



- 4.6. The draft budget with any committee proposals, including any recommendations for the use or accumulation of reserves, shall be considered by the Finance & General Purposes Committee and a recommendation made to the council.
- 4.7. Having considered the proposed budget, the council shall determine its council tax requirement by setting a budget. The council shall set a precept for this amount no later than the end of January for the ensuing financial year.
- 4.8. **Any member with council tax unpaid for more than two months is prohibited from voting on the budget or precept by Section 106 of the Local Government Finance Act 1992 and must disclose at the start of the meeting that Section 106 applies to them.**
- 4.9. The RFO shall **issue the precept to the billing authority no later than the end of February** and supply each member with a copy of the agreed annual budget.
- 4.10. The agreed budget provides a basis for monitoring progress during the year by comparing actual spending and income against what was planned.
- 4.11. Any addition to, or withdrawal from, any earmarked reserve shall be agreed by the relevant committee but requires approval from full council before these amendments to the budget can be actioned.

5. Procurement

- 5.1. **Members and officers are responsible for obtaining value for money at all times.** Any officer procuring goods, services or works should ensure, as far as practicable, that the best available terms are obtained, usually by obtaining prices from several suppliers.
- 5.2. The RFO should verify the lawful nature of any proposed purchase before it is made.
- 5.3. Every contract shall comply with the council's Standing Orders and these Financial Regulations, and no exceptions shall be made, except in an emergency.
- 5.4. **For a contract for the supply of goods, services or works where the estimated value will exceed the thresholds set by Parliament, the full requirements of The Procurement Act 2023 and The Procurement Regulations 2024 or any superseding legislation ("the Legislation"), must be followed in respect of the tendering, award and notification of that contract.**
- 5.5. Where the estimated value is below the Government threshold, the council shall (except for items listed in paragraph 6.11) obtain prices as follows:
- 5.6. For contracts estimated to exceed £60,000 including VAT, the Proper Officer shall seek formal tenders from at least three suppliers or advertise an open invitation for tenders in compliance with any relevant provisions of the Legislation. Tenders shall be invited in accordance with Appendix 1.
- 5.7. **For contracts estimated to be over £30,000 including VAT, the council must comply with any requirements of the Legislation regarding the publication of invitations and notices.**
- 5.8. For contracts greater than £3,000 excluding VAT the Proper Officer shall seek at least 3 fixed-price quotes;

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- 5.9. Where the value is between **£1,000** and £3,000 excluding VAT, the Proper Officer shall try to obtain 3 estimates which might include evidence of online prices, or recent prices from regular suppliers.
- 5.10. The Council may choose to enter into long term contracts with suppliers, following the required procurement process, and can do so, but should follow the same rules stated above for the approval process, based on the total amount awarded to the supplier at the end of the contract i.e. a contract awarded for £2,500 for 3 years equals £7,500 therefore can be approved by the relevant committee. A contract for £5,000 for 3 years equals £15,000 and therefore requires approval of the full council.
- 5.11. For smaller purchases (**below £1,000**), Proper Officer/RFO shall seek to achieve value for money and, if available, is authorised to use a supplier on the Council's preferred suppliers list.
- 5.12. **Contracts must not be split to avoid compliance with these rules.**
- 5.13. The requirement to obtain competitive prices in these regulations need not apply to contracts that relate to items (i) to (iv) below:
- i. specialist services, such as legal professionals acting in disputes;
 - ii. repairs to, or parts for, existing machinery or equipment;
 - iii. works, goods or services that constitute an extension of an existing contract;
 - iv. goods or services that are only available from one supplier or are sold at a fixed price.
- 5.14. When applications are made to waive this financial regulation to enable a price to be negotiated without competition, the reason should be set out in a recommendation to the council or relevant committee. Avoidance of competition is not a valid reason.
- 5.15. The council shall not be obliged to accept the lowest or any tender, quote or estimate.
- 5.16. Individual purchases within an agreed budget for that type of expenditure may be authorised by:
- the Proper Officer, under delegated authority, for any items below **£1,000** excluding VAT.
 - the Proper Officer, in consultation with the Chair of the Council or Chair of the appropriate committee, for any items below £2,000 excluding VAT.
 - a duly delegated committee of the council for all items of expenditure within their delegated budgets for items under £10,000 excluding VAT
 - in respect of grants/commissions/funding, a duly authorised committee within any limits set by council and in accordance with any policy statement agreed by the council. A completed conditions of funding form is required for payment to be made. Approval required before the next available meeting of the committee may be approved by the Chair and Vice Chair up to the value of £500 and be reported to the next available committee meeting.



- the council for all items over £10,000;

Such authorisation must be supported by a minute (in the case of council or committee decisions) or other auditable evidence trail.

- 5.17. No individual member, or informal group of members may issue an official order or make any contract on behalf of the council.
- 5.18. No expenditure may be authorised that will exceed the budget for that type of expenditure other than by resolution of the council or a duly delegated committee acting within its Terms of Reference except in an emergency.
- 5.19. In cases of serious risk to the delivery of council services or to public safety on council premises, the Proper Officer may authorise expenditure of up to £1,500 excluding VAT on repair, replacement or other work that in their judgement is necessary, whether or not there is any budget for such expenditure. The Proper Officer shall report such action to the Chair as soon as possible and to the council as soon as practicable thereafter.
- 5.20. No expenditure shall be authorised, no contract entered into or tender accepted in relation to any major project, unless the council is satisfied that the necessary funds are available and that where a loan is required, Government borrowing approval has been obtained first.
- 5.21. An official purchase order, letter or email shall be issued for all work, goods and services above £700 excluding VAT unless a formal contract is to be prepared or an official order would be inappropriate. Copies of orders shall be retained, along with evidence of receipt of goods.
- 5.22. Any ordering system can be misused and access to them shall be controlled by the Proper Officer/RFO.

6. Banking and payments

- 6.1. The council's banking arrangements, including the bank mandate, shall be made by the Proper Officer/RFO, and authorised by the council; banking arrangements shall not be delegated to a committee. The council has resolved to bank with HSBC for its main current account, using this for all day-to-day council transactions and for managing The Mayor's fundraising activities. The arrangements shall be reviewed annually for security and efficiency.
- 6.2. The council must have safe and efficient arrangements for making payments, to safeguard against the possibility of fraud or error. Wherever possible, more than one person should be involved in any payment, for example by dual online authorisation or dual cheque signing. Even where a purchase has been authorised, the payment must also be authorised and only authorised payments shall be approved or signed to allow the funds to leave the council's bank.
- 6.3. All invoices for payment should be examined for arithmetical accuracy, analysed to the appropriate expenditure heading and verified to confirm that the work, goods or services were received, checked and represent expenditure previously authorised by the council before being certified by the Proper Officer/RFO. Where the certification of invoices is done as a batch; the signature of the Proper Officer/RFO



is confirmation that all invoices listed have been 'examined, verified and certified' by the Proper Officer/RFO.

- 6.4. Personal payments (including salaries, wages, expenses and any payment made in relation to the termination of employment) may be summarised to avoid disclosing any personal information.
- 6.5. All payments shall be made by online banking, cheque or direct debit, in accordance with a resolution of the council or duly delegated committee or a delegated decision by an officer, unless the council resolves to use a different payment method.
- 6.6. For each financial year the RFO may draw up a schedule of regular payments due in relation to a continuing contract or obligation (such as Salaries, PAYE, National Insurance, pension contributions, rent, rates, regular maintenance contracts and similar items), which the council may authorise in advance for the year.
- 6.7. A copy of this schedule of regular payments shall be signed by two members on each and every occasion when payment is made - to reduce the risk of duplicate payments.
- 6.8. A list of such payments shall be reported to the next appropriate meeting of the council or Finance & General Purposes Committee for information only.
- 6.9. Mayor's Fundraising Activities: the Proper Officer/DPO shall ensure that all transactions relating to The Mayor's fundraising will be recorded and a reconciliation reported to The Mayor monthly. The Mayor and the Chair of the F & GP committee shall sign and date the reconciliation and the original bank statements (or similar document) as evidence of this. This activity, including any exceptions, shall be reported to and noted by the Finance & General Purposes Committee.
- 6.10. Mayor's Fundraising Activities: the Proper Officer/DPO shall ensure an annual report is presented to council outlining the transactions within this account.
- 6.11. The Proper Officer shall have delegated authority to authorise payments only in the following circumstances:
 - i. any payments of up to **£1,000** excluding VAT, within an agreed budget.
 - ii. payments of up to £1,500 excluding VAT in cases of serious risk to the delivery of council services or to public safety on council premises.
 - iii. any payment necessary to avoid a charge under the Late Payment of Commercial Debts (Interest) Act 1998 or to comply with contractual terms, where the due date for payment is before the next scheduled meeting of the council, where the Proper Officer certify that there is no dispute or other reason to delay payment, provided that a list of such payments shall be submitted to the next appropriate meeting of council or Finance & General Purposes committee.
 - iv. Fund transfers within the councils banking arrangements up to the sum of £10,000, provided that a list of such payments shall be submitted to the next appropriate meeting of council or Finance & General Purposes committee.

7. Electronic payments

These Financial Regulations were adopted by the council at its meeting on XX 2026 (min XX).



- 7.1. Where internet banking arrangements are made with any bank, the Proper Officer/RFO shall be appointed as the Service Administrator but can appoint an appropriate Officer of the council (i.e., Finance Officer) to make approved payments on behalf of the Proper Officer/RFO. The bank mandate agreed by the council shall identify five councillors who will be authorised to approve transactions on those accounts and a minimum of two people will be involved in any approval process. The Proper Officer/RFO may be an authorised signatory, but no signatory should be involved in approving any payment to themselves.
- 7.2. No employee or councillor shall disclose any PIN or password, relevant to the council or its banking, to anyone not authorised in writing by the council or a duly delegated committee.
- 7.3. Two authorised signatories shall check the payment details against the invoices before approving each payment.
- 7.4. Evidence shall be retained showing which members approved the payments and a digital record of the transaction confirming that the payment has been made shall be stored for audit purposes.
- 7.5. A full list of all payments made in a month shall be provided to the next council and Finance & General Purposes committee meeting.
- 7.6. With the approval of the council in each case, regular payments (such as gas, electricity, telephone, broadband, water, National Non-Domestic Rates, refuse collection, pension contributions and HMRC payments) may be made by variable direct debit, provided that the instructions are signed/approved by two authorised members. The approval of the use of each variable direct debit shall be reviewed by the council at least every two years.
- 7.7. Payment may be made by BACS or CHAPS by resolution of the council provided that each payment is approved by two authorised bank signatories, evidence is retained and any payments are reported to the council at the next meeting. The approval of the use of BACS or CHAPS shall be renewed by resolution of the council at least every two years.
- 7.8. If thought appropriate by the council, regular payments of fixed sums may be made by banker's standing order, provided that the instructions are signed by two members and the Proper Officer/RFO, evidence of this is retained and any payments are reported to the Finance and General Purposes Committee as part of the budget monitoring reports. The approval of the use of a banker's standing order shall be reviewed by the council at least every two years.
- 7.9. Account details for suppliers may only be changed upon written notification by the supplier verified by the Proper Officer/RFO and the Finance Officer. This is a potential area for fraud and the individuals involved should ensure that any change is genuine. Data held should be checked with suppliers every two years.
- 7.10. Members and officers shall ensure that any computer used for the council's financial business has adequate security, with anti-virus, anti-spyware and firewall software installed and regularly updated.

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7.11. Remembered password facilities other than secure password stores requiring separate identity verification should not be used on any computer used for council banking.

8. Cheque payments

- 8.1. Cheques or orders for payment in accordance with a resolution or delegated decision shall be signed by two authorised bank signatories.
- 8.2. A signatory having a family or business relationship with the beneficiary of a payment shall not, under normal circumstances, be a signatory to that payment.
- 8.3. To indicate agreement of the details on the cheque with the counterfoil and the invoice or similar documentation, the signatories shall also initial the cheque counterfoil.

9. Payment cards

- 9.1. Any Debit Card issued for use will be specifically restricted to the Proper Officer and will also be restricted to a single transaction maximum value of £700 unless authorised by council or Finance & General Purposes committee in writing before any order is placed.
- 9.2. A trade card account opened by the council will be restricted to use by appropriate Workington Town Council Officers and any other business partner approved by the Proper Officer/RFO. Accounts will allow the Council to be invoiced accordingly for spend, which will be approved as part of the standard payment approval process.
- 9.3. Personal credit or debit cards of members or staff may be used if the Council's debit card is not available, with a maximum amount of £250 including VAT, incurred in accordance with council policy.

10. Petty Cash

- a) The council will not maintain any form of cash float.

11. Payment of salaries and allowances

- 11.1. **As an employer, the council must make arrangements to comply with the statutory requirements of PAYE legislation.**
- 11.2. **Councillors allowances (where paid) are also liable to deduction of tax under PAYE rules and must be taxed correctly before payment.**
- 11.3. Salary rates shall be agreed by the council, or a duly delegated committee. Changes may be made to any employee's gross pay, emoluments, or terms and conditions of employment by the Proper Officer/RFO granted that the changes fit within the Council's agreed budget and are in line with NJC guidance.
- 11.4. Payment of salaries shall be made, after deduction of tax, national insurance, pension contributions and any similar statutory or discretionary deductions, on the dates stipulated in employment contracts.
- 11.5. Deductions from salary shall be paid to the relevant bodies within the required timescales, provided that each payment is reported, as set out in these regulations above.

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- 11.6. Each payment to employees of net salary and to the appropriate creditor of the statutory and discretionary deductions shall be recorded in a payroll control account or other separate confidential record, with the total of such payments each calendar month reported in the cashbook. Payroll reports will be reviewed by the Finance & General Purposes committee to ensure that the correct payments have been made.
- 11.7. Any termination payments can be authorised by the Proper Officer/RFO, along with the Chair of the Council and Chair of the Finance and General Purposes Committee. A report will be supplied with regards to this spend at the next available Finance and General Purposes committee meeting.
- 11.8. Before employing interim staff, a report prepared by the Proper Officer/RFO should be considered by the Finance and General Purposes Committee.

12. Loans and investments

- 12.1. Any application for Government approval to borrow money and subsequent arrangements for a loan must be authorised by the full council and recorded in the minutes. All borrowing shall be in the name of the council, after obtaining any necessary approval.
- 12.2. Any financial arrangement which does not require formal borrowing approval from the Secretary of State (such as Hire Purchase, Leasing of tangible assets or loans to be repaid within the financial year) must be authorised by the full council, following a written report on the value for money of the proposed transaction.
- 12.3. The council shall consider the requirement for an Investment Strategy and Policy in accordance with Statutory Guidance on Local Government Investments, which must be written in accordance with relevant regulations, proper practices and guidance. Any Strategy and Policy shall be reviewed by the council at least annually.
- 12.4. All investment of money under the control of the council shall be in the name of the council.
- 12.5. All investment certificates and other documents relating thereto shall be retained in the custody of the Proper Officer/RFO.
- 12.6. Payments in respect of short term or long-term investments, including transfers between bank accounts held in the same bank, shall be made in accordance with these regulations.

13. Income

- 13.1. The collection of all sums due to the council shall be the responsibility of and under the supervision of the Proper Officer/RFO.
- 13.2. The council will review all fees and charges for work done, services provided, or goods sold at least annually as part of the budget-setting process, following a report of the Proper Officer/RFO. The Proper Officer/RFO shall be responsible for the collection of all amounts due to the council.
- 13.3. Any sums found to be irrecoverable, and any bad debts shall be reported to the council by the Proper Officer/RFO and shall be written off in the year. The council's approval shall be shown in the accounting records.

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- 13.4. All sums received on behalf of the council shall be deposited intact with the council's bankers, with such frequency as the Proper Officer/RFO considers necessary. The origin of each receipt shall clearly be recorded on the paying-in slip or other record.
- 13.5. Personal cheques shall not be cashed out of money held on behalf of the council.
- 13.6. The Proper Officer/RFO shall ensure that VAT is correctly recorded in the council's accounting software and that any repayment claim under section 33 of the VAT Act 1994 shall be made quarterly.
- 13.7. Mayor's Fundraising Activities: where significant sums of cash are regularly received by the council, the Proper Officer/RFO shall ensure that more than one person is present when the cash is counted in the first instance, that there is a reconciliation to some form of control record such as ticket issues, and that appropriate care is taken for the security and safety of individuals banking such cash.
- 13.8. Any income received from external bodies for grants or funding to the council for specific projects and events shall be accounted for within the relevant committee's income budget line and spent against the relevant budget line allocated to the said project or event. Income received and grant/funding spend will be included in all budget monitoring reports.

14. Payments under contracts for building or other construction works

- 14.1. Where contracts provide for payment by instalments the Proper Officer/RFO shall maintain a record of all such payments, which shall be made within the time specified in the contract based on signed certificates from the architect or other consultant engaged to supervise the works.
- 14.2. Any variation of, addition to or omission from a contract must be authorised by the Proper Officer/RFO to the contractor in writing, with the council being informed where the final cost is likely to exceed the contract sum by 5% or more, or likely to exceed the budget available.

15. Stores and equipment

- 15.1. An appropriately appointed Officer shall be responsible for the care and custody of stores and equipment in that section.
- 15.2. Delivery notes shall be obtained in respect of all goods received into store or otherwise delivered and goods must be checked as to order and quality at the time delivery is made.
- 15.3. Stocks shall be kept at the minimum levels consistent with operational requirements.
- 15.4. The Proper Officer/RFO or appropriately appointed Officer shall be responsible for periodic checks of stocks and stores, at least annually.

16. Assets, properties and estates

- 16.1. The Proper Officer shall make arrangements for the safe custody of all title deeds and Land Registry Certificates of properties held by the council.

These Financial Regulations were adopted by the council at its meeting on XX 2026 (min XX).



- 16.2. The RFO shall ensure that an appropriate and accurate Register of Assets and Investments is kept up to date, with a record of all properties held by the council, their location, extent, plan, reference, purchase details, nature of the interest, tenancies granted, rents payable and purpose for which held, in accordance with Accounts and Audit Regulations.
- 16.3. The continued existence of tangible assets shown in the Register shall be verified at least annually, possibly in conjunction with a health and safety inspection of assets.
- 16.4. No interest in land shall be purchased or otherwise acquired, sold, leased or otherwise disposed of without the authority of the council, together with any other consents required by law. In each case a written report shall be provided to council in respect of valuation and surveyed condition of the property (including matters such as planning permissions and covenants) together with a proper business case (including an adequate level of consultation with the electorate where required by law).
- 16.5. No tangible moveable property shall be purchased or otherwise acquired, sold, leased or otherwise disposed of, without the authority of the council, together with any other consents required by law, except where the estimated value of any one item does not exceed £500. In each case a written report shall be provided to council with a full business case.

