

KENDAL TOWN COUNCIL

Notice of Meeting

AUDIT, GRANTS & CHARITIES COMMITTEE

**Monday 29th April 2019 at 7.00 p.m.
in The Mayor's Parlour, Kendal Town Hall**

Committee Membership (8 Members)

Matt Severn (Chair)
Paul Bramham
Douglas Rathbone

Geoff Cook (Vice Chair)
Robert Crawford
Chris Hogg

Pat Gibson
Julia Dunlop

AGENDA

1. APOLOGIES

2. PUBLIC PARTICIPATION

Any member of the public who wishes to ask a question, make representations or present a deputation or petition at this meeting should apply to do so before the commencement of the meeting. Information on how to make the application is available on the Council's Website - [www.kendaltowncouncil.gov.uk/Statutory Information/General/ Guidance on Public Participation](http://www.kendaltowncouncil.gov.uk/Statutory%20Information/General/Guidance%20on%20Public%20Participation) at Kendal Town Council Meetings or by contacting the Town Clerk on 01539 793490.

3. DECLARATIONS OF INTEREST

To receive declarations by Members and/or co-optees of interests in respect of items on this Agenda

[In accordance with the revised Code of Conduct, Members are required to declare any Disclosable Pecuniary Interests (DPIs) or Other Registrable interests (ORIs) which have not already been declared in the Council's Register of Interests. Members are reminded that it is a criminal offence not to declare a DPI, either in the Register or at the meeting. In the interests of clarity and transparency, Members may wish to declare any DPI which they have already declared in the Register, as well as any ORI.]

4. MINUTES OF PREVIOUS MEETING AND MATTERS ARISING (not otherwise on the agenda). Minutes of meeting held on 28th January 2019 (*see attached*)

5. REVIEW OF EFFECTIVENESS OF INTERNAL AUDIT (*see attached*)

6. ANNUAL REVIEW OF THE SYSTEM OF INTERNAL CONTROL AND ANNUAL GOVERNANCE STATEMENT (*see attached*)

7. FINANCE OUTTURN REPORT – YEAR ENDED 31ST MARCH 2019 (*see attached*)

8. ANNUAL ACCOUNTS 2018/19 (*see attached*)

9. GENERAL GRANT APPLICATIONS 2019/20 (*see attached*)

- The Brewery Arts Centre

KENDAL TOWN COUNCIL

10. **GENERAL GRANTS CRITERIA 2020/21** *(see attached)*
Minor changes are suggested to the current grants criteria, to reflect previous Council decisions. Any adoption of multi-year agreements may require further amendments to the criteria or a separate document; if necessary, this can be dealt with at the July meeting of the Committee.
11. **GENERAL GRANTS – MULTI-YEAR FUNDING AGREEMENTS 2019/20** *(see attached)*
12. **SCHOOLS OF SCIENCE AND ART CHARITY – 2018/19 ACCOUNTS AND 2019/20 FORECAST** *(see attached)*
13. **REVIEW OF RISK ASSESSMENTS** *(see attached)*
14. **ITEMS FOR THE NEWSLETTER**
 - Summer 2019 Edition – deadline 14th June 2019, publication 22nd July
 - Autumn/Winter 2019 Edition – deadline 20th September, publication 28th October
15. **ANY OTHER BUSINESS**
16. **DATE OF NEXT MEETING**

Liz Richardson
Town Clerk

By e-mail/post to: Members of the Committee
 All other Councillors (agenda only, for information)

Please note that only Committee Members will receive the minutes and attachments, but that other Councillors may request a copy of any agenda papers. Any Councillor who is not a Committee Member may still attend the meeting, as an observer.

Members of the Press and Public are welcome to attend the meeting.

KENDAL TOWN COUNCIL

Audit, Grants and Charities Committee

**Monday 28th January 2019 at 7.00 pm
in The Mayor's Parlour, Town Hall, Kendal**

- PRESENT** Councillors Matt Severn (Chair), Geoff Cook (Vice Chair), Paul Bramham, Julia Dunlop, Douglas Rathbone and Chris Hogg
- APOLOGIES** Councillors Pat Gibson
- OFFICERS** Judith Lomax (Town Treasurer) and Nicky King (Council Secretary)
- 820/18/19 PUBLIC PARTICIPATION**
- None.
- 821/18/19 DECLARATIONS OF INTEREST**
- None.
- 822/18/19 MINUTES OF THE MEETING HELD ON 30TH OCTOBER 2018**
- The Chairman presented the minutes of the meeting held on 30th October 2018, which had been approved by full Council on 26th November 2018.
- Councillor Bramham proposed that the minutes be accepted as a correct record of the meeting. This was seconded by Councillor Dunlop and carried unanimously.
- RESOLVED** That the minutes of the meeting of the Committee held on 30th October 2018 be accepted as a correct record.
- MATTERS ARISING** (Not on Agenda)
- None.
- 823/18/19 BUDGETARY CONTROL STATEMENT – 9 MONTHS ENDED 31ST DECEMBER 2018**
- The Treasurer presented the Budgetary Control Statement for nine months ended 31st December 2018. Income was reported to be as expected and approximately on budget. With regard to gross expenditure, two main adverse variances relating to staff salaries and the cost of the Parish Poll were highlighted. The staff salaries overspend being predominantly due to various vacancies being covered by temporary staff and an increase in the Mayor Attendant's contracted hours. These matters have been addressed in the budget for the next financial year.
- The following points were also brought to Committee's attention:
- Underspending by the Allotments, Christmas Lights & Festivals and Environment & Highways Committees. It was agreed that

the Treasurer would seek clarification from the individual Chairs of the Committees in this respect.

- General Grants showed a variance of £7,605 underspent representing the unallocated funds in this budget. The Treasurer explained that, although grants to the value of £34,870 were approved and paid, some of the funds were paid over as advance payments in the previous financial year. Councillor Cook suggested recommending to Council that certain grants up to the value of £7k could be paid.
- Action Plan Schemes – there has been approximately £114k expenditure. This is significantly above the profiled budget, but costs are met by means of transfer from the Development Fund therefore do not affect the “bottom line”.
- Contingency – there has been no use of the contingency provision at this point in the year. It was noted that new lease arrangements for the Town Hall accommodation will result in increased costs which would be a call on this budget.
- Use of Reserves – the Treasurer advised that she intends to clarify how this matter is reported in the financial statements with the former Treasurer. Members will be updated via email.

Members noted the Budgetary Control Statement and reiterated that the Treasurer should seek assurance from the Chairs of Committees whose budgets are showing underspends that these budgets will be spent by the end of the current financial year.

Committee then discussed the approved 2019/20 general grant applications and considered which could be paid within this financial year. Councillor Cook proposed a recommendation to Council that grants to South Lakes Citizens Advice of £5k and The Quaker Tapestry at Kendal of £2k be approved for payment from the budget remaining of approximately £7k. This was seconded by Councillor C Hogg and carried unanimously. It was suggested that the recipients may be required to spend the monies prior to their financial year ends. The Treasurer will make contact to clarify this point prior to payment of the grants.

RESOLVED

1. Treasurer to clarify the method of reporting Use of Reserves with the former Treasurer and update Members via email.
2. Treasurer to seek assurance from the Chairs of Committees whose budgets are showing underspends that these budgets will be spent by the end of the current financial year.
3. Treasurer to contact South Lakes Citizens Advice and The Quaker Tapestry regarding the payment of grants during the current financial year.

RECOMMENDATION

That Council approve the payment of grants to South Lakes Citizens Advice of £5k and The Quaker Tapestry at Kendal of £2k from budget remaining in the current financial year.

824/18/19**GENERAL GRANTS**

The Treasurer reported that grants already approved for 2019/20 total £36,240, leaving a balance of £4,760 for the next financial year. Members considered two applications received since the Committee's last meeting as follows:

(a) Right2Work

Request for a grant of £7,000 to be put towards funds for providing a part time job coach, who would work and support learning disabled people within their Furniture Warehouse.

There was a general discussion regarding the Committee's stance on providing funds for staffing positions. The Chair commented that it was not uncommon within the charitable sector to request funds for a particular post. Concern was expressed by certain Councillors as it was felt there could be a risk of recurrent liability when funding a permanent position. There was also a feeling that the amount being requested from KTC was disproportionately high to the total cost of the project.

Councillor C Hogg proposed that the application be rejected. This was seconded by Councillor Cook and carried unanimously.

(b) SLEDP (South Lakeland Equality & Diversity Partnership)

Request for a grant of £100 to pay for room hire, refreshments and expenses relating to an International Women's Day event in Kendal Town Hall.

Whilst considering this application reference to the Buddhist Group of Kendal was noted. SLEDP does not have a bank account and it was unclear to whom payment of any grant would be made. It was highlighted that KTC should not be making payments to religious organisations. In this respect, it was agreed the Treasurer would check a previously approved application for SLEDP for £100. This would be stopped if payment was found to be to the Buddhist Group of Kendal.

Members also discussed whether the application would be better considered by the Christmas Lights & Festivals Committee, although it was noted that they were not due to meet again during the current financial year.

Councillor Bramham proposed that the application be rejected. This was seconded by Councillor C Hogg and carried unanimously.

A general discussion then ensued. Committee agreed there was a need to be clear on the terms and conditions when an organisation does not have a bank account and payment is made to another party. It was decided that the Treasurer would check the bank account status for all applicants and provide a report for consideration at the next meeting. This matter to be added to the Agenda for the next meeting and the grants criteria reviewed and amended as necessary.

Treasurer to circulate a copy of the criteria prior to the meeting. It was suggested that where payment is made to another party, letters should be obtained from both the applicant and the recipient of the funds to confirm their positions.

RECOMMENDATION That grant applications from Right2Work and SLEDP be rejected.

RESOLVED

1. Treasurer to check the previously approved application for SLEDP for £100. This to be stopped if payment is found to be to a religious organisation.
2. Treasurer to check the bank account status for all applicants and provide a report for consideration at the next meeting. Also circulate a copy of the grants criteria prior to the next meeting.
3. Agenda item for next meeting – Review of Grants Criteria

825/18/19 REVIEW OF RISK ASSESSMENTS

It was noted that Risk Assessments have not yet been reviewed. The Treasurer anticipated that this work will be complete prior to the next meeting.

826/18/19 CUMBERLAND BUILDING SOCIETY – TEMPORARY INVESTMENT

The Treasurer advised that Council had agreed to give 90 days' notice for the withdrawal of up to £75,000 from the Cumberland Building Society in order to meet cash flow requirements for the remainder of the financial year. It was not anticipated that the full amount would be required to be withdrawn. Committee noted the situation.

827/18/19 SCHOOLS OF SCIENCE AND ART CHARITY

Committee were informed that in 2016, KTC advised The Brewery Arts Centre that a grant of £1,000 previously awarded to them for the Young Ambassadors Scheme could be re-allocated to one of three alternative applications for funding from the Paul Hamlyn Foundation. Release of the grant was subject to sight of the Foundation's approval to the funding application.

The Brewery Arts Centre had recently contacted KTC to advise that, although the bid was unsuccessful, a similar proposal had been submitted to another trust and foundation, The Rayne Foundation for their chosen project, Emotional Warrior. The result was positive and £25,000 was awarded. The agreement with them was to release the funding in three equal tranches over 3 years. Release of each tranche required the Brewery to match fund. Following an award from CCC they had been able to draw down the first tranche, enabling the first year of the project to go ahead. They are currently approaching a number of local businesses for support in respect of funding to cover years two and three and were enquiring whether the previous offer from KTC still stood and whether the funds could be released.

A general discussion then ensued regarding the request from the Brewery, available funds etc. It was noted that the Schools of Science and Art Charity had received a bequest of £5,000 from Lynne Mayho following the sad passing of her husband.

Councillor C Hogg proposed a recommendation that approval be granted to release funding of £1,000 to the Brewery for the Emotional Warrior project. This was seconded by Councillor Rathbone and carried unanimously.

RECOMMENDATION That approval be granted to release funding of £1,000 to the Brewery Arts Centre for the Emotional Warrior project.

828/18/19 ITEMS FOR THE NEWSLETTER

Summer edition – invitation for grant applications.

829/18/19 ANY OTHER BUSINESS

Councillor C Hogg referred to the earlier discussion regarding the donation from Lynne Mayho to the Schools of Science and Art Charity. He explained to Members that he had been researching Artsmark for some time and asked Committee to consider whether it would be a suitable project for funding in respect of the donated monies. Artsmark is the creative quality standard for schools, accredited by the Arts Council England. It provides a clear framework for teachers to plan, develop and evaluate arts, culture and creativity across the curriculum. It is a national scheme which enables children to gain qualifications through school. There is a cost of £500 per school and schools are awarded silver, gold or platinum based on their achievements. Councillor C Hogg advised that he had approached both Curious Minds and Lynne Mayho. He proposed that the Charity provide funding of £500 to each school in Kendal to enable them to join the scheme.

Following a general discussion it was agreed to call an extraordinary meeting of the Schools of Science and Art Charity at the earliest practical date to discuss the matter further. Councillor Cook commented that it would be useful to receive a paper with further details of the scheme. There was a suggestion that Curious Minds be asked to make a presentation.

RESOLVED That an extraordinary meeting of the Schools of Science and Art Charity be called at the earliest practical date to discuss the Artsmark scheme and consider its suitability for funding by the Schools of Science and Art Charity.

830/18/19 DATE OF NEXT MEETING

It was noted that the next meeting is scheduled for Monday 29th April 2019. Committee wished to move the meeting to May if possible, or alternatively earlier in April. Town Clerk to be consulted.

RESOLVED That the date of the next meeting be rescheduled for May, or alternatively earlier in April. Town Clerk to be consulted.

The meeting closed at 8.06pm.

Summary of Information, Resolutions and Recommendations to Council

Min	Subject	Information/Resolution/Recommendation to Council	
823	Budgetary Control Statement	RES	<ol style="list-style-type: none"> 1. Treasurer to clarify the method of reporting Use of Reserves with the former Treasurer and update Members via email. 2. Treasurer to seek assurance from the Chairs of Committees whose budgets are showing underspends that these budgets will be spent by the end of the current financial year. 3. Treasurer to contact South Lakes Citizens Advice and The Quaker Tapestry regarding the payment of grants during the current financial year.
		REC	That Council approve the payment of grants to South Lakes Citizens Advice of £5k and The Quaker Tapestry at Kendal of £2k from budget remaining in the current financial year.
824	General Grants	REC	That grant applications from Right2Work and SLEDP be rejected.
		RES	<ol style="list-style-type: none"> 1. Treasurer to check the previously approved application for SLEDP for £100. This to be stopped if payment is found to be to a religious organisation. 2. Treasurer to check the bank account status for all applicants and provide a report for consideration at the next meeting. Also circulate a copy of the grants criteria prior to the next meeting. 3. Agenda item for next meeting – Review of Grants Criteria
827	Schools of Science and Art Charity	REC	That approval be granted to release funding of £1,000 to the Brewery Arts Centre for the Emotional Warrior project.
829	AOB	RES	That an extraordinary meeting of the Schools of Science and Art Charity be called at the earliest practical date to discuss the Artsmark scheme and consider its suitability for funding by the Schools of Science and Art Charity.

