questions.

Before you ask the external auditor any questions, inspect the accounting records fully, so you know what they contain. Please remember that you cannot formally ask questions, under the Act, after the end of the period for the exercise of public rights. You may ask your smaller authority other questions about their accounts for any year, at any time. But these are not questions under the Act.

You can ask the external auditor questions about an item in the accounting records for the financial year being audited. However, your right to ask the external auditor questions is limited. The external auditor can only answer 'what' questions, not 'why' questions. The external auditor cannot answer questions about policies, finances, procedures or anything else unless it is directly relevant to an item in the accounting records. Remember that your questions must always be about facts, not opinions. To avoid misunderstanding, we recommend that you always put your questions in writing.

The right to make objections at audit

You have inspected the accounting records and asked your questions of the smaller authority. Now you may wish to object to the accounts on the basis that an item in them is in your view unlawful or there are matters of wider concern arising from the smaller authority's finances. A local government elector can ask the external auditor to apply to the High Court for a declaration that an item of account is unlawful, or to issue a report on matters which are in the public interest. You must tell the external auditor which specific item in the accounts you object to and why you think the item is unlawful, or why you think that a public interest report should be made about it. You must provide the external auditor with the evidence you have to support your objection. Disagreeing with income or spending does not make it unlawful. To object to the accounts you must write to the external auditor stating you want to make an objection, including the information and evidence below and you must send a copy to the smaller authority. The notice must include:

- confirmation that you are an elector in the smaller authority's area;
- why you are objecting to the accounts and the facts on which you rely;
- details of any item in the accounts that you think is unlawful; and
- details of any matter about which you think the external auditor should make a public interest report.

Other than it must be in writing, there is no set format for objecting. You can only ask the external auditor to act within the powers available under the [Local Audit and Accountability Act 2014](#).

A final word

You may not use this 'right to object' to make a personal complaint or claim against your smaller authority. You should take such complaints to your local Citizens' Advice Bureau, local Law Centre or to your solicitor. Smaller authorities, and so local taxpayers, meet the costs of dealing with questions and objections. In deciding whether to take your objection forward, one of a series of factors the auditor must take into account is the cost that will be involved, they will only continue with the objection if it is in the public interest to do so. They may also decide not to consider an objection if they think that it is frivolous or vexatious, or if it repeats an objection already considered. If you appeal to the courts against an auditor's decision not to apply to the courts for a declaration that an item of account is unlawful, you will have to pay for the action yourself.

For more detailed guidance on public rights and the special powers of auditors, copies of the publication [Local authority accounts: A guide to your rights](#) are available from the NAO website.

If you wish to contact your authority's appointed external auditor please write to the address in paragraph 4 of the *Notice of Public Rights and Publication of Unaudited Annual Governance & Accountability Return*.

Reconciliation between Box 7 and Box 8 in Section 2 - pro forma							
(applies to Accounting Statements prepared on an income and expenditure basis <u>only</u>)							
Please complete the highlighted boxes.							
Name of smaller authority:		Frome Town Council					
County area (local councils and parish meetings only):		Somerset					
There should only be a difference between Box 7 and Box 8 where the Accounting Statements (Section 2 of the AGAR) have been prepared on an income and expenditure basis and there have been adjustments for debtors/prepayments and creditors/receipts in advance at the year end. Please provide details of the year end adjustments, showing how the net difference between them is equal to the difference between Boxes 7 and 8.							
					£	£	
Box 7: Balances carried forward						685,970	
Deduct:	Debtors (enter these as negative numbers)						
	Debtors				(1,576.00)		
	Debtors C&G Trust Ltd loan				(3,107.00)		
	VAT control				(10,983.00)		
					(15,666.00)		
Deduct:	Payments made in advance (prepayments) (enter these as negative numbers)						
	Prepayments				(6,436.00)		
	Accrued bank interest				(377.00)		
					(6,813.00)		
Total deductions						(22,479.00)	
Add:	Creditors (must not include community infrastructure levy (CIL) receipts)						
	Creditors				8,626.00		
	2				8,626.00		
Add:	Receipts in advance (must not include deferred grants/loans received)						
	Accrued expenses				10,204.00		
	Receipts in advance				107.00		
	Tickets - Nat Express				8.00		
	Barclays				192.00		
	Mayors Charity				256.00		
					10,767.00		
Total additions						19,393.00	
Box 8: Total cash and short term investments						682,884	

[illegible]

Annual Internal Audit Report 2018/19

EFROME TOWN COUNCIL

This authority's internal auditor, acting independently and on the basis of an assessment of risk, carried out a selective assessment of compliance with relevant procedures and controls to be in operation **during** the financial year ended 31 March 2019.

The internal audit for 2018/19 has been carried out in accordance with this authority's needs and planned coverage. On the basis of the findings in the areas examined, the internal audit conclusions are summarised in this table. Set out below are the objectives of internal control and alongside are the internal audit conclusions on whether, in all significant respects, the control objectives were being achieved throughout the financial year to a standard adequate to meet the needs of this authority.