17. Insurance

- 17.1. The Proper Officer/RFO shall keep a record of all insurances effected by the council and the property and risks covered, reviewing these annually before the renewal date in conjunction with the council's review of risk management.
- 17.2. The Proper Officer/RFO shall give prompt notification of all new risks, properties or vehicles which require to be insured and of any alterations affecting existing insurances to the relevant committee.
- 17.3. The RFO shall be notified of any loss, liability, damage or event likely to lead to a claim, and shall report these to the council at the next available meeting. The RFO shall negotiate all claims on the council's insurers in consultation with the Proper Officer.
- 17.4. All appropriate members and employees of the council shall be included in a suitable form of security or fidelity guarantee insurance which shall cover the maximum risk exposure as determined annually by the council, or duly delegated committee.

18. Suspension and revision of Financial Regulations

- 18.1. The council shall review these Financial Regulations annually and following any change of Proper Officer or RFO. The Proper Officer shall monitor changes in legislation or proper practices and advise the council of any need to amend these Financial Regulations.
- 18.2. The council may, by resolution duly notified prior to the relevant meeting of council, suspend any part of these Financial Regulations, provided that reasons for the suspension are recorded and that an assessment of the risks arising has been



presented to all members. Suspension does not disapply any legislation or permit the council to act unlawfully.

18.3. The council may temporarily amend these Financial Regulations by a duly notified resolution, to cope with periods of absence, local government reorganisation, national restrictions or other exceptional circumstances.

Appendix 1 - Tender process

- 1) Any invitation to tender shall state the general nature of the intended contract and the Proper Officer shall obtain the necessary technical assistance to prepare a specification in appropriate cases.
- 2) The invitation shall in addition state that tenders must be addressed to the Proper Officer in the ordinary course of post, unless an electronic tendering process has been agreed by the council.
- 3) Where a postal process is used, each tendering firm shall be supplied with a specifically marked envelope in which the tender is to be sealed and remain sealed until the prescribed date for opening tenders for that contract. All sealed tenders shall be opened at the same time on the prescribed date by the Proper Officer in the presence of at least one member of council.
- 4) Where an electronic tendering process is used, the council shall use a specific email address that will be monitored to ensure that nobody accesses any tender before the expiry of the deadline for submission.
- 5) Any invitation to tender issued under this regulation shall be subject to Standing Order [insert reference of the council's relevant standing order, to be inserted once SOs are approved] and shall refer to the terms of the Bribery Act 2010.
- 6) Where the council, or duly delegated committee, does not accept any tender, quote or estimate, the work is not allocated and the council requires further pricing, no person shall be permitted to submit a later tender, estimate or quote who was present when the original decision-making process was being undertaken.

As a Councillor, you are trusted to make decisions on behalf of your community and your actions and behaviour are subject to greater scrutiny than that of ordinary members of the public. You should be aware that your actions might have an adverse impact on you, other councillors and/or your local authority and may lower the public's confidence in your or your local authority's ability to discharge your/its functions. For example, behaviour that is considered dishonest and/or deceitful can bring your local authority into disrepute.

You are able to hold the local authority and fellow councillors to account and are able to constructively challenge and express concern about decisions and processes undertaken by the council whilst continuing to adhere to other aspects of this Code of Conduct.

6. Use of position

As a councillor:

6.1 I do not use, or attempt to use, my position improperly to the advantage or disadvantage of myself or anyone else.

Your position as a member of the local authority provides you with certain opportunities, responsibilities, and privileges, and you make choices all the time that will impact others. However, you should not take advantage of these opportunities to further your own or others' private interests or to disadvantage anyone unfairly.

7. Use of local authority resources and facilities

As a councillor:

7.1 I do not misuse council resources.

7.2 I will, when using the resources of the local authority or authorising their use by others:

- a. act in accordance with the local authority's requirements; and**
- b. ensure that such resources are not used for political purposes unless that use could reasonably be regarded as likely to facilitate, or be conducive to, the discharge of the functions of the local authority or of the office to which I have been elected or appointed.**

You may be provided with resources and facilities by the local authority to assist you in carrying out your duties as a councillor.

Examples include:

- office support
- stationery
- equipment such as phones, and computers
- transport
- access and use of local authority buildings and rooms.

These are given to you to help you carry out your role as a councillor more effectively and are not to be used for business or personal gain. They should be used in accordance with the purpose for which they have been provided and the local authority's own policies regarding their use.

8. Complying with the Code of Conduct

As a Councillor:

8.1 I undertake Code of Conduct training provided by my local authority.

8.2 I cooperate with any Code of Conduct investigation and/or determination.

8.3 I do not intimidate or attempt to intimidate any person who is likely to be involved with the administration of any investigation or proceedings.

8.4 I comply with any sanction imposed on me following a finding that I have breached the Code of Conduct.

It is extremely important for you as a councillor to demonstrate high standards, for you to have your actions open to scrutiny and for you not to undermine public trust in the local authority or its governance. If you do not understand or are concerned about the local authority's processes in handling a complaint you should raise this with your Monitoring Officer.

Protecting your reputation and the reputation of the local authority

9. Interests

As a councillor:

9.1 I register and disclose my interests.

Section 29 of the Localism Act 2011 requires the Monitoring Officer to establish and maintain a register of interests of members of the authority.

You need to register your interests so that the public, local authority employees and fellow councillors know which of your interests might give rise to a conflict of interest. The register is a public document that can be consulted when (or before) an issue arises. The register also protects you by allowing you to demonstrate openness and a willingness to be held accountable. You are personally responsible for deciding whether or not you should disclose an interest in a meeting, but it can be helpful for you to know early on if others think that a potential conflict might arise. It is also important that the public know about any interest that might have to be disclosed by you or other councillors when making or taking part in decisions, so that decision making is seen by the public as open and honest. This helps to ensure that public confidence in the integrity of local governance is maintained.

You should note that failure to register or disclose a disclosable pecuniary interest as set out in **Table 1**, is a criminal offence under the Localism Act 2011.

Appendix B sets out the detailed provisions on registering and disclosing interests. If in doubt, you should always seek advice from your Monitoring Officer.

10. Gifts and hospitality

As a councillor:

10.1 I do not accept gifts or hospitality, irrespective of estimated value, which could give rise to real or substantive personal gain or a reasonable suspicion of influence on my part to show favour from persons seeking to acquire, develop or do business with the local authority or from persons who may apply to the local authority for any permission, licence or other significant advantage.

10.2 I register with the Monitoring Officer any gift or hospitality with an estimated value of at least £50 within 28 days of its receipt.

10.3 I register with the Monitoring Officer any significant gift or hospitality that I have been offered but have refused to accept.

In order to protect your position and the reputation of the local authority, you should exercise caution in accepting any gifts or hospitality which are (or which you reasonably believe to be) offered to you because you are a councillor. The presumption should always be not to accept significant gifts or hospitality. However, there may be times when such a refusal may be difficult if it is seen as rudeness in which case you could accept it but must ensure it is

publicly registered. However, you do not need to register gifts and hospitality which are not related to your role as a councillor, such as Christmas gifts from your friends and family. It is also important to note that it is appropriate to accept normal expenses and hospitality associated with your duties as a councillor. If you are unsure, do contact your Monitoring Officer for guidance.

Appendices

Appendix A – The Seven Principles of Public Life

The principles are:

Selflessness

Holders of public office should act solely in terms of the public interest.

Integrity

Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must disclose and resolve any interests and relationships.

Objectivity

Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

Accountability

Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

Openness

Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

Honesty

Holders of public office should be truthful.

Leadership

Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

Appendix B Registering interests

Within 28 days of becoming a member or your re-election or re-appointment to office you must register with the Monitoring Officer the interests which fall within the categories set out in **Table 1 (Disclosable Pecuniary Interests)** which are as described in "The Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012". You should also register details of your other personal interests which fall within the categories set out in **Table 2 (Other Registerable Interests)**.

"Disclosable Pecuniary Interest" means an interest of yourself, or of your partner if you are aware of your partner's interest, within the descriptions set out in Table 1 below.

"Partner" means a spouse or civil partner, or a person with whom you are living as husband or wife, or a person with whom you are living as if you are civil partners.

1. You must ensure that your register of interests is kept up-to-date and within 28 days of becoming aware of any new interest, or of any change to a registered interest, notify the Monitoring Officer.
2. A 'sensitive interest' is as an interest which, if disclosed, could lead to the councillor, or a person connected with the councillor, being subject to violence or intimidation.
3. Where you have a 'sensitive interest' you must notify the Monitoring Officer with the reasons why you believe it is a sensitive interest. If the Monitoring Officer agrees they will withhold the interest from the public register.

Non participation in case of disclosable pecuniary interest

4. Where a matter arises at a meeting which directly relates to one of your Disclosable Pecuniary Interests as set out in **Table 1**, you must disclose the interest, not participate in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation. If it is a 'sensitive interest', you do not have to disclose the nature of the interest, just that you have an interest. Dispensation may be granted in limited circumstances, to enable you to participate and vote on a matter in which you have a disclosable pecuniary interest.
5. [Where you have a disclosable pecuniary interest on a matter to be considered or is being considered by you as a Cabinet member in exercise of your executive function, you must notify the Monitoring Officer of the interest and must not take any steps or further steps in the matter apart from arranging for someone else to deal with it]

Disclosure of Other Registerable Interests

6. Where a matter arises at a meeting which **directly relates** to the financial interest or wellbeing of one of your Other Registerable Interests (as set out in **Table 2**), you must disclose the interest. You may speak on the matter only if members of the public are also allowed to speak at the meeting but otherwise must not take part in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation. If it is a 'sensitive interest', you do not have to disclose the nature of the interest.

Disclosure of Non-Registerable Interests

7. Where a matter arises at a meeting which **directly relates** to your financial interest or well-being (and is not a Disclosable Pecuniary Interest set out in Table 1) or a financial interest or well-being of a relative or close associate, you must disclose the interest. You may speak on the matter only if members of the public are also allowed to speak at the meeting. Otherwise you must not take part in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation. If it is a 'sensitive interest', you do not have to disclose the nature of the interest.
8. Where a matter arises at a meeting which **affects** –
 - a. your own financial interest or well-being;
 - b. a financial interest or well-being of a relative or close associate; or
 - c. a financial interest or wellbeing of a body included under Other Registerable Interests as set out in **Table 2**

you must disclose the interest. In order to determine whether you can remain in the meeting after disclosing your interest the following test should be applied

9. Where a matter (referred to in paragraph 8 above) **affects** the financial interest or well-being:
 - a. to a greater extent than it affects the financial interests of the majority of inhabitants of the ward affected by the decision and;
 - b. a reasonable member of the public knowing all the facts would believe that it would affect your view of the wider public interest

You may speak on the matter only if members of the public are also allowed to speak at the meeting. Otherwise you must not take part in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation.

If it is a 'sensitive interest', you do not have to disclose the nature of the interest.

10. [Where you have an Other Registerable Interest or Non-Registerable Interest on a matter to be considered or is being considered by you as a Cabinet member in exercise of your executive function, you must notify the Monitoring Officer of the interest and must not take any steps or further steps in the matter apart from arranging for someone else to deal with it]

Table 1: Disclosable Pecuniary Interests

This table sets out the explanation of Disclosable Pecuniary Interests as set out in the Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012.

Subject	Description
Employment, office, trade, profession or vocation	Any employment, office, trade, profession or vocation carried on for profit or gain.
Sponsorship	Any payment or provision of any other financial benefit (other than from the council) made to the councillor during the previous 12-month period for expenses incurred by him/her in carrying out his/her duties as a councillor, or towards his/her election expenses. This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992.
Contracts	Any contract made between the councillor or his/her spouse or civil partner or the person with whom the councillor is living as if they were spouses/civil partners (or a firm in which such person is a partner, or an incorporated body of which such person is a director* or a body that such person has a beneficial interest in the securities of*) and the council — (a) under which goods or services are to be provided or works are to be executed; and (b) which has not been fully discharged.
Land and Property	Any beneficial interest in land which is within the area of the council. 'Land' excludes an easement, servitude, interest or right in or over land which does not give the councillor or his/her spouse or civil partner or the person with whom the councillor is living as if they were spouses/civil partners (alone or jointly with another) a right to occupy or to receive income.
Licenses	Any licence (alone or jointly with others) to occupy land in the area of the council for a month or longer
Corporate tenancies	Any tenancy where (to the councillor's knowledge)—

	<p>(a) the landlord is the council; and (b) the tenant is a body that the councillor, or his/her spouse or civil partner or the person with whom the councillor is living as if they were spouses/ civil partners is a partner of or a director* of or has a beneficial interest in the securities* of.</p>
Securities	<p>Any beneficial interest in securities* of a body where— (a) that body (to the councillor’s knowledge) has a place of business or land in the area of the council; and (b) either— (i)) the total nominal value of the securities* exceeds £25,000 or one hundredth of the total issued share capital of that body; or (ii) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which the councillor, or his/ her spouse or civil partner or the person with whom the councillor is living as if they were</p>

* ‘director’ includes a member of the committee of management of an industrial and provident society.

* ‘securities’ means shares, debentures, debenture stock, loan stock, bonds, units of a collective investment scheme within the meaning of the Financial Services and Markets Act 2000 and other securities of any description, other than money deposited with a building society.

Table 2: Other Registrable Interests

You must register as an Other Registerable Interest :

- a) any unpaid directorships
- b) any body of which you are a member or are in a position of general control or management and to which you are nominated or appointed by your authority
- c) any body
 - i. exercising functions of a public nature
 - ii. directed to charitable purposes or
 - iii. one of whose principal purposes includes the influence of public opinion or policy (including any political party or trade union)of which you are a member or in a position of general control or management

Appendix C – the Committee on Standards in Public Life

The LGA has undertaken this review whilst the Government continues to consider the recommendations made by the Committee on Standards in Public Life in their report on Local Government Ethical Standards. If the Government chooses to implement any of the recommendations, this could require a change to this Code.

The recommendations cover:

- Recommendations for changes to the Localism Act 2011 to clarify in law when the Code of Conduct applies
- The introduction of sanctions
- An appeals process through the Local Government Ombudsman
- Changes to the Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012
- Updates to the Local Government Transparency Code
- Changes to the role and responsibilities of the Independent Person
- That the criminal offences in the Localism Act 2011 relating to Disclosable Pecuniary Interests should be abolished

The Local Government Ethical Standards report also includes Best Practice recommendations. These are:

Best practice 1: Local authorities should include prohibitions on bullying and harassment in codes of conduct. These should include a definition of bullying and harassment, supplemented with a list of examples of the sort of behaviour covered by such a definition.

Best practice 2: Councils should include provisions in their code of conduct requiring councillors to comply with any formal standards investigation and prohibiting trivial or malicious allegations by councillors.

Best practice 3: Principal authorities should review their code of conduct each year and regularly seek, where possible, the views of the public, community organisations and neighbouring authorities.

Best practice 4: An authority's code should be readily accessible to both councillors and the public, in a prominent position on a council's website and available in council premises.

Best practice 5: Local authorities should update their gifts and hospitality register at least once per quarter, and publish it in an accessible format, such as CSV.

Best practice 6: Councils should publish a clear and straightforward public interest test against which allegations are filtered.

Best practice 7: Local authorities should have access to at least two Independent Persons.

Best practice 8: An Independent Person should be consulted as to whether to undertake a formal investigation on an allegation, and should be given the option to review and comment on allegations which the responsible officer is minded to dismiss as being without merit, vexatious, or trivial.

Best practice 9: Where a local authority makes a decision on an allegation of misconduct following a formal investigation, a decision notice should be published as soon as possible

on its website, including a brief statement of facts, the provisions of the code engaged by the allegations, the view of the Independent Person, the reasoning of the decision-maker, and any sanction applied.

Best practice 10: A local authority should have straightforward and accessible guidance on its website on how to make a complaint under the code of conduct, the process for handling complaints, and estimated timescales for investigations and outcomes.

Best practice 11: Formal standards complaints about the conduct of a parish councillor towards a clerk should be made by the chair or by the parish council, rather than the clerk in all but exceptional circumstances.

Best practice 12: Monitoring Officers' roles should include providing advice, support and management of investigations and adjudications on alleged breaches to parish councils within the remit of the principal authority. They should be provided with adequate training, corporate support and resources to undertake this work.

Best practice 13: A local authority should have procedures in place to address any conflicts of interest when undertaking a standards investigation. Possible steps should include asking the Monitoring Officer from a different authority to undertake the investigation.

Best practice 14: Councils should report on separate bodies they have set up or which they own as part of their annual governance statement and give a full picture of their relationship with those bodies. Separate bodies created by local authorities should abide by the Nolan principle of openness and publish their board agendas and minutes and annual reports in an accessible place.

Best practice 15: Senior officers should meet regularly with political group leaders or group whips to discuss standards issues.

The LGA has committed to reviewing the Code on an annual basis to ensure it is still fit for purpose.

WORKINGTON TOWN COUNCIL

SCHEDULE OF ASSETS

FIXED ASSETS	1,003,630.28
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LONG TERM INVESTMENTS	151,750.00
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	<u>1,155,380.28</u>
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CATALOGUE ASSETS	38,397.02
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	<u>1,193,777.30</u>
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WORKINGTON TOWN COUNCIL ASSET REGISTER

The Council's asset register lists all items owned by the Council over the value of £700 or that hold historic importance to the town or Council.