KENDAL TOWN COUNCIL

AUDIT, GRANTS & CHARITIES COMMITTEE

Monday 29 April 2019

Review of the Effectiveness of Internal Audit

Report

1. The Accounts and Audit Regulations 2015 require the Council to undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account public sector internal auditing standards or guidance.
2. Internal audit is a key element in providing assurance to the Council that its internal control arrangements are sound. It is therefore appropriate for the Committee and council to review the effectiveness of its internal audit function.
3. The internal audit for 2018/19 has been carried out by R F Miler & Co. There are two aspects to the review: meeting standards and characteristics of effectiveness. The current Treasurer has not undertaken an assessment of the performance of R F Miller & Co against relevant criteria, therefor the former Treasurer's assessment is attached as an annex, where it can be seen that their performance is considered to be satisfactory in all respects. If the committee agrees with this assessment, it should re-appoint R F Miller & Co as its internal auditors for 2019/20.

Recommendations

4. The Committee is recommended to:
 - a) consider the review of the effectiveness of the Council's internal audit in 2017/18 and forward its comments to full council; and
 - b) re-appoint R F Miller & Co as the Council's internal auditors for 2019/20.
5. The Town Council is recommended to:
 - a) Consider comments made by the Audit, Grants and Charities Committee; and
 - b) Approve the review of the effectiveness of its internal audit arrangements.

Review of Effectiveness of Internal Audit 2017/18

Area 1: Meeting Standards

Standard	Evidence of achievement
1. Scope of internal audit	<p>The appointment of R F Miller and Co as internal auditors was confirmed by Council in April 2017. The terms of the firm's engagement are formally agreed and documented. The internal auditors follow proper practice and meet national auditing standards. Internal audit work takes into account both the council's risk assessment and wider internal control arrangements. Internal audit work considers the council's anti-fraud and corruption arrangements. The internal auditors have unfettered access to all areas of the Council's activities.</p>
2. Independence	<p>The audit service provided by R F Miller and Co is independent from the Council and has no involvement in its financial controls, procedures or decision making. The same company provides payroll services to the Council; this is not considered to represent a conflict of interests as the two functions are separate parts of the organisation. Internal audit has direct access to those charged with governance and can seek information or explanations from any officer or Member of the Council. Reports are made in the auditors' own name to management.</p>
3. Competence	<p>R F Miller and Co are a reputable local firm of accountants with substantial experience in auditing and knowledge of auditing standards. They work to strict procedures which include appropriate quality control. The Audit Manager for the Council assignment is a qualified accountant with considerable experience and occupies a senior position within the firm. There is no evidence of a failure to carry out internal audit work ethically, with integrity and objectivity.</p>
4. Relationships	<p>The Responsible Finance Officer is consulted on the internal audit coverage. Respective responsibilities for officers and internal audit are defined in relation to internal control, risk management and fraud and corruption matters (job descriptions and engagement letter). The responsibilities of Council members are understood, in particular the Audit, Grants and Charities Committee; training of Members is available as required.</p>
5. Audit Planning and Reporting	<p>The annual internal audit plan properly takes account of all the risks facing the Council. Internal audit will provide their opinion to the Council on by 31 July 2018.</p>

Review of Effectiveness of Internal Audit 2017/18

Area 2: Characteristics of Effectiveness

Characteristic	Evidence of achievement
1. Internal audit work is planned	Planned internal audit work is based on risk assessment and designed to meet the Council's needs and national auditing standards.
2. Understanding the whole organisation, its needs and objectives	The annual audit demonstrates how audit work provides assurance for the council's Annual Governance Statement.
3. Be seen as a catalyst for change	Internal audit supports the Council's work in delivering improved services to the community.
4. Add value and assist the organisation in achieving its objectives	The Council makes positive responses to internal audit's recommendations and follows up with action where this is called for.
5. Be forward looking	In formulating the annual audit coverage, national agenda changes are considered. Internal audit maintains awareness of new developments in the services, risk management and corporate governance.
6. Be challenging	Internal audit focuses on the risks facing the Council. Internal Audit encourages managers/Members to develop their own responses to risk, rather than relying solely on audit recommendations.
7. Ensure the right resources are available	Adequate resource is made available for internal audit to complete its work; the auditor has the freedom to request additional fee work if he considers it necessary. Internal audit understands the Council and the legal and corporate framework in which it operates. The company has undertaken this role for several years; this continuity results in a good understanding of the Council, its internal control environment and the issues facing it.

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AUDIT, GRANTS & CHARITIES COMMITTEE

Monday 29 April 2019

Review of the System of Internal Control and Annual Governance Statement 2018/19

Report

Governance Requirements

1. Under the Accounts and Audit Regulations 2015 the Town Council must ensure that it has a sound system of internal control which:
 - Facilitates the effective exercise of its functions and the achievement of its aims and objectives;
 - Ensures that the financial and operational management of the authority is effective; and
 - Includes effective arrangement for the management of risk.
2. Additionally, each financial year the Council must conduct a review of the effectiveness of the system of internal control and prepare an annual governance statement in accordance with proper practices. The annual governance statement (AGS) must be approved before the Council approves the annual accounts.

Internal Audit

3. The Regulations also state that the Council must undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account public sector internal auditing standards or guidance. A separate report considers the adequacy and effectiveness of the Council's internal audit during 2018/19.

Internal Control Framework

4. The attached diagram summarises the key governance controls operating within the Council. The list of items is not exhaustive, while the headings are included for convenience only. The framework shows that the Council has a sound framework of internal control.

Review of Effectiveness

5. During the year 2018/19 the Council has maintained and updated its policies and procedures, eg its Reserves and Investment Policies. It has complied fully with all of the controls identified within the framework and has responded appropriately to new responsibilities, eg the calling of Parish meetings and the new General Data Protection Regulations.
6. Proper accounting and governance arrangements are set out by NALC and related organisations in their publication "Governance and Accountability for Smaller

Authorities”, known as the Practitioners Guide. The updates for the year ending 31 March 2019 include advice on General and Earmarked Reserves.

7. The separate report on Internal Audit indicates that the Council has maintained an effective internal audit of its activities during the 2018/19 financial year. This contributes to Officers’ opinion that the controls identified in the framework are adequate and effective and that they have operated consistently throughout the 2018/19 financial year.

Annual Governance Statement (AGS)

8. The proper practice for preparing the AGS is prescribed in the Practitioners Guide and the required format of the statement is contained in the Council’s Annual Governance and Accountability Return (AGAR). A draft statement is attached which, based on the assurance gained from this review of the internal control framework, contains positive responses to each of the governance questions. Guidance from the External Auditors, PKF Littlejohn, states that the results of the internal audit review for the year must be considered before the AGS can be approved by the full Council and signed by the Mayor and Town Clerk. The Internal Auditors have been informed that the Council needs at least an informal opinion from them before the meeting on 13 May.

Recommendations

9. The Committee is recommended to consider this report and to recommend to Council that it:
 - a) formally adopts the NALC publication “Governance and Accountability for Smaller authorities 2019”, as representing best practice in these areas, with effect for 2019/20;
 - b) approves the review of the effectiveness of the council’s system of internal control for 2018/19;
 - c) approves the Annual Governance Statement for 2018/19; and
 - d) authorises the Mayor and Town Clerk to sign the Statement at Section 1 of the Annual Return.

KENDAL TOWN COUNCIL

INTERNAL CONTROL FRAMEWORK				
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Statutory & Constitutional	Financial Management	Audit	Risk Management	Employees
<p>Legislation:</p> <ul style="list-style-type: none"> • Local Government • Health & Safety • Equalities • Data Protection • Freedom of Information <p>Councillors:</p> <ul style="list-style-type: none"> • Standing Orders • Acceptance of Office • Code of Conduct • Register of Interests • Declaration of Interests • Annual Assembly <p>Annual Report</p> <p>Newsletter</p>	<ul style="list-style-type: none"> • Financial Regulations • Financial Procedures • Proper Accounting Practices • Procurement Rules • Approval of expenditure • Approved Budget • Budgetary Control • Reserves Policy • Investment Policy • Transparency reports • Asset Register 	<ul style="list-style-type: none"> • Internal Audit • Public Sector Internal Audit Standards • External Audit • Public Right of Inspection 	<ul style="list-style-type: none"> • Risk Assessments • Health & Safety advice • IT Security • Business Continuity arrangements • Security of Assets • Insurance cover • Kendal Action Plan • Project Management and Reporting 	<ul style="list-style-type: none"> • Approved establishment • Contracts of employment • Job Descriptions • Employee Handbook • Health & Safety Handbook • Performance Appraisals

Section 1 – Annual Governance Statement 2018/19

We acknowledge as the members of:

KENDAL 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' means that this authority:
	Yes	No*	
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:

DD/MM/YY

and recorded as minute reference:

MINUTE REFERENCE

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

Chairman

SIGNATURE REQUIRED

Clerk

SIGNATURE REQUIRED

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

Authority web address

kendaltowncouncil.gov.uk

AUTHORITY WEBSITE ADDRESS

KENDAL TOWN COUNCIL

AUDIT, GRANTS & CHARITIES COMMITTEE

Monday 29 April 2019

Finance Outturn Report – Year ended 31 March 2019

1. Income & Expenditure Account

Appendix A

The attached statement shows actual income and expenditure for 2018/19 compared to the Approved Budget for the year; the previous year's outturn is also shown, for information only. The variance column indicates the under or overspending against the revised budget. In this report and the statement, underspendings, ie favourable variances, are shown as positive figures, with overspendings, ie adverse variances, as negatives or (bracketed).

a) Income +£9,860

Precept and grant income from SLDC was received in accordance with the budget, while there was a variance of £9,860 on other headings, as follows:

- Investment income was £1,223 higher than expected, due to interest rates remaining favourable.
- Allotment rent income was £528 higher than expected.
- Two instalments of Community Infrastructure Levy (CIL) were received in the year, totalling £8,209, which has been transferred to the earmarked reserve.

b) Gross Expenditure -£12,404

After transfers to and from reserves, gross expenditure recorded a net overspending of £12,204. The principal reasons for the net overspending are summarised below.

Management -£13,185

- Staff Salaries currently show a £12,153 overspending against the profiled budget. The Administrative Assistant's post was vacant for part of the year, but was covered by an agency employee at a slightly higher cost. The leaving Treasurer was paid for additional hours worked in preparing for a handover to his replacement. The Mayor's Attendant's costs are high compared to the profiled budget due to an approved substantial increase in contracted hours.
- The salaries heading is partially recharged to the budgets of other Committees, based on an analysis of staff time spent on their services. The amount recharged was £6,064 more than estimated, due mainly to the overall overspending on salaries and to a lesser extent to revised time apportionments; the variance is recorded in the staffing headings of the other Committees.
- The Premises heading was overspent by £320, solely because of extra security measures taken in the Town Hall.
- Miscellaneous expenditure was over budget by £7,896, due to the £8,636 cost of the Parish Poll, for which there was no provision in the budget.
- There are small variances across the remainder of the Committee's budgets.

Mayoralty & Ceremonies -£3,434

- Increased expenditure on staff recharges due to approved increase in contracted hours for the Mayor's Attendant makes up £6,361 of the overspend, set against savings of £587 on Mayor's Travel, £1,859 on Functions and £480 on Twinning.

Allotments -£675

- General expenses show an underspending of £789, whilst there was a slight overspend on staffing costs.

Bloom £458

- Floral Displays overspent by £592 which was offset by an underspend of £487 on Bloom Competitions.
- Sponsorship income was £480 higher than the budget of £500.

Christmas Lights & Festivals -£870

- The Switch On Event was higher than budget at £3,992, due to a significant reduction in external sponsorship.
- The overspend on the Lights heading is set against an underspend in Festival Grants.

Highways & Infrastructure +£3,127

- To an extent the Committee's budgets are reactive, responding to identified maintenance or replacement of items. Further, the budget generally benefits from the availability of the Development Fund, which is able to finance schemes which would otherwise fall to be met from this heading.
- The New Infrastructure budget was underspent by £3,000.

General Grants +£605

- The General Grants budget was almost fully spent, helped by the advance payment of 2019/20 grants totalling £7,000.

Action Plan Schemes Expenditure -£62,309 Income +£10,100

- Details of Action Plan transactions are given in the statement at Appendix B. The statement shows the latest available revision of the Plan, with programmed expenditure of £197,442, rather than the Approved Budget of £67,550. A significant proportion of this year's expenditure on Action Plan schemes was due to slippage on projects which had been programmed for the previous year.

Contingency +£8,000

- No items were met from the contingency provision as any unbudgeted expenditure is charged to the relevant service heading.

c) Contributions to and Use of Reserves

For clarity, these headings list the contributions made to reserves in the year and the monies transferred from the same reserves to fund 2018/19 expenditure. The following transactions have not already been referred to above:

- A transfer of £2,000 has been made to the Arts & Heritage Reserve towards the cost of restoring assets.
- Contributions of £1,116 and £180 have been made to the Allotments and Wainwright Funds respectively to reflect interest earned on investing these monies.
- A contribution of £2,500 has been made to the Election Reserve to bring it up to its target level at the year end.
- Clock repair and restoration costs of £1,549 have been met by a contribution from the Arts and Heritage Reserve.
- Costs of £756 for Parks and Open Spaces have been met by a contribution from the Environment Reserve.
- Finally the £300 Wainwright Award has been met from the corresponding Fund.

d) Use of the General Fund Balance

- The Approved Budget assumed that the working balance would be increased by £6,432; the actual increase is £3,890.

2. Action Plan

Appendix B

A separate statement shows the detailed actual expenditure for the year on Action Plan schemes. As mentioned earlier, this is compared to the latest Plan programme rather than the Approved Budget. The programmed is entirely funded by the Development Fund: the closing balance of £57,628 in the Fund is fully committed or allocated to schemes which will incur expenditure in 2019/20 and subsequent years.

3. Reserves Statement

Appendix C

The Reserves Statement shows the transactions on individual funds and reserves for the financial year. Earmarked funds decreased from £233,407 to £171,698 in the year.

The General Fund working balanced closed the year at £54,012, which is £6,174 higher than the £47,828 assumed in the Budget.

4. Balance Sheet

Appendix D

Although the Balance Sheet as at 31 March 2019 is provided largely for information, the following points may be noted:

- The Debtors balance of 5,647 includes £2,978 VAT for the 4th Quarter of the year, which will be reclaimed from HMRC.
- The Prepayments figure reflects payments in 2018/19 which are correctly chargeable to 2019/20, eg £501 alarm rentals, £668 van insurance and £410 IT and Website costs.
- Allotment rent deposits of £3,243 are included in the Creditors and Accruals balance, as are accruals of £20,746 for goods and services received in 2018/19 which will not be paid for until 2019/20.
- The Receipts in Advance figure of £16,352 consists entirely of the portion of 2019 allotment rent income which relates to 2019/20.

5. Conclusion

The outturn statement confirms that net expenditure for 2018/19, excluding expenditure on Action Plan projects, was contained within budget. This “overspend” on Action Plan projects was the result of slippage from the previous year. Reserves remain at a healthy total level, currently £225,710.

Similarly, there are no concerns relating to the Council’s Balance Sheet at 31 March 2019, and overall the Council remains in a sound financial position.

6. Recommendation

The Committee is recommended to consider this report and recommend its acceptance to full Council.