Internal control objective	Agreed? Please choose one of the following		
	Yes	No*	Not covered**
A. Appropriate accounting records have been properly kept throughout the financial year.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. This authority complied with its financial regulations, payments were supported by invoices, all expenditure was approved and VAT was appropriately accounted for.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. This authority assessed the significant risks to achieving its objectives and reviewed the adequacy of arrangements to manage these.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
D. The precept or rates requirement resulted from an adequate budgetary process; progress against the budget was regularly monitored; and reserves were appropriate.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E. Expected income was fully received, based on correct prices, properly recorded and promptly banked; and VAT was appropriately accounted for.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F. Petty cash payments were properly supported by receipts, all petty cash expenditure was approved and VAT appropriately accounted for.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G. Salaries to employees and allowances to members were paid in accordance with this authority's approvals, and PAYE and NI requirements were properly applied.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
H. Asset and investments registers were complete and accurate and properly maintained.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I. Periodic and year-end bank account reconciliations were properly carried out.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
J. Accounting statements prepared during the year were prepared on the correct accounting basis (receipts and payments or income and expenditure), agreed to the cash book, supported by an adequate audit trail from underlying records and where appropriate debtors and creditors were properly recorded.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
K. IF the authority certified itself as exempt from a limited assurance review in 2017/18, it met the exemption criteria and correctly declared itself exempt. (<i>"Not Covered" should only be ticked where the authority had a limited assurance review of its 2017/18 AGAR</i>)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
L. During summer 2018 this authority has correctly provided the proper opportunity for the exercise of public rights in accordance with the requirements of the Accounts and Audit Regulations.			Not applicable <input checked="" type="checkbox"/>
M. (For local councils only) Trust funds (including charitable) – The council met its responsibilities as a trustee.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	Not applicable <input type="checkbox"/>

For any other risk areas identified by this authority adequate controls existed (list any other risk areas on separate sheets if needed).

Date(s) internal audit undertaken

05/07/2018 18/10/2018 07/02/2019

Name of person who carried out the internal audit

ENTER NAME OF INTERNAL AUDITOR
Paul Reynolds FMAAT

Signature of person who carried out the internal audit

P. Reynolds

Date

02/05/2019

*If the response is 'no' you must include a note to state the implications and action being taken to address any weakness in control identified (add separate sheets if needed).

**Note: If the response is 'not covered' please state when the most recent internal audit work was done in this area and when it is next planned, or, if coverage is not required, the annual internal audit report must explain why not (add separate sheets if needed).

Fair Account

Fair Account
1 Roker Way
Fair Oak
Eastleigh
Hants
SO50 7LD

TEL/FAX: (023) 8069 6763

2 May, 2019

Frome Town Council
Town Clerk
Christchurch Street West
Frome
Somerset
BA11 1EB

Dear Mr Wynne

End of Year Internal Audit Report for Frome Town Council 2018/19

The Accounts and Audit Arrangements introduced from 1st April 2002 (lighter touch audit) requires all Town and Parish Councils to implement an independent internal audit examination of their Accounts and Accounting processes annually.

The Council have complied with the requirements in terms of independence by the Council decision making process in 2018/2019, appointing Fair Account to undertake the work for 2018/19.

This is the final visit for 2018/2019 to check that the Town Council adhere to the requirements set out in the Governance and Accountability for Smaller Authorities in England ensuring that compliance is maintained.

An Internal Audit testing strategy is set out in the current Governance and Accountability for Smaller Authorities in England appendix 5. This covers a "suggested approach to internal audit testing" covering 10 aspects ranging from Proper bookkeeping right through to Year-end procedures. Our Internal Audit testing is based on this approach.

Our initial discussion with the Business Manager established any system/procedure changes to the internal controls from the previous period. A series of independent audit tests were then undertaken to ascertain the efficiency and effectiveness of these internal controls.

- The Town Clerk will produce a 2019/2020 risk strategy document and this has been identified as a priority. This will be presented to the Town Council at their meeting in May 2019 for ratification to ensure compliance with the requirements of Accountability and Governance for Smaller Authorities in England.

End of Year Procedures 2018/2019

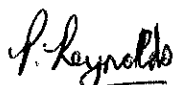
- a full check was carried out on the end of year documentation provided by the Responsible Finance Officer to confirm the accuracy of the details to be submitted to the External Auditor. This also included the validation of any variances of totals between 2017/18 and 2018/19 shown on the Accountability and Governance Annual Return in Section 2 as required by the External Auditor which is over 15%.
- we are satisfied that the information provided confirms the accuracy of the details to be shown in Section 2 of the Accountability and Governance Annual Return and therefore have signed the Internal Audit Report on the Accountability and Governance Annual Return.

Audit Opinion

The various records and procedures now in place for the Town Council will provide an adequate standard of control once the risks of the Town Council are reviewed and adopted by the Council in May 2019.

This letter report should be noted and taken to the next meeting of the Town Council to inform them of the Internal Audit work carried out. The details of this Internal Audit Report Letter should also be minuted by the Town Council.

Yours sincerely,




Paul Reynolds FMAAT and Tim Light FMAAT
Internal Auditors

Fair Account

Explanation for No to objective C.

It came to the attention of the Internal Auditor that no review of the Town Council risks has been carried out during 2018/2019.

A new Business Manager is now in post and this has been identified as a priority for 2019/2020. The Council will need to discuss this matter at their next meeting in May 2019 and remedy this to ensure compliance with the requirements of Accountability and Governance for Smaller Authorities in England.