Asset Reference	Description	Identification / Serial Number	Location	Responsible Committee	Group	Date Purchased	Purchase Value	Additions / Refurbishments	Disposals	Current Value	Notes	Held in trust
AST001	Aldermanic robes		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	964.00			964.00		Y
AST002	Aldermanic robes		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	964.00			964.00		Y
AST003	Aldermanic robes		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	964.00			964.00		Y
AST004	Aldermanic robes		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	964.00			964.00		Y
AST005	Aldermanic robes		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	964.00			964.00		Y
AST006	Aldermanic robes		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	964.00		964.00	0.00	Robes returned to WTC and there was only 5 robes (inc Clerk robe)	Y
AST007	Aldermanic robes		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	964.00		964.00	0.00	Robes returned to WTC and there was only 5 robes (inc Clerk robe)	Y
AST008	Clerk Robe and Trousers		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	964.00			964.00		Y
AST009	Workington Town Council Mace		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	94,500.00			94,500.00	Historic importance	Y
AST010	Allerdale Borough Council Deputy Mayor's cartouche		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	4,550.00			4,550.00	Historic importance	Y
AST011	Allerdale Borough Council Deputy Mayor's Consort cartouche		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	4,500.00			4,500.00	Historic importance	Y
AST012	Allotments	LR Title CU259421	Soapery	Environment	Land & Property	2011	1.00			1.00		N
AST013	Allotments	LR Title CU132607	Newlands Lane Allotments	Environment	Land & Property	2015	1.00			1.00		N
AST014	Allotments	LR Title CU133557	Park Lane Allotments	Environment	Land & Property	2015	1.00			1.00		N
AST015	Allotments	LR Title CU134365	Annie Pit & Feenans Allotments	Environment	Land & Property	2015	1.00			1.00		N
AST016	Allotments	LR Title CU134472	Rosehill Allotments	Environment	Land & Property	2015	1.00			1.00		N
AST017	Allotments	LR Title CU145260	Cranbourne Street Allotments	Environment	Land & Property	2015	1.00			1.00		N
AST018	Allotments	LR Title CU145263	Wesley Street Allotments	Environment	Land & Property	2015	1.00			1.00		N
AST019	Allotments	LR Title CU290211	Siddick Allotments	Environment	Land & Property	2015	1.00			1.00		N
AST020	Beacon (Duffield)		Vulcan Park	Finance & General Purposes	Monuments	14-Jun-05	Unknown			0.00	Historic importance	N
AST021	Bench		Harrington	Environment	Seating	2019	785.00			785.00		N
AST022	Bus Shelter		Moss Bay Road	Environment	Bus Shelter	2021	5,535.00			5,535.00		N
AST023	Cenotaph		Vulcan Park	Finance & General Purposes	Monuments	1928	Unknown			0.00	Historic importance	N
AST024	Ceremonial Key		Helena Thompson Museum	Finance & General Purposes	Civic	1982	1,363.00			1,363.00	Historic importance	Y
AST025	Chains - Deputy Mayor		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	29,974.00			29,974.00	Historic importance	Y

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Asset Reference	Description	Identification / Serial Number	Location	Responsible Committee	Group	Date Purchased	Purchase Value	Additions / Refurbishments	Disposals	Current Value	Notes	Held in trust
AST026	Chains - Mayor		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	63,900.00			63,900.00	Historic importance	Y
AST027	Chains - Mayor's consort		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	27,500.00			27,500.00	Historic importance	Y
AST028	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29		714.29	0.00	Irreparable condition	Y
AST029	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29		714.29	0.00	Irreparable condition	Y
AST030	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST031	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST032	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST033	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST034	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST035	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST036	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST037	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST038	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST039	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST040	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST041	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST042	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST043	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST044	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST045	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST046	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST047	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST048	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST049	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST050	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST051	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y

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Asset Reference	Description	Identification / Serial Number	Location	Responsible Committee	Group	Date Purchased	Purchase Value	Additions / Refurbishments	Disposals	Current Value	Notes	Held in trust
AST052	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST053	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST054	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	2024	560.00			560.00		Y
AST055	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST056	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST057	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST058	Civic Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST059	Clerk Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29		714.29	0.00	Irreparable condition	Y
AST060	Clerk Robe		Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	714.29			714.29		Y
AST061	Close Circuit Television Cameras (CCTV)		Vulcan Park	Environment	Land & Property	01/04/2023 5/4/23	15,341.00	1,418.00		16,759.00		N
AST062	Community Garden	LR Title CU131422	Wastwater Avenue	Environment	Land & Property	2015	1.00			1.00		N
AST063	Community Garden	LR Title CU213339	Salterbeck Community Garden	Environment	Land & Property	2015	1.00		1.00	0.00	WTC not registerd landowner	N
AST064	Defibrillator		Briery, Stainburn	Environment	Equipment	2022	1,240.00			1,240.00		N
AST065	Defibrillator		Gallopang Horse	Environment	Equipment	2022	1,390.00			1,390.00		N
AST066	Defibrillator		Harrington Fishing & Sailing Club	Environment	Equipment	2022	1,390.00			1,390.00		N
AST067	Defibrillator		Northside	Environment	Equipment	2024	1,370.00			1,370.00		N
AST068	Defibrillator		Princess Street Community Centre	Environment	Equipment	2022	1,240.00			1,240.00		N
AST069	Defibrillator		St Mary's Church, Westfield	Environment	Equipment	2024	1,500.00			1,500.00		N
AST070	Display photographs of all mayors of Workington		Princess Street Community Centre	Finance & General Purposes	Civic	2022	1.00			1.00	Historic importance	Y
AST071	Edging Machine (Bush Ranger Edger E35)		Vulcan Park	Environment	Estates Equipment	24-Apr-19	1,249.00		1,249.00	0.00		N
AST072	Finger posts Town Centre		Coastline	Environment	Signage	2014	Unknown			0.00		N
AST073	Finger posts Town Centre		Outside 02	Environment	Signage	2014	1.00			1.00		N
AST074	Finger posts Town Centre		Outside HSBC	Environment	Signage	2014	Unknown			0.00		N
AST075	Finger posts Town Centre		Outside Natwest	Environment	Signage	2014	Unknown			0.00		N
AST076	Finger posts Town Centre		Pow St/Murray Road	Environment	Signage	2014	Unknown			0.00		N
AST077	Football Posts		Harrington Marina Play Area	Environment	Play Areas	2021	932.00			932.00		N
AST078	Football Posts		Vulcan Park	Environment	Play Areas	2021	932.00			932.00		N
AST079	Football Posts		Bankfield	Environment	Play Areas	TBC	Unknown			0.00		N
AST080	Footway lights		Frostoms Road	Environment	Lighting	2017	2,900.00			2,900.00		N
AST081	Footway lights		Frostoms Road	Environment	Lighting	2017	2,900.00			2,900.00		N
AST082	Footway lights		Frostoms Road	Environment	Lighting	2017	2,900.00			2,900.00		N
AST083	Footway lights		Frostoms Road	Environment	Lighting	2017	2,900.00			2,900.00		N
AST084	Footway lights		Frostoms Road	Environment	Lighting	2017	2,900.00			2,900.00		N

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AST085	Furniture of Mayoral Reception room		Princess Street Community Centre	Finance & General Purposes	Civic	2022	1.00			1.00	Historic importance	Y
AST086	Green Hub		Vulcan Park	Finance & General Purposes	Land & Property	2018	1.00			1.00		N
AST087	Harrington Marina	LR Title CU310295	Harrington Marina Play Area	Environment	Land & Property	01-Jul-18	1.00			1.00		N
AST088	Henchman platform		Vulcan Park	Environment	Estates Equipment	2017	958.00			958.00		N
AST089	Land - Vulcan Park	LR Title CU336186	Vulcan Park	Environment	Land & Property	27-Jul-18	1.00			1.00		N
AST090	Land at Brewery House	LR Title CU131251	Brewery House	Environment	Land & Property	26-Jul-22	1.00			1.00		N
AST091	Land at Newlands Lane	LR Title CU282073 / CU310290	Newlands Lane	Environment	Land & Property		1.00			1.00		N
AST092	Land at Oxford Street (Lamont Pridmore)	LR Title CU104558	Oxford Street	Finance & General Purposes	Land & Property	1993	16,000.00			16,000.00		N
AST093	Land at Siddick	LR Title CU286010	Siddick	Environment	Land & Property					0.00		N
AST094	Land on the West Side of Moss Bay Road	LR Title CU304476	The Ranch	Environment	Land & Property	31-Mar-23	150,000.00			150,000.00		N
AST095	Lawn Mower (Toro Turfmaster)		Vulcan Park	Environment	Estates Equipment	21-Jul-23	1,680.00			1,680.00		N
AST096	Masport Box Mower		Princess Street	Environment	Equipment	29-Jun-20	1,090.00			1,090.00		
AST097	Leaf Blower / Vacumn (Little Wonder ProVac)		Vulcan Park	Environment	Estates Equipment	24-Apr-19	2,549.00		2,549.00	0.00		N
AST098	Lodge Garage		Vulcan Park	Finance & General Purposes	Land & Property	2018				0.00		N
AST099	Memorial plaque - James Smith VC		Workington Train Station	Finance & General Purposes	Monuments	2014	1.00			1.00	Historic importance	N
AST100	Mini Tennis Net		Vulcan Park	Environment	Play Areas	30-Mar-23	1,609.00			1,609.00		N
AST101	Minute books & records of Improvement Trust & Board of the Local Government District of Workington (1840 - 1888)		Cumberland Council	Finance & General Purposes	Civic		1.00			1.00	Historic importance	Y
AST102	Minute books & records of the Charter Trustees (1974-1982)		Princess Street Community Centre	Finance & General Purposes	Civic	2022	1.00			1.00	Historic importance	Y
AST103	Minute books & records of the Corporation (1884-1974)		Princess Street Community Centre	Finance & General Purposes	Civic	2022	1.00			1.00	Historic importance	Y
AST104	Minute books & records of Vestry of the Parish of Workington (1819-1894)		Cumberland Council	Finance & General Purposes	Civic	2022	1.00			1.00	Historic importance	Y
AST105	Monument (Dr Peet)		Portland Square	Finance & General Purposes	Monuments	2014	1.00			1.00	Historic importance	N
AST106	Noticeboard - Digital image colour screen		Ivision Lane	Culture & Community	Displays	2019	5,371.00			5,371.00		N
AST107	Noticeboard - Digital text		Central Way	Culture & Community	Displays	2017	2,745.00			2,745.00		N
AST108	Noticeboard - Digital text		Washington Street	Culture & Community	Displays	2017	2,310.00			2,310.00		N

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Asset Reference	Description	Identification / Serial Number	Location	Responsible Committee	Group	Date Purchased	Purchase Value	Additions / Refurbishments	Disposals	Current Value	Notes	Held in trust
AST109	Oil painting and frame	1st Lady Mayor of Workington (Cllr E G Cain)	Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	2,780.00			2,780.00	Historic importance	Y
AST110	Oil painting and frame	1st Mayor of Workington (Henry Curwen)	Town Hall, Oxford Street	Finance & General Purposes	Civic	1982	2,780.00			2,780.00	Historic importance	Y
AST111	Oil painting and frame	Alderman James Duffield	Princess Street Community Centre	Finance & General Purposes	Civic	1982	2,780.00			2,780.00	Historic importance	Y
AST112	Oil painting and frame	Alderman William Leitch	Princess Street Community Centre	Finance & General Purposes	Civic	1982	2,780.00			2,780.00	Historic importance	Y
AST113	Oil painting and frame	Alderman P Walls	Princess Street Community Centre	Finance & General Purposes	Civic	1982	1.00			1.00	Historic importance	Y
AST114	Old Park Café		Vulcan Park	Finance & General Purposes	Land & Property	2018	2,780.00			2,780.00		N
AST115	Mayoral Thorne Chair		Princess Street Community Centre	Finance & General Purposes	Civic	1982	2,780.00			2,780.00	Historic importance	Y
AST116	Panna Court		Garnet Crescent	Environment	Play Areas	2015	1,176.00			1,176.00		N
AST117	Panna Court		Moorbanks active zone	Environment	Play Areas	2015	1,176.00	330.00		1,506.00		N
AST118	Panna Court		Vulcan Park	Environment	Play Areas	2015	1,176.00			1,176.00		N
AST119	Picnic Bench		Quayside	Environment	Seating	15-Jun-22	719.00			719.00		N
AST120	Picnic Bench		Quayside	Environment	Seating	15-Jun-22	719.00			719.00		N
AST121	Picnic table		Walker Road Play Area	Environment	Seating	2015	779.00			779.00		N
AST122	Picnic Table (Forest Saver Mobility)		Northside	Environment	Seating	10-Jul-23	768.00			768.00		N
AST123	Planters (Welcome back fund)		Town Centre	Environment	Planters	01-Apr-23	850.10			850.10		N
AST124	Planters (Welcome back fund)		Town Centre	Environment	Planters	01-Apr-23	850.10			850.10		N
AST125	Planters (Welcome back fund)		Town Centre	Environment	Planters	01-Apr-23	850.10			850.10		N
AST126	Planters (Welcome back fund)		Town Centre	Environment	Planters	01-Apr-23	850.10			850.10		N
AST127	Planters (Welcome back fund)		Town Centre	Environment	Planters	01-Apr-23	850.10			850.10		N
AST128	Planters (Welcome back fund)		Town Centre	Environment	Planters	01-Apr-23	850.10			850.10		N
AST129	Planters (Welcome back fund)		Town Centre	Environment	Planters	01-Apr-23	850.10			850.10		N
AST130	Planters (Welcome back fund)		Town Centre	Environment	Planters	01-Apr-23	850.10			850.10		N
AST131	Planters (Welcome back fund)		Town Centre	Environment	Planters	01-Apr-23	850.10			850.10		N
AST132	Planters (Welcome back fund)		Town Centre	Environment	Planters	01-Apr-23	850.10			850.10		N
AST133	Plastic Bench		TBC	Environment	Seating	2019	619.17			619.17		N
AST134	Plastic Bench		TBC	Environment	Seating	2019	619.17			619.17		N
AST135	Plastic Bench		TBC	Environment	Seating	2019	619.17			619.17		N
AST136	Plastic Bench		TBC	Environment	Seating	2019	619.17			619.17		N
AST137	Plastic Bench		TBC	Environment	Seating	2019	619.17			619.17		N
AST138	Plastic Bench		TBC	Environment	Seating	2019	619.17			619.17		N
AST139	Play area equipment		Brewery House Play Area	Environment	Play Areas	2014	1.00	330.00		331.00		N
AST140	Play area equipment		Garnet Crescent	Environment	Play Areas	2019	14,400.00	330.00		14,730.00		N
AST141	Play area equipment		Harrington Marina Play Area	Environment	Play Areas	01/07/2018 27/10/2023 30 Nov 2023	1.00	15,990.40		15,991.40		N
AST142	Play area equipment		Moorclose Park	Environment	Play Areas	2016 & 2024	24,000.00	21,007.27		45,007.27		N
AST143	Play area equipment		Newlands Lane Play Area	Environment	Play Areas	2014	1.00	330.00		331.00		N
AST144	Play area equipment		Siddick Play Area	Environment	Play Areas	2015	1.00	330.00		331.00		N
AST145	Play area equipment		Vulcan Park	Environment	Play Areas	30-Mar-23	102,529.00	1,117.50		103,646.50		N

WORKINGTON TOWN COUNCIL ASSET REGISTER

The Council's asset register lists all items owned by the Council over the value of £700 or that hold historic importance to the town or Council.

Asset Reference	Description	Identification / Serial Number	Location	Responsible Committee	Group	Date Purchased	Purchase Value	Additions / Refurbishments	Disposals	Current Value	Notes	Held in trust
AST146	Play area equipment		Walker Road	Environment	Play Areas	2015	20,000.00			20,000.00		N
AST147	Play area equipment		Wordsworth View	Environment	Play Areas	2016	23,372.00	660.00		24,032.00		N
AST148	Play area equipment		Springfield Park	Environment	Play areas	01-Aug-24	46,076.24	330.00		46,406.24		N
AST149	Play area equipment - youth zone		Moss Bay Road	Environment	Play Areas	2022	28,027.35			28,027.35		N
AST150	Princess Street Land & Building	LR Title CU210334	Princess Street Community Centre	Finance & General Purposes	Land & Property	2021	50,000.00			50,000.00		N
AST151	Records of the Manor of Workington		Town Hall, Oxford Street	Finance & General Purposes	Civic	Unknown	1.00			1.00	Historic importance	Y
AST152	Recycling Bin		Vulcan Park	Environment	Play Areas	30-Sep-22	718.00			718.00		N
AST153	Recycling Bin		Vulcan Park	Environment	Play Areas	30-Sep-22	718.00			718.00		N
AST154	Ride-On Mower (Kubota F391)		Vulcan Park	Environment	Estates Equipment	15-Aug-23	26,750.00			26,750.00		N
AST155	Road sign (metal)		Harrington	Environment	Signage	2020	2,511.60			2,511.60		N
AST156	Road sign (metal)		Schoose Farm	Environment	Signage	2020	2,511.60			2,511.60		N
AST157	Road sign (metal)		Seaton	Environment	Signage	2020	2,511.60			2,511.60		N
AST158	Road sign (metal)		Siddick	Environment	Signage	2020	2,511.60			2,511.60		N
AST159	Road sign (metal)		Stainburn	Environment	Signage	2020	2,511.60			2,511.60		N
AST160	Royal Charter of the Borough		Cumberland Council	Finance & General Purposes	Civic	2022	1.00			1.00	Historic importance	Y
AST161	Seal Machine Borough of Workington		Princess Street Community Centre	Finance & General Purposes	Civic	2022	1.00			1.00	Historic importance	Y
AST162	Slide		Garnet Crescent	Environment	Play Areas	2019	14,400.00			14,400.00		N
AST163	Statue Solider		Vulcan Park	Environment	Monuments	2021	10,000.00			10,000.00		N
AST164	Statue (Coelacanth)		Navvies Bridge	Finance & General Purposes	Monuments	2012	4,000.00			4,000.00		N
AST165	Statue of Mandelion		Vulcan's Lane	Finance & General Purposes	Monuments	2012	9,558.00			9,558.00		N
AST166	Storage Container		Vulcan Park	Environment	Land & Property	2021	7,000.00			7,000.00		N
AST167	Tables (beech foldable)		Princess Street Community Centre	Finance & General Purposes	Equipment	2021	954.00			954.00		N
AST168	Tannoy and Lighting system		Vulcan Park	Finance & General Purposes	Lighting	2013	7,800.00			7,800.00		N
AST169	Trailer (Apache 8x5 with cage and rear ramp)		Vulcan Park	Environment	Estates Equipment	12-Oct-23	1,533.00			1,533.00		N
AST170	Trim Trail		Siddick	Environment	Play Areas	05-Aug-22	2,113.00			2,113.00		N
AST171	Trim Trail		Vulcan Park	Environment	Play Areas	15-Nov-22	11,370.00	665.00		12,035.00		N
AST172	Workington Bowl		Helena Thompson Museum	Finance & General Purposes	Civic	2007	3,548.00			3,548.00	Historic importance	Y
AST173	Heartsine Samaritan Defibrillator & Cabinet		Northside Community Centre	Environment	Equipment	31/08/2024	1,370.00			1,370.00		N
AST174	Heartsine Samaritan Defibrillator & Cabinet		St Marys Church, Westfield	Environment	Equipment	09/10/2024	1,500.00			1,500.00		N
AST175	Play area equipment		Cusack Crescent	Environment	Play Areas	28/11/2024	1.00	1,091.00		1,092.00		N
AST176	Heartsine 360P Defibrillator & Solar/Wind Cabinet		Barepot	Environment	Equipment	13/02/2025	4,000.00			4,000.00		N
AST177	Husqvarna LB553IV Mower	20240200041	Princess Street Community Centre	Environment	Estates Equipment	14/03/2025	990.00			990.00		N
AST178	Wheelchair Accessible Picnic Table		Vulcan Park	Environment	Seating	30/06/2025	730.00			730.00		N
AST179	Wheelchair Accessible Picnic Table		Vulcan Park	Environment	Seating	30/06/2025	730.00			730.00		N

WORKINGTON TOWN COUNCIL ASSET REGISTER

The Council's asset register lists all items owned by the Council over the value of £700 or that hold historic importance to the town or Council.