KENDAL TOWN COUNCIL				
2018/19 OUTTURN STATEMENT				
INCOME & EXPENDITURE ACCOUNT				
2017/18 OUTTURN	2018/19 APPROVED BUDGET	HEADING	2018/19 ACTUAL OUTTURN	Favourable/ (Adverse) Variance
£	£		£	£
		INCOME		
		Precept:		
355,484	373,965	Council Tax	373,965	0
2,587	2,267	SLDC - Lighting	2,267	0
1,455	0	SLDC - Elections	0	0
359,526	376,232	Sub-Total	376,232	0
29,880	30,149	SLDC - Grant	30,149	0
0				
3,524	2,460	Other Income:		
21,609	21,659	Investment Interest	3,683	1,223
3,312	0	Allotment Rents	22,187	528
92	100	Community Infrastructure Levy	8,209	8,209
28,537	24,219	Miscellaneous	0	(100)
		Sub-Total	34,079	9,860
417,943	430,600	TOTAL INCOME	440,460	9,860
		EXPENDITURE		
		Management:		
151,472	161,900	Staff Salaries & Expenses (including travel)	174,053	(12,153)
(65,240)	(71,070)	Staff Recharges to Services	(77,134)	6,064
15,898	16,040	Premises	16,360	(320)
4,820	6,060	Supplies & Services	5,291	769
9,825	10,130	Audit, Subscriptions & Insurances	9,765	365
1,455	0	Elections	0	0
8,391	8,860	Newsletter	9,641	(781)
2,889	6,160	IT & Website	5,393	767
2,322	2,020	Miscellaneous	9,916	(7,896)
131,832	140,100	Sub-Total	153,285	(13,185)
		Mayorality & Ceremonies:		
9,087	11,580	Staffing	17,941	(6,361)
5,093	5,150	Mayor's Allowance & Christmas Cards	5,149	1
147	800	Mayor's Travel	213	587
4,709	8,810	Functions	6,951	1,859
1,931	2,000	Twinning Expenses	1,520	480
20,967	28,340	Sub-Total	31,774	(3,434)
		Arts & Heritage:		
0	0	Exhibitions	172	(172)
2,135	1,500	Restoration of Heritage Items	1,549	(49)
2,000	2,000	Kendal Museum	2,000	0
4,135	3,500	Sub-Total	3,721	(221)
		Allotments:		
14,824	19,570	Staffing	19,456	114
9,644	11,150	General Expenses	11,939	(789)
0	0	Improvements & Developments	0	0
24,468	30,720	Sub-Total	31,395	(675)
		Bloom:		
18,101	15,790	Staffing	15,707	83
19,503	20,150	Floral Displays (incl. Community Projects)	20,742	(592)
2,644	1,701	Bloom Competitions	1,214	487
(500)	(500)	Receipts from Sponsors	(980)	480
39,748	37,141	Sub-Total	36,683	458
		Christmas Lights & Festivals:		
6,485	6,740	Staffing	6,730	10
15,810	16,030	Christmas Lights Displays	23,202	(7,172)
843	2,590	Christmas Lights Switch - On Event	3,992	(1,402)
34,760	35,000	Festival Grants	27,306	7,694
57,898	60,360	Sub-Total	61,230	(870)
		Environment:		
15,724	17,390	Staffing	17,300	90
0	500	Somervell Garden	0	500
9,985	0	Parks & Open Spaces Programme	849	(849)
25,709	17,890	Sub-Total	18,149	(259)
		Highways & Infrastructure:		
1,621	2,700	Infrastructure Maintenance	2,494	206
1,117	1,250	Litter Bin Emptying	1,329	(79)
2,500	3,500	New Infrastructure	500	3,000
2,587	2,267	Lighting - running costs	2,267	0
7,825	9,717	Sub-Total	6,590	3,127
		General Grants	35,395	605
		Action Plan:		
35,956	36,000	Allocated Schemes	129,859	(62,309)
0	67,550	Development Fund Income	(10,100)	10,100
90,561	0		119,759	(52,209)
(28,100)	67,550			
62,461	67,550			
0	0	Flooding Recovery	0	0
0	8,000	Contingency	0	8,000
0	320	Wainwright Award	300	20
320				
0				
411,319	439,638	DIRECT EXPENDITURE	498,279	(58,643)

£	£		£	
79,309	46,650	CONTRIBUTIONS TO RESERVES:	46,650	0
28,100	0	Development Fund - Support to Action Plan	10,100	(10,100)
0	0	Development Fund - External Income	0	0
2,000	2,000	Development Fund - Committee Underspendings	2,000	0
1,099	1,080	Arts & Heritage Reserve	1,116	(36)
650	2,500	Allotments Reserve	2,500	0
3,312	0	Election Reserve	8,209	(8,209)
182	170	Community Infrastructure Levy Reserve	180	(10)
114,652	52,400	Wainwright Fund	70,755	(18,355)
(90,561)	(67,550)	USE OF RESERVES:	(129,859)	62,309
(9,985)	0	Development Fund: Action Plan Expenditure	(756)	756
(1,135)	0	Environment Reserve	(1,549)	1,549
(1,455)	0	Arts & Heritage Reserve	0	0
(320)	(320)	Election Reserve	(300)	(20)
(103,456)	(67,870)	Wainwright Fund	(132,464)	64,594
422,515	424,168	GROSS EXPENDITURE	436,570	(12,404)
(4,572)	6,432	Increase/(Decrease) in General Fund Balance	3,890	(2,542)
417,943	430,600		440,460	9,860
		GENERAL FUND BALANCE:		
54,696	41,396	Brought forward 1 April	50,122	8,726
(4,574)	6,432	Increase/(decrease) in year	3,890	(2,542)
50,122	47,828	Balance carried forward	54,012	6,184

KENDAL TOWN COUNCIL			
2018/19 OUTTURN STATEMENT			
ACTION PLAN			
		Latest Programme £	Actual 31 March 2019 £
Development Fund: Opening Balance 1 April 2018		130,737	130,737
Contributions from/(to) Revenue:			
Budgeted Contribution		46,650	46,650
External Income:			
SLDC: Kendal Futures Kendal Destination Website support		3,600	3,600
Kendal BID: Contribution to EH1b Leaflet Reprint		4,000	4,000
Kendal Futures: Contribution to Leaflet Reprint		2,500	2,500
KADBUS: Blackhall Road Bus Shelter			
LIP Funding Green Wall Project		10,000	
Resources for Year		197,487	187,487
Less: Expenditure on Projects	As at 1 April 2018	Latest Programme	Actual 31 March 2019
	£	£	£
Action Plan for Kendal:			
EH1 Signage, Interpretation and Public Realm Improvements:	0	0	0
EH1a Green Wall Project	0	21,000	1,134
EH1b Leaflet Reprint	7,126	9,874	9,333
EH1c Signage Improvements	2,524	1,680	810
EH3 Strategic Transport Infrastructure Study	10,000	20,000	10,000
MG5 Support for Kendal Futures Projects	4,000	4,800	11,300
Kendal Futures Funding:			
MG2 Support for Co-ordinator	0	7,750	7,750
MG4 Delivering the Action Plan - Kendal Futures allocation	2,000	11,714	
Tourism Support in Kendal:			
MG6 Support for Kendal TIC	5,000	10,000	5,000
MG16 Kendal Destination Website support (funded by Kendal Futures)	2,733	867	3,450
Green Spaces Improvement Projects:			
EH6 Maude's Meadow		15,000	15,000
EH7 Heron Hill School Woodland Trail	596	1,404	0
EH9 Kendal Castle Environmental Improvements	17,910	6,090	5,857
KB1 SLACC Pollinator Project	5,800	1,300	1,300
Public Realm Improvement Projects:			
CL2 Christmas Lights, Stramongate		2,000	0
EH10 Market Place Enhancement (incls £10,000 LIP and £12,000 from SLDC)	4,371	32,629	22,000
CL3 Building Flag & Tree holder maintenance and replacement	916	1,084	0
Other Schemes:			
MG8 Eden & South Lakeland Credit Union	6,000	3,000	3,000
MG9 Lancaster Canal Northern Reaches (reserved allocation)	250	250	250
MG12 Community Emergency Planning	5,000	5,000	0
EH14 Lakes Line Feasibility Study		2,000	0
EH15 Abott Hall Play Area Improvements		5,000	5,000
EH16 Kendal Parks Play Area Improvements		3,500	3,500
AL1 Improve Boundary Wall/Fences, Greenside/Rinkfield Allotments		10,000	
EH17 Blackhall Road bus Shelters/KADBUS scheme		21,500	20,437
EH Millenium Fields Gate			203
EH River Kent Invasive Plant Action Group - Himalayan Balsam			615
EH Litter Bin at Millenium Fields			450
EH Fern Trail Interpretation			120
KB Trees in Kendal Town Centre			3,350
	74,226	197,442	129,859
Development Fund: Closing Balance 31 March 2019		45	57,628

Appendix C

KENDAL TOWN COUNCIL
2018/19 OUTTURN STATEMENT
FINANCIAL RESERVES

	Balance	2018/19 Actual		Balance
	1 April 2018	Contribution to Reserve	Use of Reserve	31 March 2019
	£	£	£	£
Earmarked Reserves:				
Development Fund	130,737	56,750	(129,859)	57,628
Allotments	71,996	1,116	0	73,112
Arts & Heritage	5,193	2,000	(1,549)	5,644
Environment	2,394	0	(756)	1,638
Election	7,500	2,500	0	10,000
Community Infrastructure Levy	3,958	8,209	0	12,167
Wainwright	11,628	180	(300)	11,508
EARMARKED RESERVES	233,407	70,755	(132,464)	171,698
GENERAL FUND WORKING BALANCE	50,122	0	3,890	54,012
TOTAL RESERVES	283,529	70,755	(128,574)	225,710

KENDAL TOWN COUNCIL
2018/19 OUTTURN STATEMENT
BALANCE SHEET AS AT 31 MARCH 2019

	£	£
Short Term Investments		238,398
Current assets		
Debtors	5,647	
Deposits	50	
Prepayments	2,218	
Cash at bank and in hand	25,091	
	33,006	
Current Liabilities		
Creditors and Accruals	29,344	
Receipts in Advance	16,352	
	45,696	
Net Current Assets	-	12,689
		225,709
Represented by:		
Earmarked Reserves		
Development Fund		57,628
Allotments		73,112
Arts & Heritage		5,645
Environment		1,638
Election		10,000
Community Infrastructure Levy		12,167
Wainwright		11,508
		171,697
General Fund Working Balance		54,012
Total Reserves		225,709

KENDAL TOWN COUNCIL

AUDIT, GRANTS & CHARITIES COMMITTEE

Monday 29 April 2019

Annual Accounts 2018/19

1. Introduction

This report presents the 2018/19 Annual Accounts, and the accompanying statements, for the Committee's review prior to seeking Council's approval. It seeks to explain the Accounts and, where appropriate, the reasons for significant variations from the 2017/18 figures. The Accounts are currently being audited by our Internal Auditors; any initial observations from the process will be reported to your meeting.

2. The Accounting Statements

The following statements for the financial year 2018/19 are attached:

- Income & Expenditure Account
- Balance Sheet
- Reserves Statement
- Annual Governance and Accountability Return (AGAR): Section 2 – Accounting Statements.

3. Income & Expenditure Account

Income for the year totalled £440,460 (Natwest), which was £57,819 less than the total expenditure of £498,279. The difference has been deducted from reserves and the General Fund working balance.

a) Income

Total income for the year increased by £22,518 from its 2017/18 total, due to the following factors:

- A 2.84% increase in the Town Council's council tax produced an additional £16,706 in the precept income, while the council tax grant increased by £268, both from SLDC;
- Interest rates remained relatively stable, and interest income increased slightly to £3,683 from £3,524 in 2017/18;
- Allotment rent income was £578 higher than the previous year, partially as a result of rent increases for the 2018 and 2019 calendar years; and
- Community Infrastructure Levy income increased year on year, with receipts increasing to £8,209 in 2018/19 from £3,311.85 in 2017/18.

b) Expenditure

The total expenditure of £498,279 for the year was £86,979 higher than that for the previous year. Many headings showed variations from last year, including the following:

Staffing

Employee costs totalled £174,053, an increase of £22,582 over the previous year. An inflationary pay award, increased pension contributions and incremental advances to relevant staff added to staffing costs, as did approved changes in hours for the Treasurer, Project Manager and Mayor's Attendant. There was also an approved handover period between the former and current Treasurer, which contributed to the increase. These costs were offset by a £1,300 adjustment to the Pension Fund contribution.

Recharges of £77,134 have been made to the following services to better reflect the true cost of the various activities undertaken by the Town Council:

	£
Mayoralty & Arts	17,941
Allotments	19,456
Bloom	15,707
Christmas Lights & Festivals	6,730
Environment & Highways	17,300
	<u>77,134</u>

As staff costs have risen, the 2018/19 recharge is £11,894 higher than last year. The remaining staff time is spent on general management and administration.

Premises

Premises costs totalled £16,360, compared to £15,898 in 2017/18, an increase of £462. The purchase of a CCTV camera and panic alarm makes up most of this variance.

Elections

No election costs were charged to the 2018/19 accounts.

Newsletter, IT & Website

Expenditure on this heading increased by £3,754, which is in line with the budget.

Civic Functions - Staffing

Staff recharges increased by £8,854, due in the main part to approved increase in hours for the Mayor's Attendant, which accounted for over £8,000 of the variance. The remaining increase was due to a combination of inflationary pay award and incremental advances to relevant staff.

Mayor's Travel

Mayor's Travel remained within budget, with a slight year on year increase of £66.

Functions & Twinning Expenses

The costs associated with the Regimental Freedom Parade in March account for the increased expenditure from £6,640 in 2017/18 to £8,470 in 2018/19. The

Freedom Parade is not an annual event, and was not held in 2017/18, and the cost of this year's Parade came in under budget.

Allotments

In 2018/19, staff recharges increased by £4,632. Costs in 2017/18 were reduced due to a staff vacancy, whereas in 2018/19 the position was filled for the full year. Inflationary pay award and incremental advances also contributed to the increase in year on year cost. General expenses recorded an increase of £2,295, made up of increases in vehicle running and site maintenance costs. Repairs during the year costing £424 to the Town Council van increased the year on year vehicle expenses, while fencing repairs at Shaw Brow along with walling and other repair costs totalled £3,735.

Bloom Activities

Bloom activities spent £3,066 less in 2018/19. There was an increase in external sponsorship from £480 in 2017/18 to £980 in 2018/19, combined with the decrease in Staff recharges by £2,394. Expenditure on Bloom competitions was also reduced by £1,431 year on year. These savings were offset by increased expenditure on Floral Displays.

Christmas Lights

Overall, there was an increase of £10,786 on this heading. The cost of the Switch On event increased year on year by £3,149. There was a significant decrease in sponsorship income for the event this year, whereas in the previous year the majority of the costs were met by outside sponsorship.

Environment & Highways

Expenditure on these services decreased by £8,796, although there was an increase in staff recharges of £1,576. In the previous year £9,630 had been spent on planting at Dowkers Lane and the Birdcage.

Festival Grants

Festival Grants decreased by £7,454, due to a lower take up of available funds.