Paul Reynolds FMAAT

Internal Auditor

AAT
ASSOCIATION
OF ACCOUNTING
TECHNICIANS

Frome Town Council

To Members of Frome Town Council

Richard Ackroyd (Chair), Ali Barclay, Lizzie Boyle, Sara Butler, Rob Collett, Anita Collier, Maxine Crawley, Mark Dorrington, Nick Dove, Sheila Gore, Anne Hills, Paul Horton, John Nelson, Andy Palmer, Steve Tanner, Scott Ward, Andy Wrintmore

Frome Town Council Meeting

Wednesday 15 May 2019, 7pm
Frome Town Hall, Christchurch Street West, Frome BA11 1EB

On this month's agenda:

1. Election of Mayor and Deputy Mayor
2. Apologies for absence, declaration of Cllrs' interests and approval of the minutes from the last meeting on 6 March 2019
3. Presentation from Emma Reynolds, Principal of Frome College
4. Questions and comments from the public and Cllrs
5. Deciding whether to adopt the Council's Standing Orders and Cllrs' Code of Conduct and whether to adopt the Power of General Competence
6. Appointing Leader and Deputy Leader of the Council and memberships, chairs and deputy chairs of committees and advisory groups
7. Deciding on the calendar of meetings for the year ahead
8. The FTC Management Group will present a review of Work Programme for 2018-19
9. Approving the Annual Governance and Accountability Return for 2018/19 and the reserves earmarked for specific projects
10. Deciding whether to adopt the Council's Financial Regulations
11. Deciding on whether to commission a study into the feasibility of turning the former Weston Warehouse at Saxonvale into a new cultural destination
12. Deciding whether to approve the Council's Risk Strategy, including the Action Plan for 2019/20 and to ratify the Action Plan for 2018/19



Yours sincerely

Paul Wynne, Town Clerk.
Frome Town Council,
Frome Town Hall
Christchurch Street West
Frome
BA11 1EB

May 9 2019

The next meeting will be at:

7pm on Wednesday 17 July at Frome Town Hall

FrOme
TOWN COUNCIL

Made differently

Agenda Item 12

For decision Approval of Risk Register 2019/20

Author: Paul Wynne, Town clerk

Summary

We are required to actively manage risk. To help us do this we have a Risk Strategy (Constitution - Chapter 12) describing how we go about doing this and a Risk Register with an Action Plan detailing risks we face and how we will manage them. Every year Council has to be confident that it is managing risk competently by approving the Risk Strategy, the Risk Register and its Action Plan. The Strategy and the Action Plan are [Appendix 12.1](#) and [Appendix 12.2](#). The full Risk Register is 40 pages long and is available on request from the Business Manager,

This year is slightly complicated as the External Auditors have asked parish councils to confirm that in 2018/19 this happened at Council level. Not knowing this until late March, I had already planned to bring this item to this meeting (in 2019/20) so that new Cllrs could be confident from the start that we manage risk well.

As a result, on the advice of our Internal Auditors, I am also tabling for retrospective approval the 2018/19 Risk Register Action Plan ([Appendix 12.3](#)) which is the same

Background

There is a responsibility on a Council to demonstrate best practice in all aspects of their governance, and the assessment of risk is a key part of this.

Management of risk is not just concerned with Health and Safety and making sure we have sufficient insurance cover. It identifies and assesses all risks the Council faces from our reputation, the safe use specific chemicals in cleaning, through public liability insurance cover and ensuring that the Christmas Lights event is safe.

Managing risk is something we do continually. The important thing is to identify risks and plan how these risks can be mitigated but not necessarily removing the risk completely. For example, someone who is injured using the skate park is a risk we are very aware of. While, we take various measures to help users play safely, we do not remove the risk completely by closing the skatepark. In short, we manage the known risks.

We have a Risk Strategy (at [Appendix 12.1](#)) which highlights in more detail our approach to risk and we have a Risk Register where we list our risks, assess their significance and, where necessary, draft an Action Plan ([Appendix 12.2](#)) to mitigate that risk if possible. The Risk Register is a large document and available on request. We also work to a large number of individual risk assessments and management plans for each site we manage, each chemical we use, each event we run and so on.

Each risk is scored by selecting a value of the likelihood (the likelihood of this happening with the controls the Council has in place)

- N/A not taken into account/ignore
- Low (no/not likely) = value of 1
- Medium (chance it may happen) = value of 2
- High (this may happen) = value of 3

and impact (estimated impact of this risk on this area to the Council with the controls the Council has in place).

- N/A not applicable/ignore
- Low (little or no impact) = 1
- Medium (low to medium impact on the Council) = 2
- High (great impact on the Council) = 3

The system multiplies the likelihood score against the impact score to arrive at a risk value for each item.

Each of the Council's risks identified in the Risk Register, ranging from financial, reputation, to play equipment safety has been reviewed, assessed and scored over the past year taking into consideration the controls the Council has in place.

Where relevant, risks are cross referenced with the current Financial Regulations. Risks with a value of four or more appear in the 2019/20 Risk Register Action Plan and the relevant staff will continue to monitor these risks.

Recommendation

1. The Chair to sign the 2019/20 Action Plan on behalf of the Council and approve the 2019/20 Risk Strategy document.

External Auditors requirements for year ending 2018/19

Every year at year-end, as part of the Annual Return, the External Auditors spotlight an additional area of Council work. In previous years, it has been around VAT, loans, salaries and so on. For the year ending 2018/19, we have very recently found out that the spotlight has fallen on Risk Management and they require minutes from meetings in 2018/19 to confirm that Risk Management was considered by Council as an indication that we are competent and manage our risk adequately.

Although I reviewed and updated our Risk Register last summer, I decided to delay bringing it to Council until this meeting to ensure new Cllrs are aware of the Risk Strategy and Register and can be confident that we are managing risk correctly.

As a result, the Council did not formally consider Risk Management in 2018/19. In order to enable the External Auditors to be confident that we are doing what we should our Internal Auditors have advised that I table the 2018/19 Risk Register ([Appendix 12.3](#)) for ratification at this meeting. It is unchanged in 2019/20.

Recommendation

2. The Chair to sign the 2018/19 Action Plan on behalf of the Council.

Frome Town Council Constitution

Chapter 12 Risk Management Strategy

Frome Town Hall
Christchurch Street West
Frome
BA11 1EB

01373 465757
info@frometowncouncil.gov.uk

Last approved 15 May 2019
Next review May 2020

A copy of this document is also available in different formats such as large print, Braille, audio or in a different language, please contact the office if this is required.