Asset Reference	Description	Identification / Serial Number	Location	Responsible Committee	Group	Date Purchased	Purchase Value	Additions / Refurbishments	Disposals	Current Value	Notes	Held in trust
AST180	Inclusive Swing		Harrington Marina Play Area	Environment	Play Areas	30/06/2025	1,232.40			1,232.40		N
AST181	Defibrilator for Siddick		Siddick	Environment	Equipment	12/11/2025	4,200.00			4,200.00		N
AST182	Conference Room Camera/Mic		Town Hall, Oxford Street	Finance & General Purposes	Equipment	12/11/2025	1,051.97			1,051.97		N
AST183	Inclusive Swing		Cusack Crescent	Environment	Play Areas	31/12/2025	1,390.40			1,390.40		N
AST184	Inclusive Swing		Moorclose Park	Environment	Play Areas	31/12/2025	1,399.20			1,399.20		N
AST185	Hedgehog Springy		Newlands Lane Play Area	Environment	Play Areas	28/01/2026	731.00			731.00		N
AST186	Vulcan Park Goal Posts		Vulcan Park	Environment	Play Areas	28/02/2026	1,525.83			1,525.83		N
AST187	Heavy Duty Premium Swing Gate		Siddick	Environment	Equipment	30/03/2026	721.43			721.43		N
										0.00		N

967,570.98	43,929.17	7,869.87	1,003,630.28
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Long Term Assets

Ref	Description	Identification	Date Acquired	Value	Insurance value for leased item	Custodian	Disposal/discharge	Insured by WTC	Date added	Notes	
1	LAMIT investment 50,297 units	Ref No. 85193 Account 612105801	2015	£151,750	n/a	Clerk		N	Purchase value	31-Aug-15	

Total value of long term assets	£151,750
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To Whom It May Concern

Name of Insured: Workington Town Council

This is to confirm that Workington Town Council have in force with this Company until the policy expiry on 30th March 2027 insurance incorporating the following essential features:

Policy Number: YLL-122003-5443

Renewal Date: 31st March 2027

Limits of Indemnity:

Public Liability:	£10,000,000 minimum* any one event
Products Liability:	£10,000,000 minimum* for all claims in the aggregate during and one period of insurance
Pollution Liability:	As per Products Liability
Official's Indemnity:	As below

*Please refer to your Policy Schedule for your exact Limit of Indemnity

Zurich's Public Liability cover includes financial loss for your councillors. We indemnify them in respect of all sums which you may become legally liable to pay as damages and claimants costs and expenses for financial loss arising as a result of a negligent act or accidental error or omission, alleged or committed.

Whilst other insurers will offer separate officials indemnity; we feel our Public Liability cover offers a bespoke solution for the needs of Parish and Town Councils

Excess:

Public Liability/Products Liability/Pollution Liability: £100 each and every claim in respect of Third Party Property Damage

Indemnity to Principals

Covers include a standard Indemnity to Principals Clause in respect of contractual obligations.

Full Policy

The policy documents should be referred to for details of full cover.

Zurich Municipal is a trading name of Zurich Insurance Company Ltd. A public limited company incorporated in Switzerland. Registered in the Canton of Zurich, No. CHE-105.833.114, registered offices at Mythenquai 2, 8002 Zurich. UK Branch registered in England and Wales no BR000105. UK Branch Head Office: The Zurich Centre, 3000 Parkway, Whiteley, Fareham, Hampshire PO15 7JZ.

Zurich Insurance Company Ltd is authorised and regulated in Switzerland by the Swiss Financial Market Supervisory Authority FINMA. Authorised by the Prudential Regulation Authority. Subject to regulation by the Financial Conduct Authority and limited regulation by the Prudential Regulation Authority. Details about the extent of our regulation by the Prudential Regulation Authority are available from us on request. Our firm reference number is 959113.

Communications may be monitored or recorded to improve our service and for security and regulatory purposes.

Mrs Emma Chapman
Workington Town Council
The Town Hall
Oxford Street
Workington
Cumbria
CA14 2RS

Select for Local Councils Policy Schedule

This insurance policy, which meets your demands and needs, has been based on the latest information obtained from you. The Policy, the Policy Schedule, any Certificates of Insurance and Endorsements form one document and should be read together. This Schedule replaces any previous Schedule.

Policy Number	YLL-122003-5443
Insured	Workington Town Council
Business	Parish / Town Council
Period of Insurance	
From	31 st March 2026
To	30 th March 2027

and any other period for which cover has been agreed.

Adjustment Premium	£ -96.63
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Premiums are inclusive of Insurance Premium Tax and/or VAT as appropriate.

Schedule Number	167488775
Long term agreement active until	31 st March 2027
Preparation Date	04 th March 2026
Prepared by	Mr Alex Kirby
Policy Form Reference	MLAACH10

Policy Cover Declaration:

You, the Insured, are not aware of any known losses or events that could give rise to a claim, or circumstances that would be prejudicial to us, the Insurer, should the basis of cover on the below given insurance product (s) be changed.

This is important information, please read it carefully and check that the facts given about you are correct and that we have included all the covers that you require. We are unable to give you advice so it is your responsibility to check the cover is correct for your organisation.

Statement of Fact

If you provide services or activities to children, or adults who are in need of care and support and therefore may be unable to protect themselves against abuse or neglect:

- Your organisation has not had any third-party inspections with a grading of Inadequate, Requires Urgent Improvement, Weak or Unsatisfactory
- You have in place a written safeguarding policy and accompanying procedures that clearly set out the actions to take in response to child and vulnerable adult abuse
- You carry out safer recruitment and selection processes that include the seeking of appropriate criminal records checks, alongside a renewal and update process
- All Employees and **volunteers** engaged in regulated activity and/or activity that brings them into contact with children or vulnerable adults receive safeguarding awareness training including refresher training
- You have one or more designated practitioners for safeguarding to support other practitioners in the organisation to recognise and respond to concerns about Abuse
- You retain employment records, safeguarding checks, safeguarding policies and procedures and safeguarding records for at least the prevailing regulatory best practice period.

If you provide services or activities to children, or adults who are in need of care and support and therefore may be unable to protect themselves against abuse or neglect, and you become non-compliant with any of the above statements, you must tell us, as it may affect your ability to claim under this policy.

Important information

Taking reasonable care

We require that you take reasonable care in managing your activities. Where appropriate this requires you to do the following:

- Keep written risk assessments for your key activities
- Keep written records of your staff and volunteer training. For example, manual handling training, or for use of tools and machinery
- Abide by any rules, guidelines or advice that is given to you by any relevant authority, such as a Local Authority, or the Health and Safety Executive

We want you to be confident about your insurance and understand what is required of you. Please contact us if you have any questions relating to the above.

Lines of Cover applying

Part A – Material damage

Table Headings

Contents (a)	Furniture, fixtures, fittings and tenants improvements
Contents (b)	Other contents and consumable stock not specified below including printed books and unused stationery
Contents (c)	Computer equipment, other office equipment and sports equipment
Contents (d)	Televisions, audio-visual and photographic equipment (excluding videos), beer, wine, spirits, tools and gardening equipment
Contents (e)	Tobacco
Contents (f)	Camcorders, videos and gaming machines
Contents (g)	Civic Regalia

Sums Insured

Premises Address	Buildings Sum Insured	Loss of Rent	Contents (a)	Contents (b)	Contents (c)	Contents (d)	Contents (e)	Contents (f)	Contents (g)
1. Park End Shelter, Address, Vulcan Park, Workington, Cumbria, CA14 2QA	£255,261.53	N/A	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
2. Queen's Hut, Address, Vulcan Park, Workington, Cumbria, CA14 2QA	£58,254.93	N/A	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
3. Store, Address, Vulcan park, Workington, Cumbria, CA14 2QA	£63,815.38	N/A	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
4. Bowling Club Bower, Address, Vulcan Park, Workington, Cumbria, CA14 2QA	£278,473.48	£1,120.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
5. Address, Princess Street Day Centre, Princess Street, Workington, Cumbria, CA14 2QG	£292,000.58	N/A	£65,965.59	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00

For Premises: 1, 2, 3, 4, 5

Insured Perils applicable to Material Damage : 1-13, 15 & 16

Excesses Applicable to Premises 1, 2, 3, 4 & 5

The following Excesses apply to each and every loss arising in respect of each and every separate premises:

Accidental Damage	£100
Theft	£100
Riot civil commotion and Malicious Persons	£250
Storm or Flood	£250
Escape of Water	£250
Falling Trees or Branches	£250

Operative Endorsements: 1, 2, 3, 5, 6, 7, 8 & 9 (please refer to the Endorsement section of the policy wording)

Part B – Business interruption

Premises Address	Additional Expenditure	Indemnity Period (Months)	Loss of Data	Indemnity Period (Months)	Loss of Gross Revenue	Indemnity Period (Months)
Vulcan Park, Workington, Cumbria, CA14 2QA	N/A		N/A		N/A	
Princess Street Day Centre, Princess Street, Workington, Cumbria, CA14 2QG	£7,000	24	N/A		N/A	

For Premises: 1, 2, 3, 4, 5

Insured Perils applicable to Business Interruption : 1-13, 15 & 16

Operative Endorsements:

None

Part C – All risks
Table Headings

Contents (a)	Furniture, fixtures, fittings and tenants improvements
Contents (b)	Other Contents and consumable stock not specified below including printed books and unused stationery
Contents (c)	Computer Equipment, other office equipment and sports equipment
Contents (d)	Televisions, audio-visual and photographic equipment (excluding videos), beer, wine, spirits, tools and gardening equipment
Contents (e)	Tobacco
Contents (f)	Camcorders, videos and gaming machines
Contents (g)	Civic Regalia

Item Description	Premises Address (if applicable)	Sum Insured	Excess
Contents (a)	The Town Hall, Oxford Street, Workington, Cumbria, CA14 2RS	£22,050.00	£100

Additional Items:

Where no premises address is shown, the item is not based at one location and cover is provided anywhere within the **territorial limits**.

Item Description	Sum Insured	Excess
Mayoral Benches	£3,659.06	£100
Paintings and Throne Armchair	£25,725.57	£100
Statue of Mandelion	£14,637.89	£100
Christmas Lights, Consumable Stock & Other Miscellaneous Items	£32,496.17	£100
Metal Road Signs	£20,911.07	£100
Photocopier leased from BNP Paribas c/o Acquis, Integra House, Vaughan Court, Celtic Springs, Newport, NP10 8BD under agreement 946331/001	£4,062.03	£100
Play Equipment at Moorclose Park, Brewery House, Cusack Crescent, Garnet Crescent, Harrington Marina, Newlands Lane, Moorbanks, Siddick, Springfield Park, Vulcan Park, Walker Road, Wordsworth View	£381,134.00	£100
Civic Regalia & Mayoral Robes anywhere in Europe	£258,598.20	£100
Coelacanth Statue	£2,067.21	£100
PA and Lighting System	£11,148.75	£100
Mangers and Brackets for Hanging Baskets	£19,300.00	£100
Gardening Equipment/ Tools	£21,984.43	£100
Office and Computer Equipment including Laptops	£12,053.86	£100
Hired In Plant	£41,218.72	£100
Cenotaph	£137,395.72	£100
Various items of plant from WM Plant	£15,290.95	£100
Storage Container at Princess Street Day Centre	£9,155.58	£100
CCTV	£12,207.44	£100
25x Samsung tablets for Councillors	£5,172.00	£100
2x wind and solar powered defibs	£8,000.00	£100

The excess stated applies to each and every loss.

Operative Endorsements: 1, 2, 3 & 7 (please refer to the Endorsement section of the policy wording)

Part D – Money

	Limit any one loss
1. Loss of Non-Negotiable Money in the situations specified in items 2(a), 2(b), 2(c)(i) and 2(c)(ii):	£250,000
2. Loss of other Money:	
(a) in transit in the custody of any member or employee or in transit by registered post (limit £250), or in a Bank Night Safe	£5,000
(b) in the private residence of any member or employee	£250
(c) in the premises	
(i) in the custody of or under the actual supervision of any member or employee	£5,000
(ii) in locked safes or strongrooms	£5,000
(iii) in locked receptacles other than safes or strongrooms	£250

Excess: £50 each and every loss

Personal Accident Assault Limits: Stated in Section 3(c) of the policy wording

Operative Endorsements:

1. In respect of **Section 1 – Special Definitions**, the definition of Person Insured is extended to include any person between the ages of 16 and 90.

Part E – Public liability

Limit of Indemnity: £15,000,000

Operative Endorsements: None

Part F – Hirers' liability

Limit of Indemnity: £2,000,000

Excess: £100 each and every claim for damage to the premises or contents caused other than by fire or explosion

Operative Endorsements

None

Part G – Employers liability

Limit of Indemnity: £10,000,000

Operative Endorsements:

None

Part H – Libel and slander

Sum Insured

£250,000

Excess: 10% each and every claim or £1,000 whichever is the lower

Operative Endorsements

None

Part N – Fidelity guarantee

Persons Guaranteed:
 All members and employees

Sum Guaranteed
 £1,000,000

Excess: £100 each and every loss

Operative Endorsements:

None

Part O – Personal accident

The cover		
Category:	Insured Persons:	Operative Time:
A	Employees	Engaged in Usual Occupation including Journeys and whilst commuting directly between place of residence and usual place of business
B	member	Engaged in the business including undertaking Journeys and whilst commuting directly between place of residence and usual place of business
C	volunteer	Engaged in the business including undertaking Journeys and whilst commuting directly between place of residence and usual place of business
D	key personnel as follows:	24 hours per day engaged in any activity worldwide not excluded from this cover.

Excesses	
Excesses:	Not applicable

Table of benefits				
Benefit:	Category:			
	A	B	C	D
1. Death	5.00 times annual earnings	£35,000.00	£35,000.00	£Nil
2. Loss of Limb (one or more) and/or Loss of Sight (in one or both eyes)	5.00 times annual earnings	£35,000.00	£35,000.00	£Nil
3A. Total Loss of Hearing (in both ears) and/or Total Loss of Speech	5.00 times annual earnings	£35,000.00	£35,000.00	£Nil
3B. Total Loss of Hearing in one ear	25% of 3A	25% of 3A	25% of 3A	25% of 3A
4. Permanent Total Disablement	5.00 times annual earnings	£35,000.00	£35,000.00	£Nil

5. Permanent Partial Disablement	See section 2.16	See section 2.16	See section 2.16	See section 2.16
6. Paraplegia	£75,000 if 1 is £50,000 or more, otherwise £Nil	£Nil	£Nil	£Nil
7. Quadriplegia	£125,000 if 1 is £50,000 or more, otherwise £Nil	£Nil	£Nil	£Nil
8. Temporary Total Disablement	1.00 times weekly earnings	£100.00 per week	£100.00 per week	£Nil
9. Temporary Partial Disablement	50% of 8 or Nil	50% of 8 or Nil	50% of 8 or Nil	50% of 8 or Nil
Benefit Period – temporary disablement	104 weeks	104 weeks	104 weeks	104 weeks
Deferment Period – temporary disablement	0 days	0 days	0 days	0 days
Operative endorsements				
Endorsement title:	Endorsement wording:			
1	Special Exclusion 2 of Section 3 is inoperative provided always that the insurer will not make any payment of any benefit or in respect of any expense or loss arising from any Person Insured who has attained the age of 90 years unless such expense or loss arises during the period of insurance during which the Person Insured attains the age of 90			

Part P – Legal expenses**Insured Incidents:**

1. Employment Disputes and Compensation Awards	Operative
2. Legal Defence	Operative
3. Statutory Licence Appeal	Operative
4. Contract Disputes	Operative
5. Debt Recovery	Operative
6. Property Protection and Bodily Injury	Operative
7. Tax Protection	Operative

Limit of Indemnity: £200,000

Operative Endorsements: None

General Notes

1. Fair presentation of the risk

You must make a fair presentation of the risk to us at inception, renewal and variation of your policy. This means that we must be told about all facts and circumstances which may be material to the risks covered by the policy and that you must not make a misrepresentation to us about any material facts. As part of your duty of fair presentation, you must ensure that the information detailed within the schedule is correct and complete. A material fact is one which would influence the acceptance or assessment of the risk. If you have any doubt about facts considered material, it is in your interests to disclose them to us.

Failure to make a fair presentation of the risk could result in the policy either being avoided, written on different terms or a higher premium being charged, depending on the circumstances surrounding the failure to present the risk fairly.

This policy is compliant with the principles of the Insurance Act 2015 law reforms. It also incorporates an 'opt out' which has the aim to promote good customer outcomes. We have opted-out of the 'proportionate reduction of claim remedy' available to insurers under the Insurance Act 2015. This means that in cases of non-disclosure or misrepresentation which are neither deliberate nor reckless, if we would have charged an additional premium had we known the relevant facts, we will charge that premium and pay any claims in full rather than reducing claims payments in proportion to the amount of premium that would have been charged.

We believe that our 'additional premium approach' should, in most situations, be more favourable to our customers when compared to the proportionate reduction of claim remedy. Our additional premium approach does not affect our right to apply the other remedies available under the Act for non-disclosure or misrepresentation.

2. Cancellation

All insurance policies run for a fixed period of time. The Insured can terminate an insurance contract verbally or in writing at any time by calling 0800 917 9531 or emailing Customers.team@uk.zurich.com. Zurich may cancel the policy by giving 30 days' notice in writing. In such an event the insured will be entitled to a return of premium in respect of the unexpired portion of the period of insurance.

If you cancel your policy before the start date, you will be entitled to a full refund of premium. If you cancel within 14 days of the start date, you will be entitled to a full refund of premium, providing no claim has been made. After 14 days, if no claim has been made, we may offer a full or partial refund, depending on the time the policy was on risk and the circumstances at the time of the cancellation request. Please note, a cancellation charge of £50 may be applied.

3. Bonus and fee structure

Employees and businesses who carry out work for ZIC UK are remunerated in various different ways for selling insurance contracts. Employees receive a basic salary and also receive a bonus based on a number of factors, including the achievement of sales and quality targets. Businesses which work for the insurer on an outsourced basis receive a fee and also additional payments based on a number of factors, including the achievement of sales and quality targets.

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Zurich Insurance Company Ltd is authorised and regulated in Switzerland by the Swiss Financial Market Supervisory Authority FINMA. Authorised by the Prudential Regulation Authority. Subject to regulation by the Financial Conduct Authority and limited regulation by the Prudential Regulation Authority. Details about the extent of our regulation by the Prudential Regulation Authority are available from us on request. Our firm reference number is 959113.

Communications may be monitored or recorded to improve our service and for security and regulatory purposes. © Copyright – Zurich Insurance Company Ltd. All rights reserved. Reproduction, adaptation, or translation without prior written permission is prohibited except as allowed under copyright laws.

Certificate of Employers' Liability Insurance (a)

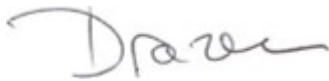
(Where required by regulation 5 of the Employers' Liability (Compulsory Insurance) Regulations 1998 (the Regulations) as amended by the Employers' Liability (Compulsory Insurance) (Amendment) Regulations 2008, a copy of this certificate must be displayed at all places where you employ persons covered by the policy or an electronic copy of the certificate must be retained and be reasonably accessible to each employee to whom it relates).