Action Plan Schemes

In 2017/18, there was expenditure of £62,461 on Action Plan Schemes, after income of £28,100 was taken into account; by their nature, these were not repeated and the 2018/19 expenditure was £129,859, with income of £10,100.

Details of the 2018/19 expenditure on individual schemes can be found in the outturn report.

4. Balance Sheet at 31 March 2019

Short Term Investments

The Council's main investments are £180,000 with the Cumberland Building Society and £55,978 in the Barclays Bank Business Reserve Account; the latter figure

varies on a day to day basis as transactions pass through the current account. A small balance of £2,421 is still in a Reserve Account with the NatWest Bank. Overall, there is a net reduction from last year as funds have been used to pay for Action Plan schemes

Debtors

This balance, £5,647, includes £2,979 to be claimed from HMRC in respect of VAT incurred on purchases in the final quarter of 2018/19. The remaining balance includes of £1,636 interest due on the Council's investments, and £333 relating to the Cycle to Work Scheme.

Prepayments

The items in the account include the contract agreement for the alarm system, IT licences and the insurance and road fund licence for the Council van.

Cash at Bank and In Hand

The Current Account balance of £24,982 is £64 less than the 2018 figure. The figures are so close because this Barclays account has a target level of £25,000.

Creditors and Accruals

Invoices totalling £20,746 for goods and service received in March 2019 were not paid until April; overall, there was an increase of around £9,748 in accruals, reflecting the timing of payments. This heading also includes Allotment deposits of £3,243.

Receipts in Advance

This heading comprises the 2018 Allotment rents of £16,352 received for the period April to December 2019.

5. Reserves Statement

This statement shows the movement on each of the seven earmarked reserves during the year and that for the General Fund working balance. Taken together, the balance on these reserves decreased from £283,528 at 31 March 2018 to £225,709 at 31 March 2019. This decrease of £57,819 is a direct result of the surplus of expenditure over income referred to at the start of this report, which predominantly relates to this year's expenditure on non-recurring Action Plan schemes.

6. Annual Governance and Accountability Return (AGAR) – Section 2: Accounting Statements

The Return is in the standard format required for submission to the External Auditor. The figures on this statement are broad summaries of those appearing on the Income & Expenditure Account and the Balance Sheet. The Assets figure in box 9 has been updated for new acquisitions during the year.

7. Approval and Audit of the AGAR and Exercise of Public Rights

Although the statutory approval timetable has not changed from previous years, the new External Auditors, PKF Littlejohn, have revised several steps in the process. The Accounts must be signed by the Treasurer as Responsible Financial Officer before being approved by the whole Council on 13 May, which has to take place after approval of the Annual Governance Statement (AGS). New guidance suggests that the AGS should not be approved until the Internal Auditors, R F Miller, have completed their review of the financial year. It is not clear whether the firm will be able to meet this timescale, but they have been asked to give at least an informal indication of the outcome.

The unaudited Accounts and AGS have to be published on the Council's website on 17 June. Following this, the exercise of public rights lasts from 17 June to 26 July; during this time, members of the public are able to examine the accounts and supporting documentation.

The AGAR comprises the AGS, the Accounts and the Internal Auditor's report. The full AGAR has to be submitted to PKF Littlejohn by 1 July. After their sign-off, the audited Return must be published on the Council's website by 30 September.

8. Recommendations

The Audit, Grants and Charities Committee is recommended to consider this report and recommend its acceptance to full Council.

KENDAL TOWN COUNCIL**2018/19 Accounts****Income and Expenditure Account**

	2018/19		2017/18	
	£	£	£	£
Income				
Council Tax Precept		376,232.64		359,526.01
SLDC Council Tax Grant		30,148.62		29,880.30
Interest on Investments	3,682.95		3,523.84	
Allotment Rents	22,186.99		21,608.54	
Community Infrastructure Levy	8,208.85		3,311.85	
Miscellaneous	0.00	34,078.79	91.75	28,535.98
		<u>440,460.05</u>		<u>417,942.29</u>
Total Income				
		<u>440,460.05</u>		<u>417,942.29</u>
Expenditure				
General Administration				
Staff Salaries & Expenses	174,053.45		151,471.73	
Staff Recharges to Services	(77,134.00)		(65,240.00)	
Premises	16,360.06		15,898.31	
Supplies & Services	5,290.52		4,819.86	
Audit, Subscriptions & Insurance	9,764.71		9,824.89	
Elections	0.00		1,455.14	
Newsletter, IT & Website	15,033.80		11,280.18	
Miscellaneous	9,916.12	153,284.66	2,322.49	131,832.60
		<u>153,284.66</u>		<u>131,832.60</u>
Civic Functions				
Staffing	17,941.00		9,087.00	
Mayor's Allowance	5,148.67		5,093.00	
Mayor's Travel	213.04		147.27	
Functions	6,950.70		4,709.24	
Twinning Expenses	1,519.92	31,773.33	1,930.57	20,967.08
		<u>31,773.33</u>		<u>20,967.08</u>
Arts & Heritage				
Restoration of Heritage Items	1,548.67		2,134.50	
Exhibitions	172.45		0.00	
Kendal Museum	2,000.00	3,721.12	2,000.00	4,134.50
		<u>3,721.12</u>		<u>4,134.50</u>
Allotments				
Staffing	19,456.00		14,824.00	
General Expenses	11,938.96	31,394.96	9,644.45	24,468.45
		<u>31,394.96</u>		<u>24,468.45</u>
Kendal Improvement Schemes				
Bloom Activities	36,682.38		39,748.81	
Christmas Lights	33,923.99		23,137.58	
Environment & Highways	24,738.49		33,534.30	
General Grants	35,395.00		35,955.94	
Festival Grants	27,306.21		34,760.00	
Action Plan Schemes	119,759.06		62,461.17	
Flooding Recovery	0.00	277,805.13	0.00	229,597.80
		<u>277,805.13</u>		<u>229,597.80</u>
Wainwright Award		300.00		320.00
		<u>300.00</u>		<u>320.00</u>
Total Expenditure		<u>498,279.20</u>		<u>411,320.43</u>
Surplus/(Deficit) of Income over Expenditure added to/ (taken from) General Fund Working Balance and Reserves		<u>(57,819.15)</u>		<u>6,621.86</u>

KENDAL TOWN COUNCIL

2018/19 Accounts

Balance Sheet as at 31 March 2019

	2019		2018	
	£	£	£	£
Short Term Investments		238,398.58		256,330.54
Current assets				
Debtors	5,647.30		32,302.47	
Deposits	50.00		50.00	
Prepayments	2,218.25		2,345.00	
Cash at bank and in hand	<u>25,091.44</u>		<u>25,147.04</u>	
		33,006.99		59,844.51
Current Liabilities				
Creditors and Accruals	(29,344.45)		(16,493.90)	
Receipts in Advance	<u>(16,351.76)</u>		<u>(16,152.64)</u>	
		(45,696.21)		(32,646.54)
Net Assets		<u>225,709.36</u>		<u>283,528.51</u>
Represented by:				
Reserves				
Development Fund	57,628.20		130,737.26	
Allotments	73,111.79		71,995.79	
Arts & Heritage	5,644.73		5,193.40	
Environment	1,637.85		2,393.68	
Election	10,000.04		7,500.04	
Community Infrastructure Levy	12,166.89		3,958.04	
Wainwright	<u>11,508.31</u>		<u>11,628.31</u>	
	171,697.81		233,406.52	
General Fund Working Balance		54,011.55		50,121.99
		<u>225,709.36</u>		<u>283,528.51</u>

I certify that, for the year ended 31 March 2019, these Accounts present fairly the financial position of Kendal Town Council and its income and expenditure

..... Town Treasurer Date

Approved by the Town Council on 13 May 2019

..... Mayor

KENDAL TOWN COUNCIL

2018/19 Accounts

Financial Reserves

	Balance	2018/19 Transactions		Balance
	1 April 2018	Contribution	Use of	31 March 2019
	£	to Reserve	Reserve	£
Development Fund	130,737.26	56,750.00	(129,859.06)	57,628.20
Allotments	71,995.79	1,116.00	0.00	73,111.79
Arts & Heritage	5,193.40	2,000.00	(1,548.67)	5,644.73
Environment	2,393.68	0.00	(755.83)	1,637.85
Election	7,500.04	2,500.00	0.00	10,000.04
Community Infrastructure Levy	3,958.04	8,208.85	0.00	12,166.89
Wainwright	11,628.31	180.00	(300.00)	11,508.31
EARMARKED RESERVES	<u>233,406.52</u>	<u>70,754.85</u>	<u>(132,463.56)</u>	<u>171,697.81</u>
GENERAL FUND WORKING BALANCE	<u>50,121.99</u>	<u>3,889.56</u>	<u>0.00</u>	<u>54,011.55</u>
TOTAL RESERVES	<u>283,528.51</u>	<u>74,644.41</u>	<u>(132,463.56)</u>	<u>225,709.36</u>

Section 2 – Accounting Statements 2018/19 for

KENDAL TOWN COUNCIL

	Year ending		Notes and guidance
	31 March 2018 £	31 March 2019 £	
1. Balances brought forward	276,907	283,528	<i>Please round all figures to nearest £1. Do not leave any boxes blank and report £0 or Nil balances. All figures must agree to underlying financial records.</i> <i>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.</i>
2. (+) Precept or Rates and Levies	359,526	376,233	<i>Total amount of precept (or for IDBs rates and levies) received or receivable in the year. Exclude any grants received.</i>
3. (+) Total other receipts	58,416	64,227	<i>Total income or receipts as recorded in the cashbook less the precept or rates/levies received (line 2). Include any grants received.</i>
4. (-) Staff costs	151,472	174,053	<i>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.</i>
5. (-) Loan interest/capital repayments	0	0	<i>Total expenditure or payments of capital and interest made during the year on the authority's borrowings (if any).</i>
6. (-) All other payments	259,849	324,226	<i>Total expenditure or payments as recorded in the cashbook less staff costs (line 4) and loan interest/capital repayments (line 5).</i>
7. (=) Balances carried forward	283,528	225,709	<i>Total balances and reserves at the end of the year. Must equal (1+2+3) - (4+5+6).</i>
8. Total value of cash and short term investments	281,478	263,490	<i>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.</i>
9. Total fixed assets plus long term investments and assets	1,656,784	1,685,666	<i>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.</i>
10. Total borrowings	0	0	<i>The outstanding capital balance as at 31 March of all loans from third parties (including PWLB).</i>
11. (For Local Councils Only) Disclosure note re Trust funds (including charitable)	Yes	No	<i>The Council, as a body corporate, acts as sole trustee for and is responsible for managing Trust funds or assets.</i> <i>N.B. The figures in the accounting statements above do not include any Trust transactions.</i>
	✓		

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

SIGNATURE REQUIRED

Date

DD/MM/YY

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

DD/MM/YY

as recorded in minute reference:

MINUTE REFERENCE

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

SIGNATURE REQUIRED

KENDAL TOWN COUNCIL

AUDIT, GRANTS & CHARITIES COMMITTEE

Monday 29 April 2019

General Grant Applications 2019/20

Report

Available Budget

1. The 2019/20 Revenue Budget provides £41,000 for general grants. Grants totalling £36,240 have been approved, leaving £4,760 in the budget.

Grant Applications

2. One new application has been received since the Committee's last meeting:

The Kendal Brewery Arts Centre Trust Limited

Following the presentation made to full Council on the Our Digital Future project, the Brewery Arts Centre was asked to submit a funding application to KTC to support this £900,000 project. The amount requested is £10,000. Kendal Brewery Arts Centre has already been awarded a £10,000 grant for this financial year, to "supplement the statutory funding from Arts Council England, South Lakeland District Council, and Cumbria County Council to support core venue and curation costs."

Recommendations

3. The Committee is recommended to:
 - a) note the available budget;
 - b) consider the grant application for 2019/20; and
 - c) forward its recommendations to the Town Council for approval.

KENDAL TOWN COUNCIL

Grant Application Form

Please check before sending:

Is your project or service based in Kendal?

Have you read the grants criteria?

Have you attached a copy of your latest audited accounts?

(No application will be considered without a copy of your latest audited accounts)

If you have any queries then please contact us on: 01539 793490 or e-mail:office@kendatowncouncil.gov.uk.

Please note: Information which you provide in this application will be considered in an open meeting of the Audit, Grants and Charities Committee and is therefore in the public domain.

Correspondent (and position): Development Officer (Fundraising)

Name of your organisation: The Kendal Brewery Arts Centre Trust Limited (The Brewery)

Address: 122a Highgate, Kendal, Cumbria

Daytime Telephone: 01539 - 722833 x255

E-mail: paul.singleton@breweryarts.co.uk

1. Please tell us about your organisation: The Brewery (BAC) is a flagship arts centre, housing performing arts, film culture, visual arts and creative learning, all under one roof within a vibrant and welcoming social hub. Last year, 175,000 visited the site to enjoy and participate in our extensive range of artistic and creative learning programmes. In the average year, the BAC stages over 200 live ticketed events, 2,600 film screenings, 30 art exhibitions and hosting all of Kendal's international festivals. Our experienced and knowledgeable programmers use their curatorial skills to schedule innovative and diverse programme of work presented by the best exponents and emerging talent from their respective fields appropriate to the size of venue. We are also committed to giving local young people and adults opportunities to participate and create arts and culture as well as being consumers. There are over 70 strands of courses, classes and workshops that promote creative fulfilment, enjoyment, personal development and social interaction along with schemes for talent development and career progression. We also engage with some of the most disadvantaged and vulnerable members of our community.

2. Briefly describe the project or service you want funding for:

The BAC has embarked on an ambitious and exciting project that will see the transformation of our artistic and learning programmes by harnessing the latest digital technologies. Entitled Our Digital Future, this £900,000 project will give us new and innovative ways to engage with audiences and users both on and off-site, especially those who aren't able to engage with us at present. It will also increase our income so we can become a more resilient organisation. The project will see: a) the upgrade of our two existing film/digital venues – along with the addition of a new screening lounge – with great audio and visual quality, comfortable seating and best ambience to ensure our audiences return and experience more of what we offer; b) create a new digital learning hub: widening access to digital technology for artists, festivals, creatives, young people, adult learners, c) Enhance the technical/ digital aspects of the Rehearsal Studio for learning, performance and development projects d) a full technical upgrade of the Theatre for film, streaming & performance; e) Installation of new audio description & captioning equipment in all the performance and film venues.

Total cost of project or service	£900,000	Amount requested	£10,000
Funds received to date	£63,566	Funds pledged to date	£629,999

3. Why do you need this grant and how will the people of Kendal benefit?

Ensure the town continues to host a flagship art centre for the 21st century with a strong digital footprint reinforcing and enhancing our existing work. At its heart will be the creation of a state of the art cinema with the refurbishment of the two existing full-time screens and the addition of a third. All will be equipped to a high contemporary standard. With the third screen added, the cinema will show an extended curated programme with art house, documentaries and foreign language films screened exhibited alongside the best mainstream releases. This will deliver the modern cinema Kendal deserves, one with the potential to become a regional centre for film culture, adding to the town's growing cultural portfolio. The digital and technical upgrades in the Theatre will not only increase and extend our capacity to stream content into the auditoria, i.e. cultural cinema (NT Live, RSC, Royal Opera House etc.), but also to capture and record performances and events performed in the Theatre digitally and stream them out online into the community. This facility will be invaluable to Kendal's major festivals enabling them to add innovation and flexibility to their programme strands. In the longer term, the resource could inspire the creation of additional festivals and events. It will also be made available for local community groups, businesses and civic society to hire and use.