1. Introduction

- 1.1. Risk management has been identified by the National Audit Office as an essential part of effective corporate governance and we have a statutory duty to have in place arrangements for managing risk as stated in the Accounts & Audit Regulations 2015.
- 1.2. Governance is how the Council manages its functions, determines its visions, objectives and priorities and goes about delivering its services as they affect the local community.
- 1.3. The principles of good governance are:
 - Openness and inclusivity
 - Integrity
 - Accountability
- 1.4. An open approach is essential to improve confidence in the Council and what it does. It is reflected in the honesty by which the Council is seen to carry out its functions, its professional standards and its accountability.
- 1.5. Strong leadership is vital to provide a clear vision and an example of excellence in relation to decision making, processes and professionalism.
- 1.6. This document forms the Council's Risk Management Strategy. It sets out:
 - 1.6.1.1. How will risk management feed into the Council's existing policies
 - 1.6.1.2. Implementation timetable
 - 1.6.1.3. Roles and responsibilities
 - 1.6.1.4. Future monitoring
- 1.7. The objectives of this strategy are to:
 - 1.7.1. Further develop risk management and raise its profile across the Council
 - 1.7.2. Integrate risk management into the culture of the Council
 - 1.7.3. Embed risk management through the ownership and management of risk as part of all decision-making processes; and
 - 1.7.4. Manage risk in accordance with best practice

2. What is risk management?

2.1. Definitions

- 2.1.1. Risk is an uncertain event or condition that, if it occurs, will influence the achievement of an authority's objectives.
- 2.1.2. Risk management is the process whereby authorities methodically address the risks associated with what they do and the services which they provide.
- 2.1.3. The focus of risk management is to identify what can go wrong and take appropriate steps to avoid this or successfully manage the consequences.
- 2.1.4. Good risk management allows Councillors and the community to have increased confidence in the Frome Town Council's governance arrangements and its ability to deliver its priorities.
- 2.1.5. Risk management is not just about financial management; it is about protecting the achievement of objectives set by Frome Town Council to deliver high quality public services.
- 2.1.6. The failure to manage risks effectively can be expensive in terms of litigation and reputation and can impact on the ability to achieve desired outcomes.
- 2.1.7. The Council generally is responsible for risk management.
- 2.1.8. Risk management is an ongoing activity that comprises four elements:
 - identifying risks
 - assessing risks
 - addressing risks

- reviewing and reporting

2.2. Identifying risks

- 2.2.1. To manage risk, the Council needs to know what risks it faces.
- 2.2.2. Identifying risks is therefore the first step in the risk management process.
- 2.2.3. It is not possible to present a suggested list of the specific risks which authorities may face as the range, nature, complexity and scale of the business of authorities vary.
- 2.2.4. Similarly, the priorities and service delivery objectives of one authority will differ from those of others. For this reason, each authority should identify, for itself, the key risks to successfully achieving its priorities and service objectives.
- 2.2.5. The typical categories of risks that might help in the process of risk identification are as follows:
 - financial – loss of money
 - security – fraud, theft, embezzlement
 - property – damage to property
 - legal – breaking the law or being sued
 - IT – failure of IT systems or misuse
 - reputational – actions taken could harm the authority’s public reputation

2.3. Assessing risks

- 2.3.1. Once the authority has identified its key risks, the next step is to assess the potential consequences of a risk occurring (impact) and consider how likely the risk is to happen (likelihood).
- 2.3.2. The assessment of potential impact and likelihood need not be any more complex than assigning a simple numerical score, say 1 – 3, and multiplying the two scores to arrive at a risk assessment for each risk of high, medium or low.
- 2.3.3. The risk assessment enables the Council to decide which risks it should pay most attention to when considering what measures to take to manage them.
- 2.3.4. This Council uses a simple risk assessment matrix as follows:

Likelihood	Highly likely (3)	Medium (3)	High (6)	High (9)
	Possible (2)	Low (2)	Medium (4)	High (6)
	Unlikely (1)	Low (1)	Low (2)	Medium (3)
		Negligible (1)	Moderate (2)	Severe (3)
		Impact		

2.4. Addressing risks

- 2.4.1. Risk is unavoidable, and every Council needs to act to manage risk in a way which it can justify to a level which is tolerable.
- 2.4.2. The response to risk, which is initiated within the Council, is called ‘internal control’ and may involve one or more of the following standard responses:
 - Tolerate the risk - for risks where the downside is containable with appropriate contingency plans; for some where the possible controls cannot be justified (e.g. because they would be disproportionate); and for unavoidable risks, e.g. terrorism.
 - Treat the risk - a common response which can mean imposing controls so that the Council can continue to operate; or setting up prevention techniques.
 - Transfer the risk – buying in a service from a specialist external body or taking