Policy number	YLL-122003-5443
1. Name of policyholder	Workington Town Council
2. Date of commencement of insurance policy	31/03/2026
3. Date of expiry of insurance policy	30/03/2027

We hereby certify that subject to paragraph 2:

1. The policy to which this certificate relates satisfies the requirements of the relevant law applicable in Great Britain, Northern Ireland, the Isle of Man, the Island of Jersey, the Island of Guernsey and the Island of Alderney **(b)**.
2. (a) The minimum amount of cover provided by this policy is no less than £5 million **(c)**.

Signed on behalf of Zurich Insurance Company Ltd (Authorised Insurer).

A handwritten signature in black ink, appearing to read 'Drazen'.

Drazen Jaksic
Chief Executive Officer of Zurich Insurance Company Ltd, UK Branch

Notes

- (a)** Where the employer is a company to which regulation 3(2) of the Regulations applies, the certificate shall state in a prominent place, either that the policy covers the holding company and all its subsidiaries, or that the policy covers the holding company and all its subsidiaries except any specifically excluded by name, or that the policy covers the holding company and only the named subsidiaries.
- (b)** Specify applicable law as provided for in regulation 4(6) of the Regulations.
- (c)** See regulation 3(1) of the Regulations and delete whichever of paragraphs 2(a) or 2(b) does not apply. Where 2(b) is applicable, specify the amount of cover provided by the relevant policy.

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Risk Management Policy

Introduction

Risk Management is an essential feature of the Town Council's corporate governance arrangements. Risk Management applies to all areas of the Council's work and this policy outlines the overarching approach to Risk Management. This policy is supported by other approved policies, protocols and procedures.

Definition

Risk Management is the way that the Council responds to uncertainty in both the internal and external environment. Having a policy for risk management allows the Council to:

- Identify risks in the context of corporate objectives.
- Assess risks to determine and develop actions and controls to manage risks.
- Communicate with all stakeholders its process for identifying and managing risk.

Policy statement

Workington Town Council recognises that it has a responsibility to manage risks, both internal and external, and is therefore committed to the implementation of a risk management policy to protect the Council.

The Town Council recognises that risk management is an essential part of effective corporate governance and that the Council has a statutory duty to have in place arrangements for managing risk as stated in the Account and Audit Regulations.

Assessing risk

The Accounts and Audit Regulations 2015 require smaller authorities, each financial year, to conduct a review of the effectiveness of the system of internal control and prepare an annual governance statement in accordance with proper practices in relation to accounts. Risk management is part of the review and when completing The Annual Governance Statement for the external auditor, the Council is confirming the following assertion:

"Assertion 5: Risk Management

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."

To warrant a positive response to this assertion, the Council needs to have the following arrangements in place:

- 1) Identifying and assessing risks. The Council needs to identify, assess and record risks associated with actions and decisions it has taken or considered taking during the year that could have financial or reputational consequences.
- 2) Addressing risks. Having identified, assessed and recorded the risks, the Council needs to address them by ensuring that appropriate measures are in place to mitigate and manage risk which will include the use of internal controls and insurance cover.

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Risk assessment

Risk Assessment forms a key element as to how the Council assesses risk. The Council on an annual basis will review the following corporate risk assessments:

- Business Continuity
- Finance
- Fire
- Governance
- Information Technology and Website
- Lone Working
- Services and Assets

Furthermore, the Council reviews annually several of its key policies and procedures to identify and manage risk. These include:

- The annual review of the corporate health and safety policy.
- The annual review of corporate risk assessments.
- The annual review of the procurement policy.
- The annual review of the internal control policy.
- The annual review of the corporate financial regulations.
- The Council maintains a documented Governance and Finance Schedule that it monitors and manages across the year.

Reviewing our risk

The risk assessment template used to prepare the corporate risk assessments is the Health and Safety Executive corporate template.

Risk Assessments are a continual process and whilst they are reviewed annually, they are live documents which form an essential part of service delivery.

Reporting of risks

The risk assessments and supporting policies are reviewed annually by the Finance and General Purposes Committee.

Persons responsible for the delivery and monitoring of this policy

Risk management is embedded in the everyday culture of the Council. The roles and responsibilities are set out below and are designed to ensure that risk is managed effectively:

- **Elected Members**
 - Risk management is a key part of the members' role, where they lead on the monitoring, approval, review of the Risk Management Policy, Risk Assessments and associated policies.
- **Chief Officer/RFO**
 - Is responsible for the oversight and management of the Council employees and the implementation of agreed policies. The Chief Officer/RFO will communicate with and provide advice to Elected Members on matters relating to risk management.
- **Services and Contracts Manager (for WTC this is the Chief Officer/RFO)**
 - Is responsible for the Health and Safety Policy and the preparation and ongoing monitoring of the corporate risk assessments. This includes the inspection and monitoring of assets, the health and safety responsibilities

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for third party contractors and addressing the actions arising from the risk assessments.

- **Responsible Finance Officer (for WTC this is the Chief Officer/RFO)**
 - Is responsible for Section 151 of the Local Government Act 1972, the RFO manages the financial affairs of the Council, including reviewing the system of internal control and ensuring that the Council is adequately insured.
- **Employees**
 - All employees have a duty responsibility to achieve a healthy and safe workplace, and to take reasonable care of themselves and others. Employees are required to report risk factors to managers and elected members as appropriate.
- **Internal Audit**
 - Provides an important scrutiny role by carrying out audits to provide independent assurance to the Council that the necessary management systems are in place and that business risks are being managed effectively.
- **External Services**
 - The Council has a range of external providers including external IT and support who manage, monitor and advise on risks as required. The Council will submit its accounts annually to an external auditor.

WORKINGTON TOWN COUNCIL RISK REGISTER

A risk register is an essential document for any council to ensure that risks are managed effectively. It provides a structured way to identify, assess, manage, and mitigate risks that might affect the council's activities, finances, legal responsibilities, and reputation.

Approved at a meeting of the Full Council on XXX (Min XXX)

FINANCIAL RISKS					
Topic	Risk	Likelihood	Impact	Management/control of risk	Review/Assess/Revise
Precept	Adequacy of precept Precept request not submitted to Cumberland Council	L	H	The Council receives budget monitoring reports at every Full Council meeting which includes reserves, actual spend and projected year-end indicative figures. Budget monitoring reports are also taken to each committee meeting to allow a regular review of the Council's finances and available budget. Following the Full Council meeting in January the Chief Officer submits the precept request to Cumberland Council. If the Chief Officer is unavailable the Deputy Proper Officer will submit the request. Cumberland Council would inform WTC if they had not received their precept request before bills were issued to taxpayers.	Existing procedures adequate
Financial Records	Inadequate records Financial irregularities	L	M	The Council has adopted Financial Regulations which set out the requirements for reporting financial information to the Council. This includes procedures that are designed to prevent fraud and irregularities. The Council is putting together an internal controls policy which it follows for the signing off all payments. The Council's appointed internal auditor carries out audits twice a year and once a year the Council is audited by an external auditor.	Put in place an internal controls policy. Review the Financial Regulations at least yearly. Carry out a review of auditor feedback and suggested improvements
Bank and Banking	Inadequate checks Bank mistakes	L	M	The Council has Financial Regulations which set out the requirements for banking and reconciliation of accounts and reports are taken to every meeting of the Finance and General Purposes Committee and Full Council. The Finance Officer/Chief Officer reconciles the bank accounts monthly to ensure transactions are correctly reflected in the financial information presented to the Council. A weekly payment run is checked and signed off by two Councillors and the Chief Officer before any payments can be made. The Chief Officer periodically checks bank transactions for accuracy.	Existing procedures adequate. Review Financial Regulations annually. Review bank signatory list at the annual meeting and after an election. Statements monthly and present to F & GP and Full Council at each meeting.

Cash	Loss through theft or dishonesty	L	L	<p>The Council has Financial Regulations which set out the requirements for the handling of cash.</p> <p>The Mayor signs off a report to confirm receipt of funds at fundraising events and this is reported to F & GP and Full Council at each meeting.</p> <p>The Council does not hold petty cash. The only cash income that is received by the Council is from the Mayor's fundraising efforts.</p> <p>Financial regs determine how this is handled by staff and paid into the Council's current account.</p>	Existing procedure adequate. Review the Financial Regulations when necessary.
Reporting and Auditing	Provision of monitoring information. Compliance	L	M	<p>A budget monitoring report is produced for every committee meeting.</p> <p>The Council has an internal audit twice a year.</p> <p>Council can review actual spend, projected spend to the end of the financial year, breakdown of receipts and payments balanced against the bank statements.</p> <p>A full report of all Council finances is produced for all Finance and General Purposes committee and Full Council meetings.</p>	Existing reporting procedures are adequate. Council annually to appoint an Internal Auditor
Supplier Procurement	Council procurement policy not followed Supplier not reputable	L	M	<p>Due diligence completed during the procurement of contracts process.</p> <p>Insurance and liability is included in the procurement process.</p>	Existing procedure adequate
Direct costs Orders and invoices Debts	Goods billed but not supplied Unpaid invoices Incorrect invoicing	L	L	<p>The Council has Financial Regulations which set out the underlying requirements.</p> <p>The Council does not carry any stock.</p> <p>The Council is provided with details of payments and receipts for the preceding month at every council meeting for consideration and approval.</p> <p>Unpaid invoices are pursued by the Chief Officer and action taken via small claims court if necessary.</p>	Existing procedures adequate. Review the Financial Regulations annually.
Grants payable	Is there a power to pay Is authorisation properly recorded	L	L	<p>All such expenditure is considered by relevant committees or Full Council depending on the value of the request, as stated in the Financial Regs. All approvals or rejections are minuted accordingly.</p> <p>If payment is made using the S137 power, this is recorded specifically</p>	Existing procedure adequate. A report on expenditure under S137 is taken to the annual meeting.
Grants - receivable	Receipts of Grant	L	L	<p>The Council does not routinely receive any regular grants.</p> <p>One off grants would be dealt with within the specifically defined terms and conditions and would be itemised for all F & GP and Full Council meetings.</p> <p>The relevant committee is informed if Officers are applying for funding if not previously requested as a resolution.</p>	Receipt of one-off grants would be recorded through the council meeting minutes and financial management systems for approval
Charges – rentals receivable	Payments of charges, leases, rentals	L	L	<p>The Council receives payment for allotments rents, garages and a car park.</p> <p>These transactions are shown as income in the budget monitoring reports which go to relevant committees, F & GP committee and Full Council meetings.</p>	Existing procedure adequate.

OPERATIONAL RISKS					
Topic	Risk	Likelihood	Impact	Management/control of risk	Review/Assess/Revise
Business Continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	L	M	Loss of Chief Officer or loss of Council papers / electronic records A business continuity plan holding simple key information will be created and put in place. A copy is held by the Chief Officer, Mayor and Chair of Finance and General Purposes committee. The Council has an appointed Deputy Proper Officer who can act in the absence of the Chief Officer.	Appropriate back-up arrangements in place. Put in place a business continuity plan.
Value for Money Accountability	Work awarded incorrectly Overspend on services	M	M	Financial Regulations specify the procedures for procuring goods and services. If problems are encountered with a contract or a service, the Chief Officer would investigate, check the relevant circumstances and report to Council.	Existing procedures, contained within Financial Regulations, are adequate.
Salaries and associated costs	Salary paid incorrectly Wrong deductions of NI or Tax Unpaid Tax & NI contributions to the Inland Revenue	L	M	The Council authorises the appointment level of remuneration of all employees. Rates of pay are linked to national terms and conditions. Payslips are generated automatically through Cumberland Council's software. Cumberland Council manages the payment of staff wages plus NI, tax and Pension contributions. The Chief Officer/Finance Officer receive a breakdown of costs per staff prior to wages paid to ensure the information is correct. All staff submit log hours on a timesheet. All staff have a contract of employment and job description.	Existing systems include adequate controls.
Councillor allowances	Councillors over-paid Income tax deduction	L	L	The Mayor receives a monthly allowance (10 months) which is paid as part of the Council's staff wages and managed by Cumberland Council. Payments are stopped when a new Mayor is elected and details of the new Mayor are sent to Cumberland Council.	Existing procedure adequate
Election costs	Financial risk to the council of an election.	M	M	Risk is higher in an election year. The Council sets a budget for by-elections each year. An earmarked financial reserve is held to cater for an election if this becomes necessary.	Existing procedure adequate Introduce ear marked reserves for elections
VAT	Re-claiming/charging	L	L	The Council has Financial Regulations which set out the required processes and an accounting software programme which calculates & records VAT input and output	Existing procedure adequate
Annual Audit Return	Submit within time limits.	L	H	Annual Audit Return is completed and approved by the Council, documents subject to internal audit prior to being forwarded to the External Auditor within required time limit.	Existing procedures adequate
Legal Powers	Illegal activity or payments	L	H	All activity and payments within the powers of the Council to be resolved and minuted at Full Council	All powers appropriately considered and minuted.

Minutes/Agendas/Notices/ Statutory Documents	Accuracy and legality Business conduct	L	M	Minutes and agendas are produced in the prescribed form by the Chief Officer and adhere to legal requirements. Business conducted at Council meetings is managed lawfully by the Chair in accordance with Standing Orders and with the advice and guidance of a qualified Chief Officer. Minutes are approved and signed at the next committee/Council meeting. Minutes and agendas are accessible to the public in compliance with the legal requirements.	Existing procedure adequate. Guidance/training is available to the Chair and Chief Officer. Members to adhere to Code of Conduct.
Members interests	Conflict of interest Register of Members interests	L	M	The declaration of interests by members at meetings is a standing item to remind Councillors of their duty. Register of Members Interest forms should be reviewed regularly by Councillors.	Existing procedure adequate. Members take responsibility to update the register.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L	H	An annual review is undertaken (at time of policy renewal) of all insurance arrangements. Employers and Employee liability insurance is a necessity. Ensure compliance measures are in place. Ensure Fidelity checks are in place.	Existing procedure adequate. Review insurance provision annually. Review of compliance.
Data protection	Policy	L	L	The Council is registered with the Information Commissioner.	Ensure annual review of registration Policy is reviewed annually by Full Council
Freedom of Information Act	Policy and publication	L	L	The Council has a FOI policy and a model publication scheme for Local Councils in place. Ensure the Chief Officer is aware that if a substantial request arrives then this may require many hours of additional work. Where possible, WTC will not charge requesters a fee for complying with requests however it reserves the right to do so. If WTC determines that a fee will be charged for complying with the request, a fee notice will be issued to the applicant in accordance with section 9 of the FOIA. The Council reserves the right to refuse to respond to a request for information if it exceeds the value of £450 to process in terms of staff time and disbursements. The £450 is calculated to be 18 hours of staff time based on an hourly rate of £25 per hour, which is provided for by Regulation 4 of the Freedom of Information and Data Protection (Appropriate Limit and Fees) Regulations 2004.	Monitor and report any impacts of requests made under the F of I Act. FOI requests are to be reported to the next available Finance and General Purposes Committee meeting.

REPUTATIONAL RISK					
Topic	Risk	Likelihood	Impact	Management/control of risk	Review/Assess/Revise
Poor consultation & representation	Poor two-way consultation, resulting in loss of reputation, goodwill, understanding etc.	L	M	Ensure all consultation from other organisations, bodies, agencies and individuals is properly scheduled for consideration and due dates are met Ensure all consultations from Town Council are objective Minutes/agendas and associated reports to be available online. Periodic press releases Use of Town Council noticeboard Timely responses to all correspondence, consultations etc. Respecting electors rights by encouraging attendance at meetings and other appropriate occasions Production of Annual report for Town Assembly	Existing procedure adequate
Elections : Failure to properly induct councillors following election	Reputational damage. Disqualification of councillors; Challenge to validity of Council decisions	L	M	Chief officer to ensure all induction procedures (especially Declarations) are commenced within 2 working days of election	Existing procedure adequate
Libel and Slander	Reputational damage to council			Relevant insurance cover in place if needed Chief Officer is responsible for communications	Existing procedure adequate
Capability of councillors	Poor policy-making and decision-making	M	H	Councillors must be actively encouraged to undertake training: it may be compulsory for some functions Regular training bullets from CALC are circulated and offered to Cllrs.	Existing procedure adequate

PHYSICAL EQUIPMENT OR ASSETS					
Topic	Risk	Likelihood	Impact	Management/control of risk	Review/Assess/Revise
Assets	Loss or damage/risk Damage to third parties/property	L	M	An annual review of assets is undertaken for insurance provision, storage and maintenance purposes. Appropriate insurances in place. Appropriate procedures in place for the acquisition and disposal of Council assets (such as buildings).	Existing procedure adequate. Keep under review during year.
Maintenance	Poor performance of assets or amenities Loss of income or performance Risk to third parties	L	M	All assets owned by the Council are regularly reviewed and maintained. All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with the procedures agreed by the Council. Where necessary annual maintenance plans are put in place, e.g. computer & CCTV equipment. All public amenity land is inspected regularly by Officers.	Existing procedure adequate. Ensure timely inspections carried out.
Notice boards	Risk/damage/injury to third parties	L	M	Council has 6 notice boards, two digital text screens and a digital colour screen. Appropriate insurance cover is in place. Regular inspections are carried out repaired/maintained as required.	Existing procedure adequate.
Play areas	Risk/damage/injury to third parties	M	H	Council staff carry out weekly inspections of play area surroundings and equipment and action any concerns. Annual inspections by a third party are carried out.	Existing procedure adequate.