Making these new facilities accessible to all sections of the Kendal community will be priority. All auditoria will be fitted with audio description and captioning. There will be more special performances: Silver Screen Matinees for the over 60s and `relaxed` screenings for those with dementia and those on the autism spectrum for example. The new digital learning hub (including a portable `guerrilla digital studio`) and the rehearsal studio will enable us to harness the power of digital to offer new learning and career development opportunities for the people of Kendal of all ages. This will include the introduction of new content such as filmmaking, 2D/3D digital art, animation, adventure filmmaking amongst others. It will also inject innovation into the current creative learning programme for stage and dance, enabling playback facility on rehearsals. Installation of a `green screen` and post-production facilities for film making with feature, alongside specialised equipment for digital art/media including 3D printing capacities. We will also provide an `open studio` for established and emerging artists to develop their digital skills and produce new work. The mobile guerrilla digital studio will offer the tools to deliver digital content and participation across all areas of the Brewery as well as take more of our programme out into local communities and engage with groups who find it difficult to engage with us currently, whether through age, disability, economic disadvantage or social exclusion.

4. Please provide any other information in support of your application.

This project is a real opportunity to make the Brewery a flagship digital art centre. The project is already been supported by Arts Council England, South Lakeland District Council, the Garfield Weston Foundation, the Foyle Foundation, the Clark Foundation and by over 800 donations from local people and audiences. A contribution from Kendal Town Council will be invaluable in getting closer, bring the total raised or pledged close to the £700,000 mark, but act as stimulus for further community donations and leverage further support from other trusts and foundations.

5. What other sources of funding have already been raised or promised?

Source	Total
Arts Council England	£499,999
South Lakes District Council	£30,000
Anonymous Donor	£20,000
Public Appeal	£5,700
Pledged (Garfield Weston Foundation, Foyle Foundation & the Clark Foundation)	£130,000
Total Funds Raised	£685,699

6. How do you propose to evaluate that the service or project has been a success?

The capital programme is being managed by a team comprised of senior managers and deputy chair of the Brewery's trustees and a sting of project teams. There are strict and robust procedures in place to ensure that the project is delivered to specification, on time and on budget. In terms of KPIs, our aim is to increase cinema admissions by 10% over the next 2 year, increasing income by £269,000 over three years and for over 1,000 people per year to be involved in digital creative learning or at least have a digital component within their course.

7. Please provide a copy of your latest audited accounts with your application.

Included our annual report and accounts for 2018-19

Signed: Paul Singleton, Development Officer (Fundraising) Date: 22th March 2019

Grants are paid, net of VAT, directly to organisations' bank accounts, so we will need the following details from you:

Organisation's Account Name: The Kendal Brewery Arts Centre Trust Limited

Sort Code: 16-2223 Account Number: 10082166

Completed applications should be sent to:

treasurer@kendaltowncouncil.gov.uk

Jack Jones, Town Treasurer
Kendal Town Council
Town Hall
KENDAL
Cumbria LA9 4DL
Tel: 01539 793490

KENDAL TOWN COUNCIL

AUDIT, GRANTS & CHARITIES COMMITTEE

Monday 29 April 2019

Grants Criteria 2020-21

Attached are copies of the current 2019-20 Grants Criteria for Kendal Town Council Grants.

Recommendations

1. The Committee is recommended to:
 - a) review the current Grants Criteria and recommend any amendments;
 - b) forward its recommendations to the Town Council for approval.

KENDAL TOWN COUNCIL

Grants Criteria: General and Festival Grants

Guidance for Organisations applying for Grant Funding Financial Year 2019/20

1. Introduction

Every year, Kendal Town Council aims to make funding available to organisations which support its work for the benefit of the residents of Kendal. General grants are administered through the Audit, Grants & Charities Committee and festival grants through the Christmas Lights & Festivals Committee.

2. Statutory Framework

Although Town Councils have a wide range of powers and duties, they are only able to make grants within these statutory restrictions. The Cumbria Association of Local Councils maintains a useful summary of these limits - see the document "Powers and Duties of Local Councils" on its website.

3. Funding priorities

Within this Framework, the Council makes grants available for both *core funding* and for *project work* (see 5. *Funding Provision* for how the Council defines these terms). Each autumn, the Council sets its budget priorities for the forthcoming financial year and will take account of those budget priorities when considering grant applications.

Grants are awarded within two priority areas:

3.1 Festivals - The Council believes that festivals - particularly those recurring annually - play an important part in the social life of the Town, help create a positive image of the Town, and attract tourism income for local businesses and the economic benefit that naturally follows.

Within this category, priority will be given to festivals which involve significant numbers of local residents, particularly young people, in their preparation and delivery, and which attract large numbers of local residents to their events.

Requests under this category may be either for core funding or for project work, and will be considered by the Council's Christmas Lights & Festivals Committee.

3.2 Community Development - The Council wishes to encourage community activities in the town, and recognises the role that arts, cultural, sports, and voluntary charitable activities play in developing community spirit and a sense of place.

Priority will be given to locally based organisations which serve marginalised, disadvantaged or isolated people in Kendal, and which demonstrate an effective use of local volunteers, especially young people.

Requests under this heading will normally be for project work.

In all cases, *organisations must be able to prove that the primary beneficiaries of the funding will be the residents of Kendal.*

Additionally, Town Councillors are trustees of the Schools of Science & Art Charity, which awards grants for the promotion of education in Kendal – further details are on the Town Council's web-site.

4. Types of organisations

The Council is especially interested in helping smaller organisations based in Kendal that offer direct services to Kendal residents.

4.1 Structure - Organisations should have, or should be in the process of acquiring, registered charity or similar not-for-profit status (small bona-fide community groups are exempt from this requirement). Organisations must work directly with beneficiaries (i.e. excluding grant-giving charities, endowment funds, etc).

The Council will not fund commercial organisations, such as registered companies, partnerships, or sole traders. Not-for-profit limited by guarantee and community interest companies are eligible to apply.

4.2 Size of organisation - Grants are relatively modest; to make sure grants of this size have an impact, the Council will prioritise the funding of smaller organisations. For organisations based exclusively in Kendal, this means having an income of less than about £100,000, or those working across the UK, an income of not more than about £250,000.

Applications from educational establishments will be considered on their merits, taking a measured approach to the establishment's financial accounts.

4.3 Capability - Applicants must demonstrate they are able to deliver the activities supported by funding.

4.4 Sustainability - Applicants must show that they have investigated other sources of funding and made plans for the future, which should include replacement funding if appropriate.

5. Funding Provision

5.1 Funding Limit - Grants are usually up to £5,000. Organisations are expected to raise a significant proportion of funding from their own activities.

5.2 Duration of funding - Grants are awarded on an annual basis. *Organisations receiving a grant will not normally be eligible for a further grant in the same financial year.*

5.3 Core funding - The majority of the grants awarded by the Council relate to core funding, to cover running costs such as general administration, premises costs and services. Usually the Council will have an ongoing partnership with the requesting organisation, whose success is judged to be essential to the life and reputation of the town. Organisations should not anticipate or rely on ongoing support from the Council and are expected to raise an increasing proportion of its income; the Council will monitor this as appropriate.

5.4 Project funding - The Council welcomes applications for projects where the grant will be used for an identified purpose. Applications for project funding should make sure they can fund the cost of any overheads associated with the work, such as office/secretarial support, so that the project is not under-funded. It is in the organisation's best interest to ensure that they have realistically assessed the total cost of the project.

- a) **Innovative or pioneering work.** The Council likes to encourage new ideas and to fund projects that could inspire similar work in other areas, and so enhance the reputation of the town.
- b) **Pump-priming.** The Council particularly welcome applications for pump-priming grants from small community-based organisations.
- c) **Continuation funding.** The Council does appreciate the importance of providing ongoing funding for successful projects which have proved their worth; however, the Council will look for evidence that the organisation is generating an increasing proportion of its income from its own fundraising activities.

5.5 Emergency or deficit funding - *in exceptional circumstances*, the Council may provide emergency or deficit funding for an established organisation. Applicants most likely to be granted emergency funding are organisations which the Council knows or has previously supported.

6. What will the Committee not recommend?

6.1 General appeals - sponsorship, marketing or other fundraising activities.

6.2 Retrospective funding - grants for work that has been completed, or will be completed while the application is being considered.

6.3 Personal appeals - grants or sponsorship etc. to individuals either directly or indirectly.

6.4 Organisations

- with available surplus reserves well above the cost of the project or funding requested.
- whose membership is closed and not open to residents as a whole
- with sectarian, political, or purely lobbying objectives.

7. Applying for Funding

7.1 The Council receives many appeals each year, and the most common reasons for it not being able to make a grant are:

- applications not falling within the guidelines;
- organisations considered to have excessive financial reserves; or
- application forms not being filled in correctly and/or completely, or arriving after the deadline for submission.

Applications received usually exceed the funds available, so even if your application meets the Council's criteria, it may not be possible to award a grant in full, or at all.

7.2 Read these guidelines carefully and only apply if your work falls within the Council's priorities. You are recommended to seek the support of a Town Councillor (eg your Ward Member, or the Council's representative on your governing body, if you have one). Organisations seeking funding for festivals should discuss their requests with the Council's Christmas Lights & Festivals Committee.

7.3 Download the application form from the Council's website. It is also available by post or on request at the Town Hall.

7.4 Other sources of funding may be available through the Dowker Bindloss Charity via the Cumbria Community Foundation and the Cumbria County Council's Neighbourhood Forum.

7.5 Read these guidelines carefully before completing the form. It helps to have your application supported by one or more Councillors, who can answer questions about the application if the need arises. The Town Treasurer will be glad to answer specific questions on process, but *the Council cannot accept draft applications*.

7.6 Once the Council has received your application form the process is as follows:

- a) The Town Treasurer will acknowledge receipt of your application and will contact you to deal with any queries, if necessary. **Your application cannot go to the relevant Committee if there are any outstanding issues.**
- b) Town Council staff will contact you within two weeks of the final Council decision, to let you know the outcome of your application.
- c) If your application has been successful, the Town Treasurer will arrange payment via a bank transfer; annual grants are normally paid during July.
- d) Organisations receiving project funding must submit a project completion report for review by the Audit, Grants, & Charities or Christmas Lights and Festivals Committee.

7.7 **When to Apply.** The two Committees meet according to a published timetable (available on the Council's website). The Committees conduct their

main review of funding applications at their October meetings. Your application is most likely to be successful if it is received in time for this meeting. **Applications can only go on the Committee agenda if they have been received - and have had any issues resolved - fourteen days before the Committee meeting.**

The Committee will do its best to process your application as quickly as possible. If the Committee needs further information about your application, it may have to postpone a decision until the next Committee meeting.

Any applications that arrive too late for consideration at one meeting are automatically carried forward to the next. Once the Committee has exhausted its annual budget, no further grants will be available until the next financial year.

The decisions of the Committee go forward as recommendations to the next full Council meeting for a final decision. The Council may accept or reject the Committee's recommendations, approve a different amount of funding, or refer an application back for further consideration by the Committee.

7.8 Emergency procedure. In exceptional circumstances, and only with the support of the Mayor, a funding request may be heard by full Council without going through the relevant Committee. The applicant must be able to show why this is a genuine emergency, with a significant impact on Kendal residents. The criteria in Sections 5 and 6 still apply and the organisation must complete the standard paperwork for audit purposes and meet the timetable for the Council Agenda.

8. Grant Conditions

8.1 The Council will apply certain conditions to the grants it awards:

- a)** The grant must be used for the purpose stated in the organisation's application; the Council reserves the right to require a refund of any grant which is not used appropriately.
- b)** Organisations must acknowledge the assistance granted by the Town Council, eg by displaying its name in documentation, webpages or project signage.
- c)** The Council may require the organisation to achieve specified outcome or output measures connected with the grant funding.
- d)** For awards over £2,000, the Council requires the organisation to submit a brief report on the use of the grant and the organisation's activities; this should be received by 31 March of the year to which the grant relates. In the case of core funding, this will relate to a full financial year; for project funding, the report is required on completion of the project.

9. Further advice and information

For further advice and information about the Council's Audit, Grants, & Charities or Christmas Lights and Festivals Committee, please contact any

Town Councillor. The Town Treasurer at Kendal Town Council will be happy to answer any technical queries.

Contact details: Kendal Town Council, Town Hall, Kendal, LA9 4DL
<http://www.kendaltowncouncil.gov.uk>

KENDAL TOWN COUNCIL

General Grants Criteria: Multi-Year Funding Agreements

Guidance for Organisations

1. Introduction

Kendal Town Council intends to offer selected organisations the opportunity to apply for multi-year grant funding agreements. These will be for no more than three years and will give the organisation greater certainty over the money that it receives from the Council.

Following a meeting of the Council's Audit, Grants and Charities Committee, the selected organisations are being invited to apply for multi-year grants, starting in 2019/20. Please note that the Committee's decision is subject to confirmation by full Council on 3 September 2018, but organisations can apply in anticipation of that confirmation.

2. Conditions

The Council will apply certain safeguards in order to protect its interests, as follows:

- i) A grant will be returned, withheld or withdrawn if an organisation's circumstances change significantly from those stated in its application; for example:
 - a) the organisation ceases to exist or its purpose changes significantly;
 - b) the nature or extent of its service, location and client group changes;
 - c) a major funder withdraws, making the service unviable;
 - d) the organisation's finances change substantially, eg it receives a legacy or windfall income;
 - e) the organisation has not used any previous grant from the Council appropriately or not met the conditions of an earlier award; and
 - f) the organisation or any of its personnel are committed of an offence which adversely affects it or its reputation.
- ii) During a multi-year agreement, the organisation will be required to declare annually that none of these changes have occurred and to supply a copy of its latest audited accounts. For grants over £2,000, a short report on the use of the grant monies will be required by 31 March (as required by the standard grants criteria.)
- iii) The Council reserves the right, in exceptional circumstances, to withdraw an offer of a multi-year grant if its (the Council's) financial circumstances change adversely during the course of the agreement.

3. How to Apply

Organisations seeking a multi-year funding agreement are asked to use the standard application form, stating within it the requested length of agreement and the amounts requested for each year. A statement of how the certainty of a multi-year agreement would assist the organisation should also be included.

4. Further Information

For further details or to discuss the offered agreements, please email treasurer@kendaltowncouncil.gov.uk.