- out insurance. Some risks cannot be transferred, especially reputational risk.
 - Terminate the activity giving rise to the risk - it may be best to stop (or not to start) activities which involve intolerable risks or those where no response can bring the risk to a tolerable level.
- 2.4.3. Areas where there may be scope to use insurance to help manage risk include the following:
 - The protection of physical assets owned by the authority – buildings, furniture, equipment, etc. (loss or damage).
 - The risk of damage to third party property or individuals because of the authority providing services or amenities to the public (public liability).
 - The risk of consequential loss of income or the need to provide essential services following critical damage, loss or non-performance by a third party (consequential loss).
 - Loss of cash through theft or dishonesty (fidelity guarantee).
 - Legal liability because of asset ownership (public liability).
- 2.4.4. The limited nature of internal resources in most authorities means that those wishing to provide services often buy them in from specialist external bodies. Areas where there may be scope to work with others to help manage risk include the following:
 - Security for vulnerable buildings, amenities or equipment.
 - Maintenance for vulnerable buildings, amenities or equipment.
 - The provision of services being carried out under agency/partnership agreements with principal authorities.
 - Banking arrangements, including borrowing or lending.
 - Ad hoc provision of amenities/ facilities for events to local community groups.
 - Markets management.
 - Vehicle or equipment lease or hire.
 - Trading units (leisure centres, playing fields, burial grounds, etc.).
 - Professional services (planning, architects, accountancy, design, etc.).
- 2.5. Reviewing and reporting
 - 2.5.1. Once the key risks have been identified and assessed they should be recorded, for example in a risk register.
 - 2.5.2. Cllrs should review the risk register not less than annually
 - 2.5.3. This could be achieved by risk management being a standing item at authority or committee meetings.
 - 2.5.4. An example of a simple risk register can be found in Appendix 1.
 - 2.5.5. Support for authorities wishing to improve their risk management arrangements, over and above that provided by this guidance, is available through training that may be requested from NALC, SLCC and ADA, or from other training providers.
 - 2.5.6. In identifying training needs, parish and town councils may wish to seek the professional input of their insurance provider and refer to various elements of the National Training Strategy for town and parish councils in England.
- 3. Why does the Council need a Risk Management Strategy? Risk management will strengthen the ability of the Council to achieve its objectives and enhance the value of services provided.
 - 3.2. The Risk Management Strategy will help to ensure that the Council understands risk and adopts a uniform approach to identifying and prioritising risks.
 - 3.3. This should in turn lead to conscious choices as to the most appropriate method of dealing with each risk, be it elimination, reduction, transfer or acceptance.
 - 3.4. There is a requirement under the Accounts and Audit Regulations 2018 to establish and

maintain a systematic strategy, framework and process for managing risk.

- 3.5. Risks and their control will be collated in a Risk Register.
- 3.6. A statement regarding the system of internal control and the management of risk will be included as part of the Annual Statement of Accounts.
4. What is the Council's philosophy on risk management?
 - 4.1. Frome Town Council recognises that it has a responsibility to manage risks effectively in order to protect its employees, assets, liabilities and community against potential losses, to minimise uncertainty in achieving its goals and objectives and to maximise the opportunities to achieve its vision.
 - 4.2. The Council is aware that some risks can never be eliminated fully, and it has in place a strategy that provides a structured, systematic and focused approach to managing risk.
 - 4.3. Risk management is an integral part of the Council's management processes.
5. What is the Council's risk management process?
 - 5.1. Implementing the Strategy
 - 5.1.1. **Risk Identification** – Identifying and understanding the hazards and risks facing the Council is crucial if informed decisions are to be made about policies or service delivery methods. The risks associated with these decisions can then be effectively managed. All risks identified will be recorded in the Council's Risk Register.
 - 5.1.2. **Risk Analysis** – Once risks have been identified they need to be systematically and accurately assessed using proven techniques. Analysis should make full use of any available data on the potential frequency of events and their consequences. If a risk is seen to be unacceptable, then steps need to be taken to control or respond to the risk.
 - 5.1.3. **Risk Prioritisation** – An assessment should be undertaken of the impact and likelihood of risks occurring, with impact and likelihood being scored Low, Medium or High.
 - 5.1.4. The following generic definitions of risk are a useful guide:
 - 5.1.5. **Low risks** occur where the impact or severity will not be severe, and any associated losses will be relatively small. As individual occurrences, they will have a negligible effect on service provision, however, if action is not taken then such risks may have a more significant cumulative effect. Examples include incidental errors, absence, minor employee accidents, missed project deadlines and minor incidents of vandalism.
 - 5.1.6. **Medium risks** have a noticeable effect on the service provided. Each event will cause a degree of disruption to the service provision and have budgetary implications. Such events are likely to happen infrequently and are generally difficult to predict. More than one medium loss each year could have substantial impact or severity on service provision. Examples may include a fire, a large theft, major systems failures or incidents of pollution.
 - 5.1.7. **High risks** are those that can have a catastrophic effect on the operation of the Council or its services. They are likely to result in significant financial losses, major service disruption or a significant impact to the public. They usually occur very infrequently and can be extremely difficult to predict. For example, a total system failure, a major emergency or a major fire at the Council's main offices.

- 5.1.8. Assessing risk is largely subjective, but the production of a Risk Register provides a way to assess and record the likelihood of an event judged against its impact.

5.2. Risk Control

- 5.2.1. Risk control is the process of acting to minimise the likelihood of the risk event occurring and/or reducing the severity of the consequences should it occur.
- 5.2.2. Typically, risk control requires the identification and implementation of revised operating procedures, but in exceptional cases more drastic action will be required to reduce the risk to an acceptable level.
- 5.2.3. Options for control include:
- Elimination – the circumstances from which the risk arises are removed so that the risk no longer exists;
 - Reduction – loss control measures are implemented to reduce the impact/likelihood of the risk occurring;
 - Transfer – the financial impact is passed to others e.g. by revising contractual terms;
 - Sharing - the risk is shared with another party;
 - Insuring - insure against some or all the risk to mitigate financial impact; and
 - Acceptance – documenting a conscious decision after assessment of areas where the Council accepts or tolerates risk.