Street furniture	Risk/damage/injury to third parties	L	M	The Council is responsible for a number of planters and benches around the town. Appropriate insurance cover is in place. Regular inspections are carried out repaired/maintained as required.	Existing procedure adequate.
Green spaces	Risk/damage/injury to third parties	M	M	The Council carries out regular tree surveys. A call out policy is in place for staff how are required to attend sites (i.e falln tree)	Existing procedure adequate.
Christmas Lights	Risk/damage/injury to third parties	M	M	The Council's Christmas lights are installed by a reputable contractor, a call out fee and procedure it included as part of the contract. The Council is able to call on the assistance of the principal authority if required.	Existing procedure adequate.
Meeting locations	Adequacy Health & Safety	L	L	The Council meetings are held at appropriate venues to allow for public and disabled access.	Existing procedure adequate.
Allotments	Health and safety Non cultivation Non payment General issues: fly tipping, burglary Self management failure River bank erosion	M	M	Regular meetings held with allotment holders Process for non cultivation letters and eviction in place General issues reported to Estates team and logged Regular contact with self management associations River bank owner aware, regular checks and concerns escalated by Estates team	Existing procedure adequate.
Council records – paper	Loss through: theft, fire and damage	L	M	The Council's current records are stored at premises belonging to the Council. Adequate storage facilities required in the event of a fire or flood damage.	Damage (apart from fire) and theft is unlikely and so provision adequate. Council to investigate fire and water proof storage for historic and valuable items. Deeds/leases are copied and stored off-site.
Council records - electronic	Loss through: theft, fire, damage, computer virus	M	H	The Council's electronic records are password controlled and are secure as part of the Cumberland Council network. Back up happens regularly, this includes the Council's CCTV recordings. Annual computer maintenance is carried out. Officer IT equipment is hired allowing renewal every 3-5 years. Access to CCTV images and recordings is password protected and accessed only with the approval of and in the presence of the Chief Officer.	Computer records are backed up weekly. Council is secured by the principal authorities network and back up system

EMPLOYEES					
Topic	Risk	Likelihood	Impact	Management/control of risk	Review/Assess/Revise
Provision of a safe and fulfilling working environment for staff	Unsafe or unhealthy working environment will have an impact on staff and their ability to work constructively and positively	L	M	H & S risk assessment and policy to keep safe. H and S briefings annually. Covid risk assessment in place and updated with changes. Code of conduct in place for staff and councillors and regular team meetings and appraisals. Staff can work flexibly and from home in consultation with their line manager. Weekly team meetings in place. One staff member is trained in Mental Health in the workplace.	H & S policy updated annually. Appraisals completed annually.
Employees contravene H & S regs	Resulting in an accident, affecting staff and services	L	M	Employers Liability insurance Employee training and awareness Health and safety policy reviewed annually	Insurance and policies updated annually.
Potential legal proceedings	Accidents and reputational damage.	L	H	As above	Insurance and policies updated annually.
Staff retention issues	Impact on staff mental health and on delivery of projects, services and running of the council.	L	M	Staff training Regular staff meetings. Staff receive informal regular positive feedback and also formal appraisals. Staff are supported by Chief Officer, The Mayor and Chair of Finance and General Purposes. Commitment to staff wellbeing – Chief Officer ensures an open approach to discussing any issues that arise and solving them. Staff have been encouraged to purchase equipment they need to effectively work from home.	Existing procedure adequate.
Insufficient staff or other resources to deliver the service needs	Slower completion of tasks and hold up in projects and services	L	M	Staff have good awareness of other team members' essential tasks and can provide cover when required. Team meets weekly to keep each other updated. Town Clerk to formally monitor and review staff and work levels. Any concerns regarding this to then be brought to Personnel Committee.	Existing procedure adequate.
Compensation claim from employee for contractual employment defects	Reputational damage for Council	L	H	Contract of employment in place (modelled on NALC contract). Matters relating to staff discussed in confidence and in part two of committee meetings where press and public are excluded. Chief Officer to keep up to date with employment law and seek HR advice where appropriate.	Existing procedure adequate.
Loss of services of employee	Impact on delivery of services and projects and smooth running of the council	M	M	Chief Officer ensures knowledge across roles is shared, so far as reasonably practical, that loss of any one employee does not cause unrecoverable damage to business. Robust recruitment process in place.	Existing procedure adequate.

Risk matrix

IMPACT	High	Medium	High	High
	Medium	Low	Medium	High
	Low	Low	Low	Medium
		Low	Medium	High
		LIKELIHOOD		

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WORKINGTON TOWN COUNCIL **COMPLAINTS POLICY AND PROCEDURE**

Introduction

Workington Town Council is committed to providing high quality services to its customers and community, but in any organisation things sometimes go wrong. Where people contact us to say we have not provided a satisfactory service, we treat this as a complaint and take it very seriously.

1. Complaints Procedure

Our aim is to swiftly investigate all complaints in an impartial manner and to find a solution locally, whenever possible, to the satisfaction of both the complainant and the Council.

- a. All formal complaints about the council must be communicated in writing.
- b. **Complainants may use the standard form provided but are not obliged to do so.**
- c. A complaint will be treated in confidence, and the complainant's personal data shall be protected under the Data Protection Act 1998.
- d. A complaint about the council, or its officers, will be acknowledged in writing within 14 days.

2. What is a Complaint?

- 2.1 The complaints procedure does not cover initial reports to the Council about problems or defects (such as damage to play equipment) but if you are not satisfied with the response, you can use the Complaints procedure.
- 2.2 Neither is it an appeals system against Council decisions which were properly taken, or as a means of arbitration. It exists to check that everything is done properly, and that correct procedures and policies were followed.
- 2.3 A complaint is an expression of dissatisfaction about the standard of service provided by the Council or its staff. The following procedure is intended to cover those situations which are not simply requests for services but where things have gone wrong. It does not normally apply where a complaint could be pursued through the Courts or there is a formal right of appeal.

3. How to make a Complaint

- 3.1 The following procedure is for dealing with complaints about the Council's administration or its procedures. Complaints about a policy decision made by the Council will be referred to the Full Council, or relevant Committee, as appropriate, for consideration.
- 3.2 This procedure does not cover complaints about the conduct of a Member of the Town Council. All complaints concerning Councillors are dealt with through the Cumberland Council Monitoring Officer and the Chief Officer will provide any complainant with the details of how that type of complaint is managed.
- 3.3 If a complaint about procedures, administration or the actions of any of the Council's employees is notified orally to a Councillor, or to the Chief Officer, a written record of the complaint will be made, noting the name and contact details of the complainant and the nature of the complaint.
- 3.4 The complainant will be asked to put the complaint in writing (letter/e-mail/standard form) to the Chief Officer. The complaint will be dealt with within 14 working days of receipt.
- 3.5 Refusal to put the complaint in writing does not necessarily mean that the complaint cannot be investigated, but it is easier to deal with if it is in writing. The Council will not generally deal with anonymous complaints, but you can be assured of confidentiality where this is appropriate or requested.
- 3.6 If the complainant prefers not to put the complaint to the Chief Officer (because the matter relates to the Chief Officer, for example,) they are advised to write to The Mayor.

4. Managing a Complaint

- 4.1 On receipt of a written complaint:
 - a. The Chief Officer (except where the complainant is about their own actions) or The Mayor (if the complaint relates to the Chief Officer), will seek to settle the complaint directly with the complainant. This will not be done without first notifying any person complained about and giving him or her the opportunity to comment. Efforts should be made to resolve the complaint at this stage.
 - b. Where the Chief Officer or a Councillor receives a written complaint about the Chief Officer's own actions, they shall refer the complaint to the Mayor. The Chief Officer will be formally advised of the matter and given an opportunity to comment. Efforts should be made to resolve the complaint at this stage.

- 4.2 The Chief Officer (or Mayor) will report any complaint dealt with by direct action with the complainant to the next meeting of the Full Council or other relevant Committee, where appropriate.
- 4.3 Any complaint that has not been resolved directly with the complainant by the Chief Officer (or Mayor) will be included as an agenda item for the next meeting of the Full Council or other relevant Committee, where appropriate.

The Chief Officer will notify the complainant of the date on which the complaint will be considered, and the complainant will be offered an opportunity to explain the complaint to the meeting orally.

- 4.4 Matters relating to Grievance or Disciplinary proceedings that are taking, or are likely to take place, should be dealt with in accordance with the Council's grievance and disciplinary procedures.
- 4.5 The Council may consider whether the circumstances of any complaint warrant the matter being discussed in the absence of the press and public, but any decision on the complaint will be announced at the relevant Council meeting in public, where appropriate.
- 4.6 The Council may consider in the circumstances of any complaint whether to make any without liability payment or provide other reasonable benefit to any person who has suffered loss as a result of the Council's maladministration. Any payment may only be authorised by the Council after obtaining legal advice and advice from the Council's auditor on the propriety of such a payment.
- 4.7 As soon as possible after the decision has been made (and in any event not later than 10 days after the meeting) the complainant will be notified in writing to confirm whether or not the complaint was upheld. Reasons for the decision together with details of any action to be taken by the council will be given as appropriate.
- 4.8 The Council may defer dealing with any complaint if it is of the opinion that further advice is necessary. The advice will be considered, and the complaint dealt with at the next meeting after the advice has been received.
- 4.9 Following the closure of a complaint, all relevant documents will be held in line with the council's retention policy.
- 4.10 Please note, the council's decision is final. The Local Government and Social Care Ombudsman (LGO) has no jurisdiction in respect of parish or town councils unless they are working jointly with a principal authority or they are exercising the functions of a principal authority. Further details can be found on the LGO website at www.lgo.org.uk/how-to-complain

5. Contact Details

Chief Officer
Workington Town Council
Town Hall
Oxford Street
Workington
CA14 2RS
01900 702986
emma.chapman@workingtontowncouncil.gov.uk

The Mayor of Workington
Contact details for the current mayor can be found at
www.workingtontowncouncil.gov.uk/themayor

Workington Town Council

Complaints Form (CF1)



Complainant's Name	
Address	
Telephone Number	
E-mail Address	
Nature of Complaint (please supply as much information as possible, continuing on additional pages if necessary)	
Signature	
Date	

	Office use only	
	Date	Initials
Complaint received		
Complaint acknowledged in writing		
Complaint to be heard at next meeting of (delete as appropriate)		
<ul style="list-style-type: none"> • Culture & Social Investment Committee • Environment Committee • Finance & General Purposes Committee • Full Council 	To be held on	
Invitation made to the complainant to appear		
Considered at meeting		
Complainant notified of outcome		
Complaint process concluded		

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Communications Policy

Introduction

Workington Town Council is accountable to the local community for its actions, which can only be achieved through effective communications. The Town Council recognises that to increase public awareness of services and facilities, a constructive and positive relationship with the media is essential. The purpose of this policy is to define the roles and responsibilities within Workington Town Council for working with the media and a procedure on how to deal with issues that may arise when dealing with the media. 'Media' is defined in this policy as the press, radio, TV broadcasting, and internet publications.

1. Legal Responsibility

- 1.1 The law governing communications in local authorities can be found in the Local Government Acts 1986 and 1988, The Freedom of Information Act 2000 and the Transparency Code 2015, as a minimum. The Council must also have regard to the governments Code of Recommended Practice on Local Authority Publicity.
- 1.2 The Town Council's adopted Standing Orders should be adhered to.

2. Contacting the Council

- 2.1 Between meetings the point of contact for the Town Council is the Chief Officer/RFO, and it is to the Chief Officer/RFO that all correspondence, in whatever format, should be addressed. Email is the preferred method of contact.
- 2.2 Correspondents with the Council should be aware that any communication received by the Council may, at its discretion, be placed in the public domain.
- 2.3 Anonymous communications will either be passed to the Police if they contain accusations of a criminal nature, or they will be destroyed by the recipient without further circulation.

3. Council Documents

- 3.1 The agenda for council meetings will contain enough information to provide an understanding by the public of the topics to be discussed and any decisions to be taken.
- 3.2 The agenda will be published 3 clear working days prior to the meeting.
- 3.3 Minutes of the meeting will be published in draft as soon as possible after the meeting and within a maximum of 28 days. Minutes will record all decisions made.
- 3.4 Requests for documents under the Freedom of Information Act will be charged according to current legislation and guidance.
- 3.5 For all other requests the Council will make a charge of 25p per page for supplying copies of documents plus postage. Council may levy an hourly charge for the Chief

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Officer/RFO's time in researching, retrieving and redacting documents. Such charge will reflect the Chief Officer/RFO's hourly rate.

- 3.6 Documents considered at a meeting will be uploaded onto the Council's website for at least a year following the meeting and the signed minutes will be kept by the Chief Officer/RFO in a folder in accordance with the Local Government Act 1972 Sch. 12 para 41.
- 3.7 Requests for documents not available on the website should be made to the Chief Officer/RFO. Such requests will be responded to if and as soon as, resources allow.

3. Contact with the Media

- 3.1 The Chief Officer/RFO, employees and Members should always have due regard for the long-term reputation of the Town Council in all their dealing with the media. Councillors who are asked for comment by other agencies, the press or members of the public, should make it clear that it is their personal view being given unless it has been agreed that that Member has been specifically tasked with reporting the view of WTC.
- 3.2 Copies of any correspondence between Councillors and other parties should be sent to the Chief Officer/RFO as soon as possible.
- 3.3 When the media wish to discuss an issue that is, or is likely to be, subject to legal proceedings then advice should be taken from Workington Town Council's solicitor before any response is made.
- 3.4 In accordance with Data Protection and Freedom of Information legislation, instances that may involve the release of personal information or sensitive information must be dealt with by the Chief Officer/RFO.
- 3.5 When responding to approaches from the media, statements made by the Chief Officer/RFO, employees and Members should reflect the Council's opinion as resolved at committee meetings.
- 3.6 There are occasions when it is appropriate for the Town Council to submit a letter to the media in response to an issue, to explain policies etc. Such letters should be kept brief and balanced in tone and correspondence should not be drawn out over several weeks.
- 3.7 Should a member wish to submit a letter to the press on any subject they should not use the term 'Town Council' or give the impression, directly or implied, that they are writing on behalf of the Council.

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- 3.8 Any doubt about information that can or cannot be provided to the media can be clarified in Workington Town Council's Data Protection Policy and Freedom of Information Procedures or with the Chief Officer/RFO.
- 3.9 Any complaints received by Councillors or the Chief Officer/RFO should be handled under the Council's complaints procedure.
- 3.10 Confidential documents, exempt minutes, reports, papers and private correspondence should not be provided to the media. If such instances do occur, an investigation will take place.

4. Council Meetings

- 4.1 The main method of communication by WTC with residents and the public is committee meetings, Full Council meetings and social media. These meetings are supported by information posted on its website and noticeboards some of which is required by the government's transparency code (see [Local government transparency code 2015 - GOV.UK](#))
- 4.2 An up-to-date schedule of council meetings will be published monthly in advance.
- 4.3 Members of the public and press have the right to attend all meetings of WTC as observers. Participation by members of the public, at meetings, is permitted only in accordance with the agenda and at the discretion of the Chair of the meeting.
- 4.4 The media are encouraged to attend Council meetings, seating and workspace will be made available if required.
- 4.5 Any filming, taping or broadcasting of Council or Committee proceedings by the media must comply with current transparency guidelines. No prior permission is required; however, the Chair must be informed (at the beginning of the meeting) by any person who wishes to record or broadcast the proceedings and the Chair must inform those present if a recording is being made by the council.
- 4.6 If a meeting is filmed, the members of the media filming must ensure that:
 - a) The activity does not disrupt the meeting and is contained to areas designated to the public.
 - b) Disruptive behaviour is any action or activity which disrupts the conduct of the meetings or impedes other members of the public (including but not exclusive to moving outside of the public area, excessive noise or setting (& resetting) equipment during the proceedings.
 - c) The Chair can suspend the meeting if any person is acting in a disruptive manner.

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d) The rights of those being filmed or broadcast are respected – those who do not wish to be recorded will be provided with a space where they are not recorded – recording of the public must be kept to a minimum with focus on the proceedings.

e) Any person or organisation choosing to record or broadcast any meeting of this council is liable for any claims or other liabilities resulting.

f) Any editing does not open to misinterpretation of the proceedings, or disrepute's the core values of the Council.

4.7 Meetings or part of meetings from which the press and public are excluded may not be recorded or broadcast.

4.8 Confidential sections of meetings are not covered by transparency regulations and may not be recorded or broadcast if doing so breaches the confidentiality of the session.

4.9 The Local Government Act 1972 requires the agendas, reports and minutes are sent to the media on request.

5. Press Releases

5.1 The purpose of a press release is to make the media aware of a potential story, to provide important public information or to explain the Town Council's position on a particular issue. It is the responsibility of the Chief Officer/RFO, employees and Members to look for opportunities where the issuing of a press release may be beneficial.

6. Elections

The Code of Recommended Practice on Local Authority Publicity contains guidance for providing publicity for Members and for publicity during elections.

6.1 The Town Council will not use resources to publicise individual Members unless it is relevant to the position they hold in the Council.

6.2 The Council will not quote any Member in a news release or involve them in proactive publicity events during the election period, regardless of whether they are standing for election. The only exception to this (as laid down in the Code of Recommended Practice on Local Authority Publicity) is during an emergency or where there is a genuine need for a member level response to an important event outside the control of the Council. In this situation, Members holding key civic positions should be able to comment.

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7. Notices & Social Media

- 7.1 The Town Council's website will be used for the advertising of agenda, minutes and other council information.
- 7.2 The Town Council will use its notice boards to publicise local events and public information. Workington Town Council will authorise all publications prior to displaying it on any of the notice boards.
- 7.3 The Town Council's Matrix Boards will be used to advertise relevant non-profit events in Workington. Details on how the Matrix boards are used can be found in the Matrix Board Scheduling Policy.
- 7.4 The Council's website and Social Media platforms will be used to convey information on matters of interest and latest news.
- 7.5 Social media sites are in the public domain and it is important that Members and employees ensure that they are confident of the nature of the information they publish.
- 7.6 In their use of social media, Members and employees must always observe the principles stated in this policy. This includes content which may result in action for defamation, discrimination, breaches of copyright, data protection or other claims for damages that may bring the Council into disrepute.

8. Communication with Members of Principal Councils and Parliament

All correspondence received from Members of Principal Councils and Parliament or their offices on matters which are the business of the Town Council or relate to the policies or functions of the Council or the implementation of such policies or functions is the corporate business of the Council and, if received by an individual member, is to be forwarded to the Chief Officer/RFO for consideration and response in accordance with the procedures of the Council. Members of Council may not represent the views of the Council to members of principal councils or parliament unless they have been specifically delegated to do so.

(Members may enter into correspondence if they wish, provided it is made clear that they speak as individuals and not as corporate representatives of the Council).

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Freedom of Information

1. Introduction

The Freedom of Information Act 2000 (“FOIA”) is an Act of Parliament that sets out a public “right to know” in relation to public bodies, including Non-Departmental Public Bodies (“NDPBs”). The FOIA also sets out certain exemptions to those rights.

The purpose of the Freedom of Information Policy (hereinafter referred to as “Policy”) is to outline Workington Town Council’s (“WTC”) approach to its FOIA obligations to create a climate of openness and dialogue with its stakeholders and customers.

This policy is applicable to all WTC staff (including all permanent, temporary and contract workers employed or engaged by WTC or any 3rd party organisations while at work or engaged on WTC business) and any members of the public who request information under the FOIA.

2. Managing requests

WTC is required to respond to requests for information. Information is defined in the FOIA as meaning “information recorded in any form”. This is interpreted as including paper records, e-mails, information stored on computer, voicemail messages, handwritten notes or any other form of recorded information. Information, which is known to staff, however not recorded, is not covered by the FOIA.

All official information which is recorded is covered by the FOIA, irrespective of classification or format.

The Chief Officer/RFO is responsible for the processing and monitoring of FOI requests.

The dedicated routes for FOI requests are:

- by email to: office@workingtontowncouncil.gov.uk; or
- by post to: Workington Town Council, Town Hall, Oxford Street, Workington, CA14 2RS.

WTC staff who receive written requests for information under the FOIA (including any requests which do not specifically mention the FOIA) must forward these immediately to the Chief Officer/RFO emma.chapman@workingtontowncouncil.gov.uk or to Workington Town Council, Town Hall, Oxford Street, Workington, CA14 2RS.

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Where an oral request is made, the requester should be advised to put their request in writing.