August 2018

AUDIT, GRANTS & CHARITIES COMMITTEE

Monday 29 April 2019

Schools of Science and Art Charity

a) Introduction

1. This report presents the Schools of Science and Arts' summarised Receipts and Payments Accounts for the year ended 31 March 2019 and a forecast for 2019/20, so that the Committee can review the Charity's financial position prior to it being reported to the Trustees, who meet on 13 May 2019.

b) 2018/19 Accounts

2. The Charity's income for the year was £5,282. The income was made up of £282 interest on its investments, along with a £5,000 legacy from a former Councillor. There was £150 expenditure on awards. The Charity closed the year with accumulated funds of £20,623, of which £8,992 is invested on a long term basis in Charibond fixed interest shares.
3. The Council makes regular annual awards of £50 each to Kendal College, Queen Katherine School and Kirkbie Kendal School, in order to fund a prize in the name of the Mayor of Kendal.
4. In August 2016, the Council agreed to provide £1,000 to The Brewery Arts Centre in support of one of its bids to funding organisations (Minute 294/16/17 refers). This has now been claimed by The Brewery, and is due to be paid over in April 2019.

c) 2019/20 Forecast

5. Unlike many charities, the Schools of Science and Art does not have a fixed capital "in perpetuity", such as might be gifted or bequeathed. However, the Council has previously considered that the Charity's capital should remain intact and only interest and investment income used to provide resources for grants.
6. In 2014/15, the Charity benefited from "windfall" income of £2,000 and has since been able to use this to supplement its annual income. Prior to this, the Charity's resources stood at £13,360, and it is reasonable to consider this amount to be the capital value which should remain intact in order to generate annual income. In 2018/19 the Charity benefitted from a £5,000 bequest from a former Councillor. This would suggest that the Charity currently has around

£7,000 of accumulated funds available to “top up” its annual investment income, which is forecast to be around £300 for 2019/20.

7. While the Brewery Arts Centre has called on the pledge of a £1,000 grant, there are sufficient resources, around £6,200, for the Council to continue its three prize making grants to the High Schools and College, as well as considering new applications. The availability of grants is advertised in the Council’s Newsletter and on its website.
8. In order to consider the allocation of the £5,000 bequest from the late former Councillor Chris Mayho, a Trustees Meeting was held on 1 April 2019, during which two presentations were made. It was resolved at the meeting that the subgroup give the matter further consideration and report back with a firm recommendation at the next meeting in May.

d) Recommendations:

9. The Committee is recommended to:
 - i) review the Charity’s Accounts for 2018/19 and its forecast income for 2019/20 and forward them to the Charity’s Trustees for approval; and
 - ii) recommend the payment of the regular annual prize grants of £50 each to the two local High Schools and Kendal College in 2019.

TRUSTEES OF THE SCHOOLS OF SCIENCE & ART CHARITY

Receipts & Payments Account and Schedule of Assets

Year Ended 31 March 2019

		2018/19		2017/18	
		£	£	£	£
	Opening Balance at 1 April		15,491.47		15,592.90
Add:	Receipts:				
	Interest - Charibond	235.16		386.36	
	Interest - Cumberland Building Society	46.86		32.21	
	Legacy -	5,000.00		0.00	
	Total		5,282.02		418.57
Less:	Payments:				
	School/College Prizes	150.00		150.00	
	Grants	0.00		370.00	
	Other	0.00		0.00	
	Total		(150.00)		(520.00)
	Closing Balance at 31 March		<u>20,623.49</u>		<u>15,491.47</u>
 Represented by:-					
	Long Term Investments at cost:		Note 1		
	Charibond Fixed Interest Common Investment Fund	8,992.00		8,992.00	
	Cumberland Building Society	5,938.84		5,891.98	
	Cash at Bank	5,692.65		607.49	
	Total at 31 March		<u>20,623.49</u>		<u>15,491.47</u>

Notes:

- 1 The market value of the Charity's 8,399 Charibond shares at 31 March 2019 was £10,358.49 (31 March 2018 £10,361.85).
- 2 The Trustees have approved a grant of £1,000 to the Brewery Arts Centre to support one of its projects (Council Minute 294/16/17 refers).

The above statement represents a true & fair view of the financial position of the Charity's Accounts at 31 March 2019 and its receipts and payments during the year.

Approved by the Trustees on 13 May 2019

.....

Mayor of Kendal

.....

Town Treasurer

KENDAL TOWN COUNCIL

Schedule of Risk Assessments

1. Liability

Risk Ref	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Liability 1	Employer's & Public Liability	Staff Members Members of Public	General Health & Safety related risks	1	Health & Safety Policy approved. Health & Safety staff training. Specialist H&S advice contract. Regular on-site H&S visits.	None	Yes	Employer's & Public Liability	None
Liability 2	Employer's Liability	Staff & Members	Personal injury to staff.	1	No trailing cables/overloaded sockets. Compliance with Health & Safety working with VDU guidelines.	None	Yes	Employer's Liability	None
Liability 3	Employer's Liability	Staff	Relationship issues.	2	Proper personnel procedures are in place. New Contracts of Employment and Employee Handbook have been introduced.	None	Not Insurable	No	None
Liability 4	Employer's Liability	Staff	Work-related stress	2	Appropriate job descriptions are in place. Proper regard to and supervision of staff. Annual staff reviews.	None	Not Insurable	No	None
Liability 5	Public Liability	Public & Members	Members of public or Town Council hurt as a result of the negligence of the Town Council or its representatives.	3	Adherence to Health & Safety legislation and guidelines. Health & Safety Policy approved Adequate equipment. Adequate staff training. Regular maintenance of street furniture.	None	Yes	Public Liability	None

Key to Scale of Unmitigated Risk:

1 = High 2 = Medium 3 = Low

Reviewed: 29 April 2019

Signed:

Next Review Due: January 2020

KENDAL TOWN COUNCIL

Schedule of Risk Assessments

2. Fraud

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Fraud 1	Fraud Cash & Other Assets	By Officers, staff Members & others	Someone defrauding the Town Council of cash or other assets	1	Financial Procedures reviewed regularly. Spot checks of petty cash & invoices. Bank reconciliation.	None	Yes	Yes Fidelity Guarantee	£600,000 cover
Fraud 2	Other Assets	By Officers, staff or Members	Town Council Property used for non - Town Council purposes	3	Adequate supervision and security Specific action taken - vehicle identification Registration of vehicle on fuel invoices Itemised phone bill re mobile phone	None	Yes	Yes Fidelity Guarantee	None
Fraud 3	Fraud Estimates & Tenders	By Officers & others	Deliberate manipulation of quotation process to benefit officer or supplier	1	Proper Financial Regulations in place Adhering to current regulations by reporting the seeking of quotations to Council	None	Yes	Yes Fidelity Guarantee	None
Fraud 4	Fraud Illegal Expenditure	Members	Town Council acts ultra-vires	1	Town Clerk & Treasurer have appropriate qualifications. Professional legal advice is sought	None	No	No	Shared liability
Fraud 5	Fraud Grant Application	Others	Fraudulent manipulation of Grants system	1	Proper examination of application prior to Town Council approval / rejection. Follow-up of capital projects only.	None	No	No	None

Key to Scale of Unmitigated Risk:

1 = High 2 = Medium 3 = Low

Reviewed: 29 April 2019

Signed:

Next Review Due: January 2020

KENDAL TOWN COUNCIL

Schedule of Risk Assessments

3. Theft

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Theft 1	Theft	Staff	Theft of cash or other assets from the Town Council.	1	Petty cash payments approved by Council. Financial Procedures and security in place. Fixed Assets Register checked annually by Town Treasurer & Mayor's Attendant.	None	Yes	Fidelity Guarantee	None
Theft 2	Theft	Councillors	Theft of other assets from the Town Council, excluding cash and / or cheques.	1	Recorded on Fixed Assets Register and checked annually by the Town Treasurer and Mayor's Attendant.	None	Yes	Fidelity Guarantee	None
Theft 3	Theft	Others	Theft of cash or other assets from the Town Council by burglary or opportunism.	2	Proper security and appropriate systems in place.	None	Yes	Burglary and Theft - Yes. Opportunism not insurable	None

Key to Scale of Unmitigated Risk:

1 = High 2 = Medium 3 = Low

Reviewed: 29 April 2019

Signed:

Next Review Due: January 2020

KENDAL TOWN COUNCIL

Schedule of Risk Assessments

4. Fire, Terror, Vandalism & Other

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Fire 1	Fire	Staff, members, others	Fire - deliberate or accidental	1	Provision of Fire Alarm, extinguishers and smoke detectors Fire drills & checks <i>Electrical PAT testing, fire extinguisher inspections are undertaken annually by the landlord (Town Hall offices) & by KTC for garage.</i> <i>Annual fire risk assessments</i> <i>Power sockets not overloaded</i>	None	Yes	Yes Contents Insurance	None
Violence 1	Assault	Staff, members & public	Being subject to acts of violence, assault	2	Ongoing vigilance, awareness and training.	None	Yes	Yes	None
Vandalism 1	Vandalism	Town Council property	Deliberate defacement and /or destruction of Town Council property	3 Town Hall 1 inside Town Hall	Vigilance, education & prosecution by Police if appropriate.	None	Yes	Yes, if within Town Hall	None
Other 1	Other Bodies Actions	Staff, members or public.	Injury or damage caused by the actions of outside bodies.	3	A wood counter has been constructed to separate public and staff. Office alarm and panic button installed.	None	Yes	Yes Where insurable	None

Key to Scale of Unmitigated Risk:

1 = High 2 = Medium 3 = Low

Reviewed: 29 April 2019

Signed:

Next Review Due: January 2020

KENDAL TOWN COUNCIL

Schedule of Risk Assessments

5. General Office Environment

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risk	Action Outstanding	Insurance needed	Insurance in place	Other Comments
General Office 1	Fire	Employees, visitors and contractors.	Fire - burns, smoke inhalation.	1	Display Fire Procedure Ongoing vigilance Fire Extinguisher serviced annually. <i>Knowledge of Landlord's Fire Drill</i>	None	Yes	Yes Contents Insurance	None
General Office 2	Slips, trips & falls.	Employees	Bruises, cuts and fractures to staff.	2	Maintain a tidy environment. Remove all rubbish and clean up immediately after any spillage. Secure trailing cables and provide adequate lighting. Access and egress from work areas are kept clean, tidy and free from obstructions. First Aid Training undertaken by two staff.	None	Yes	Yes for Assault Terrorism Hostage -taking not insurable	None
General Office 3	Handling	Employees	Manual handling injuries such as strain, hernia and fractures.	2	Specific manual handling assessment carried out when necessary. Loads lifted manually by one person if safe; if not, then by team if necessary or Townscape Manager.	Staff to be reminded as required.	Yes	Yes	None
General Office 4	Hazardous Substances	Employees	Inhalation, absorption, eye contact, skin burn.	1	Staff made aware of such hazards. Personal Protective Equipment available when required.	None	Yes	Yes	None
General Office 5	Electricity	Employees and contractors.	Shock, burn, fire.	1	Hard wiring to be inspected by S.L.D.C. every 5 years. Portable electrical equipment to be inspected and tested every 5 years. PAT testing undertaken at regular intervals.	None	Yes	Yes	None
General Office 6	Storage	Employees	Cuts, bruises and minor injuries.	1	Designated areas and rooms used for storage.	None	Yes	Yes	None

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risk	Action Outstanding	Insurance needed	Insurance in place	Other Comments
General Office 7	Work Equipment	Employees	Photocopiers, paper shredder, printers etc.	1	Equipment guards in place. Adequate staff training. Inspection and maintenance of equipment on a regular basis. Photocopiers used in well ventilated areas.	None	Yes	Yes	None
General Office 8	Display Screen Equipment	Employees	Repetitive Strain Injury W.R.U.L.D., eye strain, lower back pain.	1	Eye sight tests available for users. Adjustable chairs. Ergonomically designed workstations. Adequate lighting and rest breaks for users. <i>DSE self assessments carried out & actioned</i>	None	Yes	Yes	None

Key to Scale of Unmitigated Risk:

1 = High 2 = Medium 3 = Low

Reviewed: 29 April 2019

Signed:

Next Review Due: January 2020

Schedule of Risk Assessments

6. Mayor's Parlour

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risk	Action Outstanding	Insurance needed	Insurance in place	Other Comments
MP1	Fire	Employees, visitors and contractors.	Fire - burns, smoke inhalation.	1	Display Fire Procedure Ongoing vigilance Fire Extinguisher serviced annually. Knowledge of Landlord's Fire Drill	Obtain landlord's Fire Drill	Yes	Yes Contents Insurance & Public & Employers Liability	None
MP2	Slips, trips & falls.	Employees, visitors and contractors	Bruises, cuts and fractures to staff, visitors or contractors	2	Maintain a tidy environment. Remove all rubbish and clean up immediately after any spillage. Secure trailing cables and provide adequate lighting. Access and egress areas are kept clean, tidy and free from obstructions.	None	Yes	Yes Public & Employers Liability	None
MP3	Manual Handling	Employees	Manual handling injuries such as strain, hernia and fractures.	2	Specific manual handling assessment carried out when necessary Loads lifted manually - if safe by one person. If not, then by team if necessary or Townscape Manager.	Staff to be made aware as required.	Yes	Yes Employers Liability	None
MP4	Electricity	Employees, visitors and contractors	Shock, burn, fire.	1	Hard wiring to be inspected by SLDC every 5 years. PAT testing undertaken yearly by SLDC.	None	Yes	Yes Public & Employers Liability	None
MP5	Display Cabinet	Employees, visitors and contractors	Cuts, bruises and other injuries.	1	Fix Display Cabinet securely to wall or floor	None	Yes	Yes Public & Employers Liability	None

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risk	Action Outstanding	Insurance needed	Insurance in place	Other Comments
MP6	Sword & Maces	Visitors	Cuts	1	Sword and Maces to be handled only by those authorised by the Town Council to make presentations to the public in the Parlour, and others under Council supervision	None	Yes	Yes Public Liability	None

Key to Scale of Unmitigated Risk:

1 = High 2 = Medium 3 = Low

Reviewed: 29 April 2019

Signed:

Next Review Due: January 2020

KENDAL TOWN COUNCIL

Schedule of Risk Assessments

7. Garage/Workshop

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risk	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Garage / Workshop 1	Slips trips & falls	Employees & visitors.	Slips, trips and falls Cuts, bruises & fractures.	1	All spillages cleaned up promptly or covered with sand. Materials and equipment stored in designated areas. Rubbish cleared away. Adequate lighting and secure trailing cables Staff made aware during induction and during occupational training. <i>Vigilance when accessing and using mezzanine floor.</i>	Refresher training as required.	Yes	Yes Employer's Liability	None
Garage / Workshop 2	Manual handling	Employees	Strain, hernia or fracture.	1	Townscape Manager trained in lifting techniques. Use of wheelbarrow or two person lift.	Review need for sack trolley.	Yes	Yes Employer's Liability	None
Garage / Workshop 3	Pollution	Employees	Pollution due to spillages or dust inhalation.	1	Secure storage provided for all hazardous substances and flammable materials. Garage floor painted to minimise dust. Mask worn when sweeping floor.	None	Yes	Yes Employer's Liability	None
Garage / Workshop 4	Electricity	Employees and Contractors	Electricity and system. Shock, burn or fire.	1	Electricity isolated when appropriate. Portable electrical equipment to be inspected and tested in accordance with best practice. No trailing cables/overloaded sockets.	None	Yes	Yes Employer's Liability	None