5.3. Risk Monitoring

- 5.3.1. The risk management process does not finish with putting any risk control procedures in place.
- 5.3.2. Their effectiveness in controlling risk must be monitored and reviewed.
- 5.3.3. It is also important to assess whether the nature of any risk has changed over time.
- 5.3.4. The information generated from applying the risk management process will help to ensure that risks can be avoided or minimised in the future.
- 5.3.5. It will also inform judgements on the nature and extent of insurance cover and the balance to be reached between self-insurance and external protection.

6. Roles and responsibilities

- 6.1. Risk management becomes embedded into the everyday culture and performance management process of the Council.
- 6.2. The roles and responsibilities set out below are designed to ensure that risk is managed effectively right across the Council.
- 6.3. Those who best know the risks to a service are those responsible for it.
- 6.4. Cllrs
- 6.4.1. Risk management is seen as a key part of the Cllrs' stewardship role and there is an expectation that Cllrs will monitor the approach adopted. This will include:
- Approval of the Risk Management Strategy;
 - Analysis of key risks in reports on reports to Council, ensuring that future work is adequately risk managed;
 - Consideration, and if appropriate, endorsement of the annual Statement of Internal Control; and
 - Assessment of risks whilst setting the budget, including any bids for resources to tackle specific issues.

6.5. Managers

- 6.5.1. Will act as the risk champions for each section, assisting with identifying all risks in their section and the compilation of the Risk Register.
- 6.5.2. They will manage risk effectively in their service areas or projects and report how threats and risks have been managed to the Town Clerk.
- 6.5.3. This includes identifying, analysing, prioritising, monitoring and reporting on service risks and any control actions taken.
- 6.5.4. Specific duties relating to individual officers are detailed below.

6.6. The Town Clerk will:

- 6.6.1. Act as the Lead Officer on risk management;
- 6.6.2. Be responsible for overseeing the implementation of the detail of the Risk Management Strategy;
- 6.6.3. Provide advice as to the legality of policy and service delivery choices;
- 6.6.4. Provide advice on the implications for service areas of the Council's corporate aims
- 6.6.5. Update the Council on the implications of new or revised legislation;
- 6.6.6. Assist in handling any litigation claims;
- 6.6.7. Provide advice on any human resource issues relating to strategic policy options or the risks associated with operational decisions and assist in handling cases of work-related illness or injury;
- 6.6.8. Advise on any health and safety implications of the chosen or proposed arrangements for service delivery;
- 6.6.9. Report progress to Council via the Council Matters Committee;

6.7. Business Manager will:

- 6.7.1. Assess and implement the Council's insurance requirements;
- 6.7.2. Assess the financial implications of strategic policy options;
- 6.7.3. Aid and advice on budgetary planning and control;
- 6.7.4. Ensure that the financial systems allow effective budgetary control; and
- 6.7.5. Effectively manage the Council's investment portfolio.

6.8. Employees

- 6.8.1. Will undertake their job within risk management guidelines ensuring that their skills and knowledge are used effectively
- 6.8.2. All employees will maintain an awareness of the impact and costs of risks and how to feed data into the formal process.
- 6.8.3. They will work to control risks or threats within their jobs, monitor progress and report on job related risks to their manager.

6.9. Role of Internal Audit

- 6.9.1. Internal Audit provides an important scrutiny role by carrying out audits to provide independent assurance to the Internal Affairs Committee that the necessary risk management systems are in place and all significant business risks are being managed effectively.
- 6.9.2. Internal Audit assists the Council in identifying both its financial and operational risks and seeks to assist the Council in developing and implementing proper arrangements to manage them, including adequate and effective systems of internal control to reduce or eliminate the likelihood of errors or fraud.
- 6.9.3. Internal Audit reports, and any recommendations contained within, will help to shape

the annual Statement of Internal Control.

6.10. Council Matters Committee

6.10.1. The review and future development of the Risk Management Policy and compilation of the Risk Register will be overseen by the Council Matters Committee.

6.11. Training

6.11.1. Risk Management training will be provided to Cllrs, managers and staff through a variety of mediums.

6.11.2. The aim will be to ensure that both Cllrs and staff have the skills necessary to identify, evaluate and control the risks associated with the services they provide.

6.12. In addition to the roles and responsibilities set out above, the Council expects Cllrs and staff to report adverse incidents promptly and openly.

7. Future monitoring

7.1. This Strategy will be reviewed on an annual basis by Council. The Risk Register and risk management generally is the responsibility of the Council Matters Committee.

7.2. Feedback from Internal and External Audit can identify areas for improvement, as can the sharing of best practice via professional bodies, the National Association of Local Councils and relevant local council forums.

Appendix 1. Risk Register (available on request to the Business)



LCRS 6. Overall Summary

Frome Town Council Assessment for year 2019 To 2020

Area	Duty	No of risks	Number scored	Avg Score	No of uncontrolled Risks (>3)	Your action plan rank
Allotments	Powers to provide allotments	2	2	2.0	0	
	Duty to provide allotment gardens if demand unsatisfied					
Bus Shelters	Power to provide and maintain shelters	2	2	2.5	0	
Bye Laws	Power to make bye-laws in regard to	1	1	2.0	0	
	Cycle Parks					
	Baths and Washhouses					
	Open spaces and burial grounds					
	Mortuaries and post-mortem rooms					
Code of Conduct	Duty to adopt a code of conduct	1	1	1.0	0	
Computing	Power to facilitate discharge of any function	3	3	2.7	0	
Council Meetings		4	4	2.5	0	
Council Property and Document	Duty to disclose documents and to adopt publication scheme	4	4	2.5	0	
Crime Prevention - CCTV	Powers to spend money on various crime prevention measures	7	7	1.9	0	
Data Protection	Duty of Notification and Duty to Disclose (subject access)	1	1	2.0	0	
Employment of Staff	Duty to Appoint	6	6	2.8	0	
Entertainment and the arts	Provision of entertainment and support of the arts	16	15	3.0	2	
Financial Management	Duty to ensure responsibility for financial affairs	13	13	2.8	0	
Information Centre		3	3	2.0	0	
Investments	Power to participate in schemes of collective investment	4	4	3.0	0	
Land	Power to acquire by agreement, to appropriate, to dispose of land	10	10	2.7	0	
	Power to accept gifts of land					
Litter	Power to provide receptacles; Duty to empty & cleanse those provided	7	7	2.0	0	
Local functions	N/a - Local group to cover any risks not listed in other groups	1	1	3.0	0	
Meetings of the Council	Duty to meet	4	4	2.0	0	
Planning & Development Contr	Rights of consultation	1	1	1.0	0	