The FOIA imposes strict time limits for dealing with a request for information. The Chief Officer/RFO will issue a response within 20 working days from the date upon which the written request is received by WTC unless clarification of the request has been sought from the requester or an extension to the statutory timescales is sought by WTC under section 10(3) of the FOIA.

3. Other regimes

The FOIA covers rights of access to and requests for non-personal data. Data protection legislation (including the General Data Protection Regulation) covers the rights individuals have in respect of their personal data, including rights of access. Personal information is exempt under section 40 of the FOIA and the processing of personal data will continue to be regulated by applicable data protection legislation. Any application for access to personal information of which the requester is the subject will be classed as a request under data protection legislation and treated accordingly. The requester will be advised to this effect.

The Environmental Information Regulations (“EIRs”) deal specifically with information relating to any decisions, activities and policy formulation that may have an impact on the environment. Environmental information is exempt information under section 39 of the FOIA. Requests for environmental information will be handled in an analogous manner to requests for information made under the FOIA. However, it should be noted that the EIRs do not specify that requests must be in writing. This means that telephone requests on environmental matters will also be valid (although in practice it is advisable to make a written record of any verbal requests received).

4. WTC FOI Publication Scheme

Under the FOIA, all public authorities are obliged to adopt and maintain a Publication Scheme specifying:

- the classes of information that they publish or intend to publish; and
- how the information is or will be published.

WTC’s FOI Publication Scheme can be found on www.workingtontowncouncil.gov.uk or alternatively, a copy can be requested by contacting WTC by either the email or postal address stated at paragraph 2.5 above.

WTC will periodically review the FOI Publication Scheme and make amendments and updates where appropriate.

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5. Fees

Where possible, WTC will not charge requesters a fee for complying with requests however it reserves the right to do so. If WTC determines that a fee will be charged for complying with the request, a fee notice will be issued to the applicant in accordance with section 9 of the FOIA.

6. Provision of information

WTC will seek to provide the requested information, subject to the application of any statutory exemption under the FOIA.

In responding to requests for information, WTC will have regard to any preferences expressed by the requester as to the form of communication. Where it is not reasonably practicable to comply with any preference expressed, WTC will notify the requester of the reasons for this determination.

7. Advice and assistance

WTC has a duty, so far as it is reasonable to do so, to give advice and assistance to anyone who has made a request or is considering making one.

8. Procedure for making a request

Requesters are required to put a request in writing – in the form of a letter or email, supplying their name and address and an address for correspondence and describing the specific information they are seeking. Requests need not refer to/quote FOI legislation (but it may be helpful to do so). Requesters should address their requests to the Chief Officer/RFO.

The Chief Officer/RFO may contact the requester to clarify the terms/scope of the request and to give advice and assistance as needed.

9. Exemptions

Where information is held by WTC, the information will not be withheld unless:

- an exemption to disclosure under Part II of the FOIA applies.
- it would cost too much to comply with the request.
- the request is considered vexatious; and/ or
- the request is repeated.

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The exemptions to disclosure set out in the FOIA include non-disclosure in matters of a sensitive commercial nature or where disclosure would prejudice the effective conduct of public affairs.

Some of the FOIA exemptions are absolute exemptions, for example, if the information is personal data. If an absolute exemption applies, then WTC does not need to release the information. The remaining exemptions are qualified exemptions that require WTC to apply the public interest test in deciding whether to release the information. In considering the public interest, WTC will consider:

- whether the public interest in maintaining the exclusion of the duty to confirm or deny that information is held outweighs the public interest in disclosing whether WTC holds the information; and/or
- whether the public interest in withholding information outweighs the public interest in releasing it.

Where the public interest test is relevant, WTC will apply it separately to each piece of potentially exempt information.

Where a document cannot be released in its entirety, WTC will endeavour to release what it is able to, in as intelligible a format as possible.

Where information is not held, WTC will seek to provide appropriate advice and assistance to the requester.

10. Consultation with Third Parties

WTC may consult with a third party if:

- the views of that third party may assist WTC to determine whether an exemption under the FOIA applies to the information requested; and/or
- where the views of the third party may assist WTC to determine where the public interest lies under section 2 of the FOIA.

11. Refusal of requests

Where WTC refuses a request, it will give the requester a notice setting out the reasons for the refusal.

When any written request is refused, WTC will notify the requester of the internal review process and their right under section 50 of the FOIA to apply to the Information Commissioner for a Decision Notice.

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WTC reserves the right to refuse to respond to a request for information if it exceeds the value of £450 to process in terms of staff time and disbursements. The £450 is calculated to be 18 hours of staff time based on an hourly rate of £25 per hour, which is provided for by Regulation 4 of the Freedom of Information and Data Protection (Appropriate Limit and Fees) Regulations 2004.

12. Internal review process

If a requester is unhappy with:

- the way in which their request has been handled.
- is dissatisfied with the decision made regarding disclosure or non-disclosure of information; and/or
- is of the opinion that WTC is not compliant with its Publication Scheme,

they can request an internal review. All responses issued by WTC will provide the requester with details on how to request such an internal review.

The Chief Officer/RFO has overall responsibility for the internal review procedure. The Chair of the Finance and General Purposes Committee will be responsible for any internal review, using third parties where necessary.

The internal reviewer will review the way the request was dealt with and is empowered to either uphold or overturn the original decision.

WTC will only consider requests for an internal review which are made within 2 months of the date of the response to the requester.

The requester will be notified as to the outcome within a reasonable timescale. WTC aims to deal with internal reviews within 20 working days of receipt thereof. If it becomes clear at any stage of the internal review that WTC will not be able to meet this target, the requester will be notified.

13. The Information Commissioner

The Information Commissioner's Office ("ICO") is the UK's independent authority set up to promote access to official information. If the requester remains dissatisfied with the decision made as a result of the internal review procedure, they can, under section 50 of the FOIA, complain to the Information Commissioner by writing to the ICO at Wycliffe House, Water Lane, Wilmslow, Cheshire SK9 5AF (www.ico.org.uk) to apply for a decision as to whether the request has been dealt with in accordance with the requirements of Part 1 of the FOIA.

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A Decision Notice will be served if the Information Commissioner decides that WTC has failed to:

- communicate information.
- confirm or deny where required to do so by section 1(1) of the FOIA;
- comply with requirements of section 11 of the FOIA (which refers to the manner of communication in response to a request for information); or
- comply with any of the requirements of section 17 of the FOIA (which refers to the refusal of a request for information).

The Decision Notice will specify the steps, which must be taken by WTC to comply with the FOIA and the timescale for compliance.

The Information Commissioner can serve an Information Notice on WTC requiring the provision of specified information to them (unless legal professional privilege applies).

If the Information Commissioner is satisfied that WTC has failed to comply with any of the requirements under Part 1 of the FOIA, they may serve an Enforcement Notice on WTC, requiring WTC to take steps within a specified time to comply with those requirements.

All public authorities may appeal to the First-Tier Tribunal (Information Rights) against Decision Notices and Information and Enforcement Notices.

Service of an Information Notice, Decision Notice or an Enforcement Notice by the Information Commissioner on the Council will be immediately reported to the Mayor and to the Chair of the F & GP Committee who shall urgently call a meeting of that committee to consider the notice(s).

14. Reasonable adjustments and alternative formats

WTC is committed to equal opportunities and our aim is to make this policy easy to use and accessible to all. We will take reasonable steps to accommodate any reasonable adjustments required to:

- enable access to this policy;
- provide responses to requests in other formats; or
- provide such assistance as may reasonably be required.

Should a copy of this policy be required in an alternative format, such as Braille, audio CD or large print, please get in touch using the contact details set out in section 2 above.

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15. Review

This policy is subject to review annually, or in response to any relevant changes.

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Publication scheme

Freedom of Information Act

This publication scheme commits an authority to make information available to the public as part of its normal business activities. The information covered is included in the classes of information mentioned below, where this information is held by the authority. Additional assistance is provided to the definition of these classes in sector specific guidance manuals issued by the Information Commissioner.

The scheme commits an authority:

- To proactively publish or otherwise make available as a matter of routine, information, including environmental information, which is held by the authority and falls within the classifications below.
- To specify the information which is held by the authority and falls within the classifications below.
- To proactively publish or otherwise make available as a matter of routine, information in line with the statements contained within this scheme.
- To produce and publish the methods by which the specific information is made routinely available so that it can be easily identified and accessed by members of the public.
- To review and update on a regular basis the information the authority makes available under this scheme.
- To produce a schedule of any fees charged for access to information which is made proactively available.
- To make this publication scheme available to the public.
- To publish any dataset held by the authority that has been requested, and any updated versions it holds, unless the authority is satisfied that it is not appropriate to do so; to publish the dataset, where reasonably practicable, in an electronic form that is capable of re-use; and, if any information in the dataset is a relevant copyright work and the public authority is the only owner, to make the information available for re-use under the terms of the Re-use of Public Sector Information Regulations 2015, if they apply, and otherwise under the terms of the Freedom of Information Act section 19.
- The term 'dataset' is defined in section 11(5) of the Freedom of Information Act. The term 'relevant copyright work' is defined in section 19(8) of that Act.

Classes of information

Who we are and what we do.

Organisational information, locations and contacts, constitutional and legal governance.

What we spend and how we spend it.

Financial information relating to projected and actual income and expenditure, tendering, procurement and contracts.

What our priorities are and how we are doing.

Strategy and performance information, plans, assessments, inspections and reviews.

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How we make decisions.

Policy proposals and decisions. Decision making processes, internal criteria and procedures, consultations.

Our policies and procedures.

Current written protocols for delivering our functions and responsibilities.

Lists and registers.

Information held in registers required by law and other lists and registers relating to the functions of the authority.

The services we offer.

Advice and guidance, booklets and leaflets, transactions and media releases. A description of the services offered.

The classes of information will not generally include:

- Information the disclosure of which is prevented by law, or exempt under the Freedom of Information Act, or is otherwise properly considered to be protected from disclosure.
- Information in draft form.
- Information that is no longer readily available as it is contained in files that have been placed in archive storage or is difficult to access for similar reasons.

The method by which information published under this scheme will be made available.

Where it is within the capability of a public authority, information will be provided on a website. Where it is impracticable to make information available on a website information can be requested via letter to Workington Town Council, Town Hall, Oxford Street, Workington, CA14 2RS, email office@workingtontowncoil.gov.uk or phone 01900 702986.

In exceptional circumstances some information may be available only by viewing in person. Where this manner is specified, contact details are as above. An appointment to view the information will be arranged within a reasonable timescale.

Information will be provided in the language in which it is held or in such other language that is legally required. Where an authority is legally required to translate any information, it will do so.

Obligations under disability and discrimination legislation and any other legislation to provide information in other forms and formats will be adhered to when providing information in accordance with this scheme.

Charges which may be made for information published under this scheme.

The purpose of this scheme is to make the maximum amount of information readily available at minimum inconvenience and cost to the public. Charges made by the authority for routinely published material will be justified and transparent and kept to a minimum.

Material which is published and accessed on a website will be provided free of charge.

Charges may be made for information subject to a charging regime specified by Parliament.

Charges may be made for actual disbursements incurred such as:

- photocopying
- postage and packaging

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- the costs directly incurred as a result of viewing information

Charges may also be made for information provided under this scheme where they are legally authorised, they are in all the circumstances, including the general principles of the right of access to information held by public authorities, justified and are in accordance with a published schedule or schedules of fees which is readily available to the public.

Charges may also be made for making datasets (or parts of datasets) that are relevant copyright works available for re-use. These charges will be in accordance with the terms of the Re-use of Public Sector Information Regulations 2015, where they apply, or with regulations made under section 11B of the Freedom of Information Act, or with other statutory powers of the public authority.

If a charge is to be made, confirmation of the payment due will be given before the information is provided. Payment may be requested prior to provision of the information.

Written requests

Information held by a public authority that is not published under this scheme can be requested in writing, when its provision will be considered in accordance with the provisions of the Freedom of Information Act.

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Information to be published	How the information can be obtained
Class 1 - Who we are and what we do (Organisational information, structures, locations and contacts)	
List of Council members and their responsibilities as well a list of Council Committees	Website and Hard Copy
Details of any representation on outside bodies	Website and Hard Copy
Postal and email address	Website and Hard Copy
Contact details for Chief Officer/RFO and Council members	Website and Hard Copy
Location of main Council office and accessibility details	Website and Hard Copy
Staffing structure	Website and Hard Copy
Class 2 – What we spend and how we spend it (Financial information about projected and actual income and expenditure, procurement, contracts and financial audit)	
Annual Governance & Accountability Return and internal audit report	Website and Hard Copy
Financial Standing Orders and Regulations	Website and Hard Copy
Finalised budget	Website and Hard Copy
Precept	Website and Hard Copy
Borrowing Approval letter	Hard Copy if applicable
All items of expenditure above £500	Website and Hard Copy
Grants to voluntary, community and social enterprise organisations	Website and Hard Copy
List of contracts awarded and value of contract	Website and Hard Copy
Members' allowances and expenses	Hard Copy only

Workington Town Council

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Class 3 – What our priorities are and how we are doing (Strategies and plans, performance indicators, audits, inspections and reviews)	
Annual governance statement	Website and Hard Copy
Parish Plan	N/a
Annual Report to Town Meeting	Website and Hard Copy
Quality status	N/a
Local charters drawn up in accordance with DLUHC's guidelines	N/a
Impact assessments (in full or summary format), as appropriate and relevant	Website and Hard Copy

Class 4 – How we make decisions (Decision making processes and records of decisions)	
Timetable of meetings (Council and any committee/sub-committee meetings and parish meetings)	Website and Hard Copy
Agendas of meetings (as above)	Website and Hard Copy
Minutes of meetings (as above), excluding material that is properly considered to be exempt from disclosure	Website and Hard Copy
Reports presented to council meetings, excluding material that is properly considered to be exempt from disclosure	Website and Hard Copy
Responses to consultation papers	Hard Copy only
Responses to planning applications	Cumberland Council Website
Bye-laws	N/a

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Class 5 – Our policies and procedures (Current written protocols, policies and procedures for delivering our services and responsibilities)	
Policies and procedures for the conduct of Council business: Procedural standing orders Committee and sub-committee terms of reference Delegated authority in respect of officers Code of Conduct Policy statements	Website and Hard Copy Website and Hard Copy Website and Hard Copy Website and Hard Copy Website and Hard Copy
Policies and procedures for the provision of services and about the employment of staff: Internal instructions to staff and policies relating to the delivery of services Equality and diversity policy Health and safety policy Recruitment policies and details of current vacancies Policies and procedures for handling requests for information Complaints procedures (including those covering requests for information and operating the publication scheme)	Website and Hard Copy Website and Hard Copy Website and Hard Copy Website and Hard Copy Website and Hard Copy Website and Hard Copy
Records management and retention policies	Website and Hard Copy
Data Protection policies, including data sharing and CCTV usage	Website and Hard Copy

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Class 6 – Lists and Registers (Currently maintained lists and registers only)	
Information legally required to hold in publicly available registers (in most circumstances existing access provisions will suffice)	N/a
Asset register	Website and Hard Copy
Disclosure log, indicating the information provided in response to FOIA and EIR requests	Website and Hard Copy
Register of members' interests	Website and Hard Copy
Register of gifts and hospitality	Hard Copy only

Class 7 – The services we offer (Information about the services we offer, including leaflets, guidance and newsletters produced for the public and businesses)	
Allotments	Website and Hard Copy
Community centres and village halls	Website and Hard Copy
Parks, playing fields and recreational facilities	Website and Hard Copy
Seating, litter bins, clocks, memorials and lighting	Hard Copy only
Bus shelters	Hard Copy only
Services for which we are entitled to recover a fee and details of those fees (eg burial fees)	Hard Copy only

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Schedule of charges

This describes how the charges have been arrived at and should be published as part of the guide.

Hard copies of any available document, standard A4 sized pages (A3 or larger will incur additional costs)	20p per page (B&W) 40p per page (colour)
Postage will be charged at the standard 2nd class rate (or equivalent) for the most appropriate postal method	At cost
An additional administration charge may be made if the cost to the Town Council for retrieval and collation is unreasonable (e.g. a large number of documents in a single request)	Variable

CONTACT DETAILS

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Data Protection Policy

1. Introduction

The Town Council holds and processes information about employees, councillors, residents and customers, and other data subjects for administrative and commercial purposes. Workington Town Council regards the lawful and correct treatment of personal information as vital to successful operation. All employees and councillors will comply with Workington Town Council's Data Protection Policy when processing or using information. This policy has been written in accordance with the Data Protection principles as set out in the Data Protection Act 1998 (the Act).

2. Definitions

"Employees, councillors, residents and customers, and other data subjects" may include past, present and potential members of those groups.

"Other data subjects" and "third parties" may include contractors, suppliers, contacts, referees, friends or family members.

"Processing" refers to any action involving personal information, including obtaining, viewing, copying, amending, adding, deleting, extracting, storing, disclosing or destroying information.

"Data Controller" is a 'person' who determines the purposes for which and the way any personal data are, or are to be, processed. A 'person' as recognised in law may be an individual, organisation or body of persons.

"Data Protection Officer" is an individual working on behalf of the Data Controller with responsibility for the data protection within that organisation.

"Personal Data" is information about an identifiable, living individual such as addresses, phone numbers.

"Sensitive Data" is personal data consisting of information relating to racial or ethnic origin, political opinion, religious or other beliefs, trade union membership, physical or mental health or condition, sexual orientation or criminal proceedings or convictions.

3. Data Protection Principles

3.1 There are eight principles set out in the Act, in summary these state that data shall:

- a) be processed fairly and lawfully;
- b) be obtained for a specified and lawful purpose and shall not be processed in any manner incompatible with the purpose;

- c) be adequate, relevant and not excessive for the purpose;
- d) be accurate and up to date;
- e) not be kept for longer than necessary for the purpose;
- f) be processed in accordance with the Data Subject's rights;
- g) be kept safe from unauthorised processing, and accidental loss, damage or destruction;
- h) not be transferred to a country outside the European Economic Area, unless that country has the equivalent levels of protection for personal data, except in specified circumstances.

4. Responsibilities

4.1 Workington Town Council is the Data Controller and must ensure that any processing of personal data for which they are responsible complies with the Act.

4.2 The Data Protection Officer is the Chief Officer/RFO, who acts on behalf of the Council, and is responsible for:

- a) fully observing conditions regarding the fair collection and use of information;
- b) meeting the Council's legal obligations to specify the purposes for which information is used;
- c) collecting and processing relevant information, only to the extent that is required to fulfil operational needs/to comply with legal requirements;
- d) ensuring the quality of information used;
- e) applying strict checks to determine the length of time that information is held;
- f) ensuring that the rights of the people whom information is held can be fully exercised under the Act;
- g) taking appropriate technical and organisational security measures to safeguard personal information;
- h) ensuring that personal information is not transferred abroad without suitable safeguards;
- i) ensuring that everyone managing and handling personal information;
 - i. fully understands that they are contractually responsible for following good practice in terms of protection;
 - ii. is adequately trained to do so;
 - iii. are appropriately supervised.