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risk	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Garage / Workshop 5	Housekeeping	Employees	Cuts, bruises and minor injuries, including from harmful substances.	1	Avoid use of chemicals and solvents wherever possible. Chemicals and solvents stored in original containers so safety advice is displayed. Designated areas used for storage. Acquire manufacturers' data sheets where needed. Harmful substances disposed of in a safe Manner.	COSHH assessments to be completed on new format documentation.	Yes	Yes Employer's Liability	None
Garage / Workshop 6	Storage	Employees, visitors and Contractors	Injuries from falling materials and equipment	2	Ensure that only the minimum amount of materials are stored on site at any one time. Secure Garage / Workshop whenever possible ensuring it is locked each evening. Loads on pallets not to be stacked more than two high. No materials to be stacked so high as to create a risk of injury. Townscape Manager aware of risks of injury to self and third parties of falling items.	None	Yes	Yes Employer's Liability	None
Garage / Workshop 7	Fire	Employees, visitors and Contractors	Fire - deliberate or accidental	1	See Fire Risk 1 for details				

Key to Scale of Unmitigated Risk:

1 = High 2 = Medium 3 = Low

Reviewed: 29 April 2019

Signed:

Next Review Due: January 2020

KENDAL TOWN COUNCIL

Schedule of Risk Assessments

8. Driving

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Driving 1	R.T.A.'s	Employee & Public	Road Traffic Accidents	1	Only persons with a relevant current driving licence are allowed to drive the Council's van. Only persons authorised by the Council are allowed to drive the Council's van. Drivers are required to provide a copy of their licence annually. Drivers must not use a hand held mobile phone whilst driving. Drivers must not drive whilst under the influence of alcohol or drugs, incl prescription drugs. The vehicle is serviced and maintained in line with manufacturer's recommendations.	None	Yes	Yes Fully Comprehensive Vehicle Insurance	None
Driving 2	Fire	Employee	Fire	1	A suitable fire extinguisher will carried in the vehicle at all times and the driver will be trained in its use. The fire extinguisher is to serviced annually. COSHH Material Safety Data Sheets /TREM cards will be carried in the vehicle when carrying hazardous substances. Suitable warning labels will be affixed to the rear of the van when carrying large quantities of hazardous materials, flammable liquids or flammable gas.	None	Yes	Yes Fully Comprehensive Vehicle Insurance	None
Driving 3	Injuries	Employee & Assistant	Occupants struck by materials carried in the vehicle.	1	Passengers are not to be carried in the Council's van without specific permission. <i>Van fitted with a solid bulkhead to protect the driver in the event of an accident.</i>	None	Yes	Yes Fully Comprehensive Vehicle Insurance	None

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
<i>Driving 4</i>	<i>Injuries/ Damage</i>	<i>Employee & Public</i>	<i>Reversing accident</i>	<i>2</i>	<i>Van fitted with sensors. Ongoing vigilance.</i>	<i>Reversing camera to be retro fitted to van</i>	<i>Yes</i>	<i>Yes Fully Comprehensive Vehicle Insurance</i>	<i>None</i>

Key to Scale of Unmitigated Risk:

1 = High 2 = Medium 3 = Low

Reviewed: 29 April 2019

Signed:

Next Review Due: January 2020

KENDAL TOWN COUNCIL

Schedule of Risk Assessments

9. Step Ladders

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Step Ladders 1	Unsafe Equipment	Employee	Ladders damaged or otherwise dangerous.	2	Visual inspection before each use. Thorough inspection periodically. Inspections recorded.	None	Yes	Yes Employer's Liability	None
Step Ladders 2	Manual handling	Employee and anyone nearby	Accidents while moving and erecting step ladder.	2	Operatives have been trained in manual handling and have been instructed to obtain assistance with heavy / long step ladders.	None	Yes	Yes Employers' Liability	None
Step Ladders 3	Falling	Employee and anyone nearby	Falling while climbing step ladder.	1	Timber step ladders purchased or hired will comply with BS 1129 and aluminium step ladders with BS 2037	None	Yes	Yes Employers' Liability	None
Step Ladders 4	Falling	Employee and anyone nearby	Falling from step ladder while working.	1	Any person working near a step ladder will where a safety helmet where necessary. Where step ladders are used in the vicinity of plant or vehicles, barriers will be erected.	None	Yes	Yes Employers' Liability	None
Step Ladders 5	Toppling over	Employee and anyone nearby	Ladders toppling over, causing user to fall.	1	Operatives will have been trained in the use of step ladders. Training covered:- the type of work that can be done the need for a level base. step ladders to be fully opened when in use. ladders to be placed at right angles to the work. users knees must not be above the top rung; unless there is an extension to hold onto. must not be used in a doorway. not to over-reach when working on step ladder. the length a step ladder should extend above a stepping off point. always have one hand free to hold step ladder. the need to inspect a step ladder before use. do not use a damaged step ladder.	None	Yes	Yes Employers' Liability	None

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Step Ladders 6	Items dropped	Employee and anyone nearby	Items dropped by person on step ladder.	2	The use of step ladders is restricted to single hand work of short duration only. The use of step ladders is restricted to tasks requiring light tools only. Wherever possible, step ladder users will be provided with tool belts and hooks for hanging paint cans.	None	Yes	Yes Employers' Liability	None

Key to Scale of Unmitigated Risk: 1 = High 2 = Medium 3 = Low

Reviewed: 29 April 2019

Signed:

Next Review Due: January 2020

KENDAL TOWN COUNCIL

Schedule of Risk Assessments

10. Ladders

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Ladders 1	Unsafe Equipment	Employee	Ladders damaged or otherwise dangerous.	2	Visual inspection before each use. Thorough inspection periodically. Inspections recorded.	None	Yes	Yes Employer's Liability	None
Ladders 2	Ladders slip	Employee	Ladders slip along the ground.	2	Townscape Manager made aware of the need to take all necessary actions to eliminate or minimise risks. Ladder set at correct angle. A person to 'foot' the ladder. Secure ladders to building when possible. Use correct ladder for the job. Any person working near a step ladder will wear a safety helmet where needed.	None	Yes	Yes Employer's Liability	None
Ladders 3	Entanglement	Employee	Entanglement of clothing and / or equipment.	2	Townscape Manager made aware to follow safe working practices. Use correct clothing and equipment.	None	Yes	Yes Employer's Liability	None
Ladders 4	Over-reaching	Employee	Over-reaching, outwards and upwards.	2	Townscape Manager made aware in training and induction. Stress the need to follow safe working practices.	None	Yes	Yes Employer's Liability	None
Ladders 5	Manual handling	Employee	Strain, hernia, fracture or fall.	1	Townscape Manager trained in lifting and handling techniques.	None	Yes	Yes Employer's Liability	None

Key to Scale of Unmitigated Risk:

1 = High 2 = Medium 3 = Low

Reviewed: 29 April 2019

Signed:

Next Review Due: January 2020

KENDAL TOWN COUNCIL

Schedule of Risk Assessments

11. Use of Hand Tools

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Hand Tools 1	Eye Injury	Employee	Injury from flying particles	3	Eye protection to be worn when using chisel. Screwdrivers must not be used as chisels. Correct tools used for the job.	None	Yes	Yes Employers' Liability	None
Hand Tools 2	Cuts	Employee	Cuts from sharp tools and knives	2	Worn or defective hand tools to be destroyed and replaced. Files must not be used without the correct handle fitted.	None	Yes	Yes Employers' Liability	None
Hand Tools 3	Fire	Employee	Explosion from sparks created in flammable atmospheres.	1	Keep flammable liquids locked away. Ensure adequate ventilation Avoid working in confined spaces	None	Yes	Yes Employers' Liability	None
Hand Tools 4	Electrocution	Employee	Use of non-insulated tools for electrical work.	1	All hand tools to be kept in good condition. PAT testing of electrical tools.	None	Yes	Yes Employers' Liability	None
Hand Tools 5	Impact Injury	Employee	Hammer head coming off shafts or breaking.	2	Hammer shafts must be properly wedged. Split shafts to be replaced.	None	Yes	Yes Employers'	None
Hand Tools 6	Wounds	Employee	Wounds or abrasions from using wrong tool.	2	All hand tools to be suitable for the purpose for which they will be used. Screwdrivers must not be used as chisels and vice versa.	None	Yes	Yes Employers' & Public Liability	None
Hand Tools 7	Wounds	Public	Unauthorised use	2	Tools are not left unattended	None	Yes	Yes Public Liability	None

Key to Scale of Unmitigated Risk:

1 = High 2 = Medium 3 = Low

Reviewed: 29 April 2019

Next Review Due: January 2020

Signed:

KENDAL TOWN COUNCIL

Schedule of Risk Assessments

12. Drilling

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Drilling 1	Hair injury	Employee	Hair caught on rotating chucks or tools.	1	Townscape Manager informed verbally, prior to starting activity for the first time, that PPE must be worn. Tie back or cover hair when operating drill.	None	Yes	Yes	None
Drilling 2	Entanglement	Employee	Entanglement of gloves, clothing, bandages and	2	Townscape Manager made aware to follow safe working practices.	None	Yes	Yes Employers'	None
Drilling 3	Poor clamping	Employee	Violent spinning of the workpiece because of poor clamping - causing scalp injuries and broken bones.	2	Drill not used above 1.5 metres. Use of vice and/or clamps. Vice clamped securely to table.	None	Yes	Yes	None
Drilling 4	Eye injuries	Employee	Eye and / or cut injuries from machine cleaning swarf removal and unenclosed drilling.	1	Follow safe working practice Protective equipment provided. Gloves, overalls and safety footwear.	None	Yes	Yes	None
Drilling 5	Hand protection	Employee	Poor hand protection, which could cause dermatitis.	1	Personal Protective Equipment e.g. gloves provided as well as barrier cream.	None	Yes	Yes	None
Drilling 6	Working Environment	Employee	Slips due to wet conditions. Unauthorised use.	2	Avoid use in damp/wet conditions. Drills are not left unattended.	None	Yes	Yes Employer's Public Liability	None

Key to Scale of Unmitigated Risk:

1 = High 2 = Medium 3 = Low

Reviewed: 29 April 2019

Signed:

Next Review Due: January 2020

KENDAL TOWN COUNCIL

Schedule of Risk Assessments

13. Use of Petrol Powered Tools (Lawnmower, strimmer, multipurpose tool)

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Power Tools 1	H.A.V.S.	Employee	Hand, arm vibration syndrome.	2	Tools to be used only by persons who have been appropriately trained. Users wear safety footwear and gloves. <i>All equipment of industrial standard and labelled with precautionary notices.</i> <i>Manufacturer's guidance followed.</i>	None	Yes	Yes Employers' Liability	None
Power Tools 2	Noise	Employee	Damage to hearing.	1	User to wear ear defenders when required.	None	Yes	Yes Employers' Liability	None
Power Tools 3	Entanglement or Cuts	Employee	Entanglement in moving parts. Cuts from sharp blades.	2	User does not wear loose clothing. Guards fitted to prevent contact with moving parts. Safety footwear worn.	None	Yes	Yes Employers' Liability	None
Power Tools 4	Injuries	Employee	Musculo skeletal injuries handling machine.	1	User has been trained in manual handling.	None	Yes	Yes Employers' Liability	None
Power Tools 5	Injuries	Employee	Handling injuries.	2	Tools are maintained regularly - full inspected annually, visual before use. Townscape Manager to notify the office of any faults immediately and stop using the equipment.	None	Yes	Yes Employers' Liability	None

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Power Tools 6	Passers-by	Employee & Public	Impact with passers-by.	1	Barriers, warning tape and signs will be used to identify hazardous work areas and exclude members of the public.	None	Yes	Yes Employers' & Public Liability	None
Power Tools 7	Fire	Employee & Public	Ignition of petrol used as fuel.	1	Petrol is stored in metal jerricans (max 1x10 ltrs). Small amounts stored in plastic fuel cans and machine fuel tanks. Spills covered with sand.	None	Yes	Yes	None

Key to Scale of Unmitigated Risk:

1 = High 2 = Medium 3 = Low

Reviewed: 29 April 2019

Next Review Due: January 2020

Signed:

KENDAL TOWN COUNCIL

Schedule of Risk Assessments

14. Glass Handling

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Glass 1	Wounds	Employee Contractor	Cuts to person when dismantling greenhouses. Glass blown onto person.	1	Always work double handed when required. Protective clothing worn. Avoid working in inclement weather.	None	Yes	Yes Employer's Liability	None
Glass 2	Slip/trip/fall	Employee Contractor	Slip on wet glass.	1	Avoid working in wet conditions. Avoid standing on glass.	None	Yes	Yes Employer's Liability	None
Glass 3	Wounds	Employee Contractor	Cuts to person when clearing site of broken glass.	1	Protective clothing worn. Vegetation cleared before collecting glass.	None	Yes	Yes Employer's Liability	None
Glass 4	Wounds	Employee Contractor	Cuts or falls/slips when transporting glass.	2	Protective clothing worn. Avoid working in wet conditions. Avoid standing on glass. Avoid unmanageable loads.	None	Yes	Yes Employer's Liability	None
Glass 5	Wounds	Public	Cuts due to unauthorised access to broken glass.	2	Glass waste held securely pending disposal. Glass waste not left unattended until secured or disposed of.	None	Yes	Yes Employer's Liability	None
Glass 6	Wounds/ infection	Employee Contractor	Contact with used sharp when clearing debris from site.	3	Vigilance. Avoid moving debris with unseen contents. Obtain container from health centre for safe disposal of sharp.	None	Yes	Yes Employer's Liability	None

Key to Scale of Unmitigated Risk:

1 = High 2 = Medium 3 = Low

Reviewed: 29 April 2019

Signed:

Next Review Due: January 2020

Schedule of Risk Assessments

15. Planters & Baskets (KiB)

Risk Code	Risk Type	Risk Category	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
KiB 1	Planter 1	Contractor Employee Public	General installation and removal of planters and baskets	2	Risk assessments and method statements obtained from contractor	None	Yes	Yes Public Liability	
KiB 2	Planters 2	Contractor Employee Public	Hazard from use of cherry picker.	2	Erected/operated by suitably qualified persons. Ongoing vigilance & awareness.	None	Yes	Yes Public & Employer's Liability	None
KiB3	Planters 3	Contractor Employee Public	Hazard from walking underneath cherry picker.	2	Area underneath to be controlled access to prevent members of the public walking underneath. Townscape Manager to act as Banksman. Ongoing vigilance & awareness.	None	Yes	Yes Public & Employer's Liability	None
KiB4	Manual Handling	Contractor Employee	Lifting of planters on to cills causing strain, hernia or fracture.	2	Using appropriate means of lifting. Use of two persons if necessary. Ongoing vigilance & awareness.	None	Yes	Yes Employers' Liability	None
KiB5	Fall	Public	Planters fall from the cill/brackets due to poor attachment.	2	Use of new cable ties of a sufficient strength to attach. New cable ties purchased. Ongoing vigilance & awareness.	None	Yes	Yes Public Liability	None
KiB6	Fall	Public	Planters fall from the cill/brackets due to over watering.	2	Reduce watering during wet periods. Check planters at beginning of seasons. Ongoing vigilance during growing season.	None	Yes	Yes Public Liability	None
KiB7	Fall	Contractor Employee	Working at height.	2	Follow safe working practice. Do not lean. Second person present. Mobile phone to be with staff at all times. Ongoing vigilance & awareness.	None	Yes for Employee	Yes Employers' Liability	None
KiB8	Illness / Injury	Contractor	Becoming ill or injured whilst operating cherry picker.	3	Second person present. Mobile phone to be with staff at all times. Ongoing vigilance & awareness.	None	No		None