LCRS 6. Overall Summary

Frome Town Council Assessment for year 2019 To 2020

Area	Duty	No of risks	Number scored	Avg Score	No of uncontrolled Risks (>3)	Your action plan rank
Play Areas	Power to provide	4	4	3.0	0	<input type="text"/>
Provision of Office Accommod	Power to provide	5	5	2.4	0	<input type="text"/>
Provision of Website/Internet A	Power to provide from 'free resource'	2	2	2.5	0	<input type="text"/>
Public buildings and Village ha	Power to provide buildings for offices and for public meetings and assemblies	16	15	2.7	0	<input type="text"/>
Public Conveniences	Power to provide	5	5	2.8	1	<input type="text"/>
Seats		3	1	2.0	0	<input type="text"/>
Skatepark and Pump Track	Power to provide	4	4	3.8	2	<input type="text"/>
Town and Country Planning	Right to be notified of planning applications	3	3	1.0	0	<input type="text"/>
Town Entry Signs		3	3	1.7	0	<input type="text"/>
Web Sites		17	17	2.1	1	<input type="text"/>
Overall totals/scores		152	148	2.5	6	

Completed by:

Date:

Position:

How to complete:

1. Review each area and the number of uncontrolled risks.
2. Decide which area is at most risk and should be actioned firstly mark this as number One.
3. Repeat on all areas until all uncontrolled areas are allocated.



LCRS 7b - All Action Plans

Ref	Risk	Hazard	Control	Likelihood Impact	Score	Action to be taken	Action by person/position	Action by date	Action completed
<u>Entertainment and the arts</u>									
176	Physical	Maintenance of buildings	Define responsibility for maintenance. Carry out regular inspections of all premises. Maintain detailed records of all work scheduled/completed	Medium Medium	4	Ensure all maintenace is dealt with promptly and sufficient budget allocated	Chris Stringer	31/03/2018	<input type="checkbox"/>
440	Physical			Medium High	6				<input type="checkbox"/>
<u>Public Conveniences</u>									
294	Environmental	Vandalism	Maintain efficient and effective security. Ensure contract and staff cleaners maintain security Maintain liaison with local enforcement agencies. Take action as appropriate against offenders.	Medium Medium	4	None other than control measures	Chris Stringer	31/03/2018	<input type="checkbox"/>
<u>Skatepark and Pump Track</u>									
0	Environmental	Vandalism	Take reasonable action to maintain security of site. Arrange for regular site visits. Maintain liaison with law enforcement agencies. Define policy for dealing with offenders.	Medium Medium	4	None other than control measures	Chris Stringer	31/03/2018	<input type="checkbox"/>
0	Physical			Medium High	6				<input type="checkbox"/>

Web Sites



Ref	Risk	Hazard	Control	Likelihood Impact	Score	Action to be taken	Action by person/position	Action by date	Action completed
0	Reputational	Risk arising from poor design / appearance of web site	<p>Ensure that design is undertaken by suitably qualified and experienced operators.</p> <p>Get details of and view previously developed sites.</p> <p>Set standards for site design and ensure that council is provided with full details prior to implementation.</p>	High Medium	6	Continuous monitoring of website quality, improve when required dependant on budget.	Rachel Griffin	31/03/2019	<input type="checkbox"/>

Submitted to council: _____

No of issues listed: 6

Minute reference: _____

Date: _____

Signed by chairperson - Rich Ackroyd _____

Signed by responsible Finance officer - Sarah Williams _____

How to complete (individual risk section):

1. Action to be taken - brief description of proposed action that will be taken to control this risk, including any Insurance or Health and Safety issues.
2. Action by person - the name or names of the persons taking the relevant actions.
3. Action by date - the proposed date that this action should be completed by.
4. Action completed - that the proposed action has been taken (ticked) (not recorded on LCRS).

Appendix 12.3



Frome Town Council

Assessment for year 2018 To 2019

LCRS 7b - All Action Plans

Ref	Risk	Hazard	Control	Likelihood Impact	Score	Action to be taken	Action by person/position	Action by date	Action completed
Entertainment and the arts									
176	Physical	Maintenance of buildings	Define responsibility for maintenance. Carry out regular inspections of all premises. Maintain detailed records of all work scheduled/completed	Medium Medium	4	Ensure all maintenace is dealt with promptly and sufficient budget allocated	Chris Stringer	31/03/2018	<input type="checkbox"/>
440	Physical			Medium High	6				<input type="checkbox"/>
Public Conveniences									
294	Environmental	Vandalism	Maintain efficient and effective security. Ensure contract and staff cleaners maintain security Maintain liaison with local enforcement agencies. Take action as appropriate against offenders.	Medium Medium	4	None other than control measures	Chris Stringer	31/03/2018	<input type="checkbox"/>
Skatepark and Pump Track									
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0	Physical			Medium High	6				<input type="checkbox"/>
Web Sites									



Ref	Risk	Hazard	Control	Likelihood Impact	Score	Action to be taken	Action by person/position	Action by date	Action completed
0	Reputational	Risk arising from poor design / appearance of web site	Ensure that design is undertaken by suitably qualified and experienced operators. Get details of and view previously developed sites. Set standards for site design and ensure that council is provided with full details prior to implementation.	High Medium	6	Continuous monitoring of website quality, improve when required dependant on budget.	Rachel Griffin	31/03/2019	<input type="checkbox"/>

Submitted to council: _____

No of issues listed: 6

Minute reference: _____

Date: _____

Signed by chairperson - Rich Ackroyd _____

Signed by responsible Finance officer - Sarah Williams _____

How to complete (individual risk section):

1. Action to be taken - brief description of proposed action that will be taken to control this risk, including any Insurance or Health and Safety issues.
2. Action by person - the name or names of the persons taking the relevant actions.
3. Action by date - the proposed date that this action should be completed by.
4. Action completed - that the proposed action has been taken (ticked) (not recorded on LCRS).

FROME TOWN COUNCIL

Minutes of a meeting of Frome Town Council

Wednesday 15 May 2019 at 7pm

Frome Town Hall, Christchurch Street West, Frome BA11 1EB

Present:

Councillors: Mark Dorrington (Chair), Rich Ackroyd, Ali Barclay, Lizzie Boyle, Sara Butler, Rob Collett, Maxine Crawley, Nick Dove, Sheila Gore, Anne Hills, Paul Horton, John Nelson, Andy Palmer, Scott Ward

In attendance: Paul Wynne (Town Clerk), Peter Wheelhouse (Deputy Town Clerk and Economic Development & Regeneration Manager), Chloe Bray (Executive Assistant to the Town Clerk and Mayor), Sarah Williams (Business Manager), Anna Francis (Resilience Manager), Laura Hales (Marketing and Communications Officer), Emma Reynolds (Principal of Frome College), John Clarke (Mendip District Council), Adam Boyden (Mendip District Council), Shane Collins (Mendip District Council), Helen Kay (Mendip District Council), Michael Dunk (Mendip District Council), Helen Sprawson-White (Mendip District Council), Drew Gardner (Mendip District Council), 2 Police officers, 3 member of the press

15 members of the public

Minute Ref	Agenda Item	Action
2019/01/FC	<p>The meeting started at 7.04pm</p> <p>1. Election of Mayor and Deputy Mayor</p> <p>Mayor for 2018-19 Rich Ackroyd asked for nominations for his successor.</p> <p>John Nelson proposed Mark Dorrington be elected Mayor. This was seconded by Nick Dove and agreed unanimously. There were no other nominations.</p> <p>Rich commended Mark's year as Deputy Mayor and congratulated him. The Mayor's Chains of Office were given to Mark Dorrington, and a Past Mayor badge was presented to Rich. Mark signed his acceptance of office of the Mayor of Frome</p> <p>As Mayor, Mark became chair of the meeting.</p> <p>Mark asked for nominations for Deputy Mayor for 2019-20.</p> <p>Scott Ward proposed Anita Collier to be elected Deputy Mayor. This was seconded by Andy Palmer and agreed unanimously. There were no other nominations. Anita was not present so Paul Wynne will ensure he witnesses her signing her acceptance of office of the deputy Mayor of Frome</p>	
2019/02/FC		

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	<p>Rob Collett asked about environmental sustainability and Peter said the selected consultants would be instructed to ensure the building was as sustainable as possible. Up to here</p> <p>The recommendations were:</p> <ol style="list-style-type: none"> 1. Delegate authority to the Deputy Town Clerk in consultation with the (to be appointed) lead Cllr for Saxonvale, Black Swan Arts and Frome Museum to prepare a brief and commission the feasibility study into the cultural/community use of the former Weston Warehouse at Saxonvale 2. Set up an EMR of £15,000 for this purpose utilising the capital receipt from the sale of FTC land at Saxonvale 3. Report back to Cllrs on the outcomes of the feasibility study <p>These were proposed by Sara Butler, seconded by John Nelson and agreed unanimously.</p> <p>Paul Horton was nominated to be Lead Cllr on the Saxonvale project and sit on the Saxonvale board at MDC.</p> <p>This was proposed by Andy Palmer, seconded by Ali Barclay, and agreed unanimously.</p>	
2019/14/FC	<p>13. For decision – Approving the Risk Strategy, including the Action Plan for 2019/20, and ratifying the Action Plan for 2018/19</p> <p>Paul Wynne presented the report. He explained that it was important to manage rather than remove risk and that risk assessments are conducted for many different reasons and projects.</p> <p>Sheila Gore complimented Chris Stringer who tables risk assessments strategy reports to Council Matters, saying he is excellent at detailing and explaining the reports.</p> <p>Gill Fone asked if FTC could put disclaimers on their land, saying people using the open space at Foundry Barton were often seen climbing over the fence. She asked if FTC was liable for any injuries. Paul explained that FTC is liable and has insurance to cover such occurrences, and that disclaimers have no legal status.</p> <p>The recommendations were:</p> <ol style="list-style-type: none"> 1. The Chair to sign the 2019/20 Action Plan on behalf of the Council and approve the 2019/20 Risk Strategy document. 	

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	<p>2. The Chair to sign the 2018/19 Action Plan on behalf of the Council.</p> <p>These were proposed by Rob Collett, seconded by Maxine Crawley and agreed unanimously.</p>	
2019/15/FC	The next meeting will be at 7pm on Wednesday 17 July 2019 at Frome Town Hall	

The Chair closed the meeting at 8:58pm.