Risk Code	Risk Type	Risk Category	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
KiB9	Slips, trips & falls	Employee	Bruises, cuts or fractures	2	Ensure working area clean and tidy. Ongoing vigilance & awareness.	None	Yes	Yes Employers' Liability	None
KiB10	Slips, trips & falls	Employee and Public	Bruises, cuts or fractures	2	Minimise use of trailing hoses. Ensure hoses are clearly visible. Use signage and advice to public. Operate early/late in day to minimise risk. Ongoing vigilance & awareness.	None	Yes	Yes Employers' & Public Liability	None
KiB11	Theft of vehicle, damage or injury	Employee and Public	Bruises, cuts or fractures, loss of vehicle.	2	Operate early/late in day to minimise risk. Keep vehicle in sight. Ongoing vigilance & awareness.	None	Yes	Yes Employers' & Public Liability	None

Key to Scale of Unmitigated Risk:

1 = High 2 = Medium 3 = Low

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Next Review Due: January 2020

KENDAL TOWN COUNCIL

Schedule of Risk Assessments

16. Lone Worker Arrangements

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Lone Worker 1	Fire	Employee & Public	Fire - Vapour fumes and smoke inhalation	1	Extinguisher provided in vehicle. Townscape Manager aware of vulnerability of materials to fire. Training in use of Fire Extinguisher. Ongoing vigilance.	None	Yes	Yes Contents Insurance	None
Lone Worker 2	Fall	Employee & Public	Falling from vehicle whilst gaining access to or alighting from vehicle during loading and unloading	3	Safe vehicle loading / unloading techniques. Follow safe working practices for loading and unloading. Ongoing vigilance, awareness and suitable training. Personal Protective Equipment provided. i.e. gloves, overalls and safety footwear.	None	Yes	Yes Employers' Liability	None
Lone Worker 3	Trapped/Locked	Employee & Public	Townscape Manager becoming locked or trapped inside vehicle.	2	Mobile phone carried at all times.	None	No	No	None
Lone Worker 4	Falling asleep	Employee & Public	Townscape Manager falling asleep whilst driving.	1	Driver to follow safe working practices and must strictly adhere to rest breaks and must not drive under the influence of alcohol or drugs. Townscape Manager aware of HSE advice.	None	Yes	Yes	None
Lone Worker 5	Assault	Employee	Robbery or / assault, causing physical / mental harm.	2	Mobile phone carried at all times. Townscape Manager to remain vigilant during working hours to ensure readiness to identify possible robbery / assault risks. Driver to be secured in vehicle in an attempted assault. Employer to maintain regular contact.	None	Yes	Yes	None

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Lone Worker 6	Illness / Injury	Employee & Public	Townscape Manager becoming ill or injured whilst working alone.	3	Mobile phone to be with Townscape Manager at all times. Employer to aware of Townscape Manager's movements and probable locations on day to day basis. Employer to maintain regular contact with Townscape Manager. <i>Council van fitted with monitored tracker.</i>	None	No	No	None
Lone Worker	Manual handling	Employee	Strain, hernia or fracture.	1	Townscape Manager trained in lifting techniques. Use of wheelbarrow or two person lift. Mechanical or other means of lifting made available where appropriate.	Continue to review need for sack trolley	Yes	Yes	None
Lone Worker 8	Slips, trips & falls	Employee	Bruises, cuts or fractures in garage/workshop.	1	Ensure storage and working areas are cleaned and well-lit. Rubbish to be cleared away regularly. Townscape Manager aware of HSE advice.	None	Yes	Yes	None
Lone Worker 9	Injury	Employee	Hit by moving vehicle when working on roadside.	1	Park vehicle safely and conspicuously. Townscape Manager to wear high visibility jacket. Take extra care leaving and entering vehicle. Work well in from kerb where possible.	None	Yes	Yes	None
Lone Worker 10	Emergency	Employee	Require assistance but cannot communicate	1	When attending off-site meeting/working out of office let another staff member know when expecting to return	None	Yes	Yes	None

Key to Scale of Unmitigated Risk:

1 = High 2 = Medium 3 = Low

Reviewed: 29 April 2019

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Next Review Due: January 2020

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17. Christmas Lights Switch On

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
CL 1	Illness/Injury	Cairngorm Reindeers & handlers	Becoming ill or injured during the Parade.	2	Cairngorm Reindeers own Risk Assessment Ongoing vigilance & awareness during Parade	None	Yes	Yes Cairngorm Reindeers' Own	None
Lights 2	Illness/Injury	Public	Vehicular/pedestrian accident during Parade.	2	Road Closure Notice submitted Public notification through media Police involvement Ongoing vigilance & awareness during Parade	None	Yes	Yes Public Liability	None
Lights 3	Illness/Injury	Public	Movement of vehicles & equipment in Market Place.	3	Any movement of vehicles and equipment to be marshalled and assessed in relation to crowd numbers. Steward involvement. Ongoing vigilance & awareness during Parade.	None	Yes	Yes Public Liability	None
Lights 4	Illness/Injury	Public/Employee MJW Radio	Failure/collapse of temporary structures.	2	MJW Audio own Risk Assessment Ongoing vigilance & awareness	None	Yes	Yes Public Liability. Employers' Liability MJW Radio's Own	None
Lights 5	Illness/Injury	Public/Employee MJW Radio	Injury from electrical equipment.	2	MJW Audio own Risk Assessment Ongoing vigilance & awareness	None	Yes	Yes Public Liability. Employers' Liability MJW Radio's Own	None
Lights 6	Illness/Injury	Public	Congestion/crushing/panic.	2	Police & stewards presence and St John Ambulance in attendance during Parade Ongoing vigilance & awareness during Parade.	None	Yes	Yes Public Liability	None

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Lights 7	Illness/Injury	Public	Natural health hazards (heat stroke, heart attack etc).	2	Police, St John's Ambulance & stewards presence during Parade. First Aid provision in place.	None	Yes	Yes Public Liability	None
Lights 8	Manual handling	Public/Employee MJW Radio	Strain, hernia or fracture.	2	Stewards presence & MJW Radio own Risk Assessment. First Aid provision in place. Ongoing vigilance & awareness.	None	Yes	Yes Public Liability. Employers' Liability MJW Radio's Own	None
Lights 9	Slips, trips & falls	Public/Employee MJW Radio	Bruises, cuts or fractures.	2	Stewards presence & MJW Radio own Risk Assessment. First Aid provision in place.	None	Yes	Yes Public Liability. Employers' Liability MJW Radio's Own	None
Lights 10	Injury/accident due to Music Volume	Public/Employee MJW Radio	Hearing damage.	2	Sound levels to be maintained within legal limits. Ongoing vigilance & awareness.	None	Yes	Yes Public Liability	None
Lights 11	Alcohol/Drug Related Incidents	Public	Becoming ill or injured during the Parade due to intoxication.	2	Police and St John's Ambulance presence. First Aid provision in place.	None	No		Public's own risk.
Lights 12	Emergency Vehicles	Public	Restricted emergency vehicle access/egress routes.	3	Emergency access/egress routes to be maintained and kept clear to site by Police & stewards.	None	No		None
Lights 14	Bomb Threat	Public	Bomb threat.	1	Police presence. Emergency services standard procedures. Ongoing vigilance & awareness.	None	No		None
Lights 15	Criminal Activity Reputational	Public	Inappropriate actions by Santa Claus.	1	DBS check. Expected standards explained.	None	Yes	Yes Public Liability	None

Key to Scale of Unmitigated Risk:

1 = High 2 = Medium 3 = Low

Reviewed: 29 April 2019

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Next Review Due: January 2020

KENDAL TOWN COUNCIL

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18. Events & Opening Ceremonies

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Openings 1	Slips, trips & falls	Guests Councillors Public Employees	Bruises, cuts or fractures.	2	Visual inspection for potential hazards. Vigilance. Assistance as required. Extra precautions in inclement weather.	None	Yes	Yes Public & Employers' Liability	None
Openings 2	Illness/Injury	Public	Natural health hazards (stroke, heart attack etc).	2	Vigilance. Awareness of medical assistance.	None	Yes	Yes Public Liability	None
Openings 3	Public Liability	Public Councillors	Members of public or Town Council hurt as a result of the negligence of the Town Council or its representatives.	1	Adherence to Health & Safety legislation and guidelines. Approved Health & Safety Policy. Adequate staff training.	None	No	Yes Public Liability	None

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Reviewed: 29 April 2019

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Next Review Due: January 2020

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Schedule of Risk Assessments

19. Manual Handling

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Manual Handling 1	Accident/Injury moving loads	Townscape Manager/ Assistant	Over-exertion causing strain, hernia or fracture.	2	Townscape Manager trained in lifting techniques. Use of wheelbarrow or two person lift. Mechanical or other means of lifting made available where appropriate.	Continue to review need for sack trolley.	Yes	Yes Employers' Liability	None
Manual Handling 2	Accident/Injury moving loads	Office Staff	Over-exertion causing strain, hernia or fracture.	2	Loads lifted manually by one person if safe; if not, then by team if necessary or Townscape Manager. Specific assessments and appropriate action for pregnant employees.	Staff to be reminded as required.	Yes	Yes Employers' Liability	None
Manual Handling 3	Accident/Injury moving loads using ladders	Townscape Manager/Assistant Nearby members of public	Over-exertion causing strain, hernia or fracture. Impact injury.	2	Townscape Manager trained in lifting techniques. Obtain assistance with heavy/long ladders. Avoid scaling ladder with excessive loads. Vigilance for nearby persons.	None	Yes	Yes Employers' & Public Liability	None
Manual Handling 4	Accident/Injury lifting planters	Townscape Manager/ Assistant	Over-exertion causing strain, hernia or fracture. Impact injury.	2	<i>Townscape Manager trained in lifting techniques. Ensure ladder grounded securely using two persons where necessary. Use cherry picker where unable to secure ladder safely. Ongoing vigilance and awareness.</i>	None	Yes	Yes Employers' Liability	None
Manual Handling 5	Accident/Injury due to unsafe working environment	Townscape Manager/ Assistant	Over-exertion causing strain, hernia or fracture.	2	Visual inspection of ground/floor before handling task. Improve poor lighting or postpone task. Avoid/postpone relevant tasks in inclement weather.	None	Yes	Yes Employers' Liability	None
Manual Handling 6	Accident/Injury due to incorrect clothing/ equipment	Townscape Manager/ Assistant	Over-exertion causing strain, hernia or fracture.	2	Avoid clothing which would affect ability to handle loads. Identification and provision of appropriate personal protective equipment (PPE).	None	Yes	Yes Employers' Liability	None

Risk Code	Risk Type	Persons at Risk	Description of Risk	Scale of Risk	Controls in Place to Reduce Risks	Action Outstanding	Insurance needed	Insurance in place	Other Comments
Manual Handling 7	Accident/Injury loading wheeled equipment onto Council van	Townscape Manager/ Assistant	Over-exertion causing strain, hernia or fracture.	2	Townscape Manager trained in lifting techniques. Ramps fitted to Van.	None	Yes	Yes Employers' Liability	None

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Reviewed: 29 April 2019

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Next Review Due: January 2020

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20. Business Continuity

Risk Code	Risk Type	Business at Risk	Risk and Impact	Scale of Risk	Controls in Place to Reduce Risks	Response & Actions	Insurance needed	Insurance in place	Other Comments
Business Continuity 1	Personnel	All Council services	Loss of Clerk due to sudden/long-term illness, incapacity or death. Inability to manage the Council and deliver services.	1	Treasurer and Assistant to Town Clerk to provide short-term cover. Clerk's records and documents available to other staff. <i>Treasurer to attend business continuity training.</i>	Inform Mayor & Councillors. Decide on need for temporary cover. Seek assistance from CALC/SLDC as appropriate. Investigate reciprocal arrangements. Recruit where appropriate.	No	No	None
Business Continuity 2	Personnel	Council services	Loss of staff due to sudden/prolonged illness, incapacity or death. Inability to deliver services.	2	Key procedures and records are documented. General awareness in office of basic functions. Clerk has sufficient knowledge of financial procedures to perform/repeat regular tasks. Pool of known admin/clerical staff who could provide cover.	As 1 above.	No	No	None
Business Continuity 3	Personnel	Council services	Loss or serious injury to member of staff whilst carrying out Council duties. Inability to deliver services.	2	As 1 & 2 above. Documented health and safety policy and risk assessments in place.	As 1/2 above. Inform HSE and Insurers. Report to HSE.	Yes	Yes Employers' Liability	None
Business Continuity 4	Councillors	All Council services	Multiple resignations leading to insufficient Members to conduct Council business.	2	Emergency procedures set out in Standing Orders.	Inform remaining Members. Inform Monitoring Officer. Seek advice from CALC. Determine strategy for immediate business. Investigate by-election process.	No	No	None

Risk Code	Risk Type	Business at Risk	Risk and Impact	Scale of Risk	Controls in Place to Reduce Risks	Response & Actions	Insurance needed	Insurance in place	Other Comments
Business Continuity 5	Premises	All Council services	Inability to use premises, eg loss of access, loss of services, fire/water ingress. Disruption to services. Loss of documentation.	2	Town hall premises covered by SLDC business continuity arrangements. Most office processes capable of being operated off-site in short term.	Inform Mayor & Councillors. Inform Insurers. Assess damage. Contact SLDC as appropriate. Arrange alternative accommodation/ home working. Replace damaged items where possible.	Yes	Yes Premises	None
Business Continuity 6	IT Equipment & Data	All Council services	Damage, theft or malfunction of equipment. Loss of electronic data. Disruption to services.	2	No specialist equipment or software in use so replacements readily available. Data backed up daily by IT supplier. Weekly back ups of Finance data held off site outside working hours.	Inform Insurers. Seek assistance/ advice from IT supplier. Borrow equipment on temporary basis. Home working using personal IT equipment. Source replacement equipment.	Yes	Yes All Risks	None
Business Continuity 7	Council Vehicle	Allotments Bloom	Breakdown, major repair or accident. Motor fuel strike or shortages. Inability to deliver outside services.	3	Good relationship with local garages to prioritise repairs. Maintain appropriate level of fuel in vehicle.	Arrange repairs. Inform Insurers as appropriate. Consider hire/purchase of replacement vehicle. Replenish fuel when available.	Yes	Yes Motor	None
Business Continuity 8	Suppliers	Council services	Failure of suppliers of key financial services, eg payroll, banking systems. Inability to process transactions and make payments.	3	Awareness of effective contingency arrangements. Complete failure of bankers unlikely.	Notify staff and suppliers of possible delays in payment. Repeat previous month's payroll. Extract payroll records and seek alternative supplier as appropriate. Revert to urgent manual payments by cheque.	No	No	None

Risk Code	Risk Type	Business at Risk	Risk and Impact	Scale of Risk	Controls in Place to Reduce Risks	Response & Actions	Insurance needed	Insurance in place	Other Comments
Business Continuity 9	Major Incident	All Council services	Local disaster with injury to members of community and damage to local homes and businesses. Need to respond appropriately to need. Disruption to Council services.	2	Emergency plan processes documented by other tiers of local government. Emergency powers within Standing Orders.	Inform Mayor & Councillors. Liaise with emergency services, CCC and SLDC. Invoke emergency procedures within Standing Orders. Provide staff as required to deal with response. Provide appropriate support and assistance to community.	No	No	None

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Reviewed: 29 April 2019

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