5. Unlawful disclosure of personal information

5.1 Under the Data Protection Act it is a criminal offence to disclose personal information 'knowingly or recklessly' to anyone who is not authorised to receive it.

5.2 Staff shall ensure that

- a) all personal data is kept securely;
- b) personal data is not disclosed either orally or in writing, accidentally or otherwise to any unauthorised third party. Unauthorised disclosure may be a disciplinary matter.

5.3 Staff supervising Councillors, residents and customers doing work which involves the processing of personal information, must ensure that those individuals are aware of the Data Protection Principles.

5.4 When discussing issues, over the telephone, which require the disclosure of personal data the identity of the person must be established. All Town Council employees will ensure that authentication takes place prior to the disclosure of data.

5.5 There are several instances where exemptions to Data Protection may arise. In such instances the Chief Officer/RFO will review any request on a case-by-case basis and evaluate whether the data can be lawfully released.

6. Storage, Retention and disposal

6.1 All personal and sensitive data will be kept in paper-based systems or electronically on a password protected computer.

6.2 To prevent unauthorised access to paper information, all personal and sensitive data will be kept in lockable storage facilities.

6.3 Different types of information will be kept for differing lengths of time, depending on legal and operational requirements.

6.4 All documentation that contains personal and sensitive data will be disposed of using shredding facilities. This includes any details written on scrap pieces of paper.

6.5 Care and consideration will be taken when sending e-mails to employees, councillors, residents, customers and other data subjects. Employees must ensure that emails contain no personal or sensitive information that the recipients should not have access to.

7. Access to Information

7.1 Any employees, councillors, residents, customers and other data subjects have a right to:

- a) ask what personal information the Council holds;
- b) ask what this information is used for;
- c) be provided with a copy of the information;
- d) be given details of the purposes for which the Council uses the information and any other person's organisations to whom it is disclosed;
- e) ask that any incorrect data held is corrected.

7.2 Any requests for data must be made in writing.

7.3 If it is felt by the data subject that any personal information held is incorrect the individual may request that it be amended. The Council must advise the individual within 21 days whether the amendment has been made.

8. Online Information

8.1 Workington Town Council collects personal information from online sources including, but not limited to, Workington Town Council affiliated websites, social media and newsletters. This will include data such as name, age and address and, on occasion, profiling information such as your preferences or product choices.

8.2 Data information from these sources may be processed in a different manner; such as improving the services that the Town Council delivers, sending marketing and communications or to define what content you may be interested in (full list can be found in Workington Town Council's Privacy Policy).

8.3 All information gathered online will be obtained, stored, used and destroyed in accordance with the points set out in this policy.

8.4 In the same manner to other forms of data, employees, councillors, residents, customers and other data subjects have a right to access online information held according to item 7.

9. Breach of Policy

9.1 Compliance with the Act is the responsibility of all councillors and members of staff. Any deliberate or reckless breach of the policy may lead to disciplinary action and where appropriate, legal proceedings.

9.2 Any individual who believes that the Council has breached any of the requirements of the Data Protection Act 1998 should raise this with the Chief Officer/RFO or Mayor.

10. Review

10.1 Methods of handling personal information will be regularly assessed and evaluated. This policy will be built upon with further guidance and new procedures as the systems we have that hold personal information change. Everyone managing and handling personal information will be appropriately trained in these methods and will be supervised where necessary.

11. Additional Notes on Handling Data from the Disclosure and Barring Service

11.1 As an organisation using the Disclosure and Barring Service (DBS) checking service to help assess the suitability of applicants for positions of trust, Workington Town Council complies fully with the code of practice regarding the correct handling, use, storage, retention and disposal of certificates and certificate information.

It also complies fully with its obligations under the Data Protection Act 1998 and other relevant legislation pertaining to the safe handling, use, storage, retention and disposal of certificate information and has a written policy on these matters, which is available to those who wish to see it on request.

11.2 Storage and access

Certificate information should be kept securely, in lockable, non-portable, storage containers with access strictly controlled and limited to those who are entitled to see it as part of their duties.

11.3 Handling

In accordance with section 124 of the Police Act 1997, certificate information is only passed to those who are authorised to receive it in the course of their duties. We maintain a record of all those to whom certificates or certificate information has been

revealed and it is a criminal offence to pass this information to anyone who is not entitled to receive it.

To note: those registered care homes which are inspected by the Care Quality Commission (CQC), those organisations which are inspected by Ofsted and those establishments which are inspected by the Care and Social Services Inspectorate for Wales (CSSIW) may retain the certificate until the next inspection.

Once the inspection has taken place the certificate should be destroyed in accordance with the [code of practice](#).

11.4 Usage

Certificate information is only used for the specific purpose for which it was requested and for which the applicant's full consent has been given.

11.5 Retention

Once a recruitment (or other relevant) decision has been made, we do not keep certificate information for any longer than is necessary. This is generally for a period of up to six months, to allow for the consideration and resolution of any disputes or complaints.

If, in very exceptional circumstances, it is considered necessary to keep certificate information for longer than six months, we will consult the DBS about this and will consider the Data Protection and Human Rights of the individual before doing so.

Throughout this time, the usual conditions regarding the safe storage and strictly controlled access will prevail.

11.6 Disposal

Once the retention period has elapsed, we will ensure that any DBS certificate information is immediately destroyed by secure means, for example by shredding, pulping or burning. While awaiting destruction, certificate information will not be kept in any insecure receptacle (e.g. waste bin or confidential waste sack).

We will not keep any photocopy or other image of the certificate or any copy or representation of the contents of a certificate. However, notwithstanding the above, we may keep a record of the date of issue of a certificate, the name of the subject, the type of certificate requested, the position for which the certificate was requested, the unique reference number of the certificates and the details of the recruitment decision taken.

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Workington Town Council

Grievance Policy

Introduction

1. This policy is based on and complies with the 2015 ACAS Code of Practice (<http://www.acas.org.uk/index.aspx?articleid=2174>). It also takes account of the ACAS guide on discipline and grievances at work (https://www.acas.org.uk/media/1043/Discipline-and-grievances-at-work-The-Acas-guide/pdf/DG_Guide_Feb_2019.pdf). It aims to encourage and maintain good relationships between the Council and its employees by treating grievances seriously and resolving them as quickly as possible. It sets out the arrangements for employees to raise their concerns, problems or complaints about their employment with the Council. The policy will be applied fairly, consistently and in accordance with the Equality Act 2010.
2. Many problems can be raised and settled during the course of everyday working relationships. Employees should aim to settle most grievances informally with their line manager.
3. This policy confirms:
 - employees have the right to be accompanied or represented at a grievance meeting or appeal by a companion who can be a workplace colleague, a trade union representative or a trade union official. This includes any meeting held with them to hear about, gather facts about, discuss, consider or resolve their grievance. The companion will be permitted to address the grievance/appeal meetings, to present the employee's case for his /her grievance/appeal and to confer with the employee. The companion cannot answer questions put to the employee, address the meeting against the employee's wishes or prevent the employee from explaining his/her case.
 - the Council will give employees reasonable notice of the date of the grievance/appeal meetings. Employees and their companions must make all reasonable efforts to attend. If the companion is not available for the proposed date of the meeting, the employee can request a postponement and can propose an alternative date that is within five working days of the original meeting date unless it is unreasonable not to propose a later date

- any changes to specified time limits must be agreed by the employee and the Council
- an employee has the right to appeal against the decision about his/her grievance. The appeal decision is final
- information about an employee's grievance will be restricted to those involved in the grievance process. A record of the reason for the grievance, its outcome and action taken is confidential to the employee. The employee's grievance records will be held by the Council in accordance with the General Data Protection Regulation (GDPR)
- audio or video recordings of the proceedings at any stage of the grievance procedure are prohibited, unless agreed by all affected parties as a reasonable adjustment that takes account of an employee's medical condition
- if an employee who is already subject to a disciplinary process raises a grievance, the grievance will normally be heard after completion of the disciplinary procedure
- if a grievance is not upheld, no disciplinary action will be taken against an employee if he/she raised the grievance in good faith
- the Council may consider mediation at any stage of the grievance procedure where appropriate, (for example where there have been communication breakdowns or allegations of bullying or harassment). Mediation is a dispute resolution process which requires the consent of affected parties
- Employees can use all stages of the grievance procedure if the complaint is not a code of conduct complaint about a councillor. Employees can use the informal stage of the council's grievance procedure (paragraph 4) to deal with all grievance issues, including a complaint about a councillor. Employees cannot use the formal stages of the council's grievance procedure for a code of conduct complaint about a councillor. If the complaint about the councillor is not resolved at the informal stage, the employee can contact the monitoring officer of Cumberland Council who will inform the employee whether or not the complaint can be dealt with under the code of conduct. If it does not concern the code of conduct, the employee can make a formal complaint under the council's grievance procedure (see paragraph 5)
- If the grievance is a code of conduct complaint against a councillor, the employee cannot proceed with it beyond the informal stage of the council's grievance procedure. However, whatever the complaint, the council has a duty of care to its employees. It must take all reasonable steps to ensure employees have a safe working environment, for example by undertaking risk assessments, by ensuring staff and councillors are properly trained and by protecting staff from bullying, harassment and all forms of discrimination
- If an employee considers that the grievance concerns his or her safety within the working environment, whether or not it also concerns a complaint against a councillor, the employee should raise these safety concerns with his or her line manager at the informal stage of the grievance procedure. The council will consider whether it should take further action in this matter in accordance with any of its employment policies (for example its health and safety policy or its dignity at work policy) and in accordance with the code of conduct regime

Informal grievance procedure

4. The Council and its employees benefit if grievances are resolved informally and as quickly as possible. As soon as a problem arises, the employee should raise it with his/her manager to see if an informal solution is possible. (For the purposes of this policy, the Clerk's manager is the Chair of Staffing Committee). Both should try to resolve the matter at this stage. If the employee does not want to discuss the grievance with his/her manager (for example, because it concerns the manager), the employee should contact the Chairman of the staffing committee or, if appropriate, another member of the staffing committee. If the employee's complaint is about a councillor, it may be appropriate to involve that councillor at the informal stage. This will require both the employee's and the councillor's consent.

Formal grievance procedure

5. If it is not possible to resolve the grievance informally and the employee's complaint is not one that should be dealt with as a code of conduct complaint (see above), the employee may submit a formal grievance. It should be submitted in writing to the Chairman of the staffing committee.
6. The staffing committee will appoint a sub-committee of three members to hear the grievance. The sub-committee will appoint a Chairman from one of its members. No councillor with direct involvement in the matter shall be appointed to the sub-committee.

Investigation

7. If the sub-committee decides that it is appropriate, (e.g. if the grievance is complex or is raised by the Clerk), it may appoint an independent investigator to carry out an investigation before the grievance meeting to establish the facts of the case. The investigation may include interviews (e.g. the employee submitting the grievance, other employees, councillors or members of the public).
8. The investigator will summarise their findings (usually within an investigation report) and present their findings to the sub-committee.

Notification

9. Within 10 working days of the Council receiving the employee's grievance (this may be longer if there is an investigation), the employee will normally be asked, in writing, to attend a grievance meeting. The written notification will include the following:
 - the names of its Chairman and other members
 - the date, time and place for the meeting. The employee will be given reasonable notice of the meeting which will normally be within 25 working days of when the Council received the grievance
 - the employee's right to be accompanied by a workplace colleague, a trade union representative or a trade union official
 - a copy of the Council's grievance policy

- confirmation that, if necessary, witnesses may attend (or submit witness statements) on the employee's behalf and that the employee should provide the names of his/her witnesses as soon as possible before the meeting
- confirmation that the employee will provide the Council with any supporting evidence in advance of the meeting, usually with at least two days' notice
- findings of the investigation if there has been an investigation
- an invitation for the employee to request any adjustments to be made for the hearing (for example where a person has a health condition).

The grievance meeting

10. At the grievance meeting:

- the Chairman will introduce the members of the sub-committee to the employee
- the employee (or companion) will set out the grievance and present the evidence
- the Chairman will ask the employee questions about the information presented and will want to understand what action does he/she wants the Council to take
- any member of the sub-committee and the employee (or the companion) may question any witness
- the employee (or companion) will have the opportunity to sum up the case
- a grievance meeting may be adjourned to allow matters that were raised during the meeting to be investigated by the sub-committee.

11. The Chairman will provide the employee with the sub-committee's decision, in writing, usually within five working days of the meeting. The letter will notify the employee of the action, if any, that the Council will take and of the employee's right to appeal.

The appeal

12. If an employee decides that his/her grievance has not been satisfactorily resolved by the sub-committee, he/she may submit a written appeal to the staffing committee. An appeal must be received by the Council within five working days of the employee receiving the sub-committee's decision and must specify the grounds of appeal.

13. Appeals may be raised on a number of grounds, e.g.:

- a failure by the Council to follow its grievance policy
- the decision was not supported by the evidence
- the action proposed by the sub-committee was inadequate/inappropriate
- new evidence has come to light since the grievance meeting.

14. The appeal will be heard by a panel of three members of the staffing committee who have not previously been involved in the case. There may be insufficient members of the staffing committee who have not previously been involved. If so, the appeal panel will be

a committee of three Council members who may include members of the staffing committee. The appeal panel will appoint a Chairman from one of its members.

15. The employee will be notified, in writing, usually within 10 working days of receipt of the appeal of the time, date and place of the appeal meeting. The meeting will normally take place within 25 working days of the Council's receipt of the appeal. The employee will be advised that he/she may be accompanied by a workplace colleague, a trade union representative or a trade union official.
16. At the appeal meeting, the Chairman will:
 - introduce the panel members to the employee
 - explain the purpose of the meeting, which is to hear the employee's reasons for appealing against the decision of the staffing sub-committee
 - explain the action that the appeal panel may take.
17. The employee (or companion) will be asked to explain the grounds of appeal.
18. The Chairman will inform the employee that he/she will receive the decision and the panel's reasons, in writing, within five working days of the appeal meeting.
19. The appeal panel may decide to uphold the decision of the staffing committee or substitute its own decision.
20. The decision of the appeal panel is final.

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Workington Town Council

Disciplinary Policy

Introduction

1. This policy is based on and complies with the 2015 ACAS Code of Practice (<http://www.acas.org.uk/index.aspx?articleid=2174>). It also takes account of the ACAS guide on discipline and grievances at work (https://www.acas.org.uk/media/1043/Discipline-and-grievances-at-work-The-Acas-guide/pdf/DG_Guide_Feb_2019.pdf). The policy is designed to help Council employees improve unsatisfactory conduct and performance in their job. Wherever possible, the Council will try to resolve its concerns about employees' behaviour informally, without starting the formal procedure set out below.
2. The policy will be applied fairly, consistently and in accordance with the Equality Act 2010.
3. This policy confirms:
 - informal coaching and supervision will be considered, where appropriate, to improve conduct and / or attendance
 - the Council will fully investigate the facts of each case
 - the Council recognises that misconduct and unsatisfactory work performance are different issues. The disciplinary policy will also apply to work performance issues to ensure that all alleged instances of employees' underperformance are dealt with fairly and in a way that is consistent with required standards. However, the disciplinary policy will only be used when performance management proves ineffective. For more information see ACAS "Performance Management" at <https://www.acas.org.uk/index.aspx?articleid=6608>
 - employees will be informed in writing about the nature of the complaint against them and given the opportunity to state their case
 - employees will be provided, where appropriate, with written copies of evidence and relevant witness statements in advance of a disciplinary hearing
 - employees may be accompanied or represented by a companion – a workplace colleague, a trade union representative or a trade union official - at any investigatory,

disciplinary or appeal meeting. The companion is permitted to address such meetings, to put the employee's case and confer with the employee. The companion cannot answer questions put to the employee, address the meeting against the employee's wishes or prevent the employee from explaining his/her case

- the Council will give employees reasonable notice of any meetings in this procedure. Employee must make all reasonable efforts to attend. Failure to attend any meeting may result in it going ahead and a decision being taken. An employee who does not attend a meeting will be given the opportunity to be represented and to make written submissions
- if the employee's companion is not available for the proposed date of the meeting, the employee can request a postponement and can propose an alternative date that is within five working days of the original meeting date unless it is unreasonable not to propose a later date
- any changes to specified time limits in the Council's procedure must be agreed by the employee and the Council
- information about an employee's disciplinary matter will be restricted to those involved in the disciplinary process. A record of the reason for disciplinary action and the action taken by the Council is confidential to the employee. The employee's disciplinary records will be held by the Council in accordance with the General Data Protection Regulation (GDPR)
- audio or video recordings of the proceedings at any stage of the disciplinary procedure are prohibited, unless agreed by all affected parties as a reasonable adjustment that takes account of an employee's medical condition
- employees have the right to appeal against any disciplinary decision. The appeal decision is final
- if an employee who is already subject to the Council's disciplinary procedure raises a grievance, the grievance will normally be heard after the completion of the disciplinary procedure
- disciplinary action taken by the Council can include a written warning, final written warning or dismissal
- this procedure may be implemented at any stage if the employee's alleged misconduct warrants this
- except for gross misconduct when an employee may be dismissed without notice, the Council will not dismiss an employee on the first occasion that it decides there has been misconduct
- if an employee is suspended following allegations of misconduct, it will be on full pay and only for such time as is necessary. Suspension is not a disciplinary sanction. The Council will write to the employee to confirm any period of suspension and the reasons for it,
- the Council may consider mediation at any stage of the disciplinary procedure where appropriate (for example where there have been communication breakdowns or

allegations of bullying or harassment). Mediation is a dispute resolution process that requires the consent of affected parties

Examples of misconduct

4. Misconduct is employee behaviour that can lead to the employer taking disciplinary action. The following list contains some examples of misconduct: The list is not exhaustive.
 - unauthorised absence
 - poor timekeeping
 - misuse of the Council's resources and facilities including telephone, email and internet
 - inappropriate behaviour
 - refusal to follow reasonable instructions
 - breach of health and safety rules

Examples of gross misconduct

5. Gross misconduct is misconduct that is so serious that it is likely to lead to dismissal without notice. The following list contains some examples of gross misconduct: The list is not exhaustive
 - bullying, discrimination and harassment
 - incapacity at work because of alcohol or drugs
 - violent behaviour
 - fraud or theft
 - gross negligence
 - gross insubordination
 - serious breaches of council policies and procedures e.g. the Health and Safety Policy, Equality and Diversity Policy, Data Protection Policy and any policies regarding the use of information technology
 - serious and deliberate damage to property
 - use of the internet or email to access pornographic, obscene or offensive material
 - disclosure of confidential information

Suspension

6. If allegations of gross misconduct or serious misconduct are made, the council may suspend the employee while further investigations are carried out. Suspension will be

on full pay. Suspension does not imply any determination of guilt or innocence, as it is merely a measure to enable further investigation.

7. While on suspension, the employee is required to be available during normal hours of work in the event that the council needs to make contact. The employee must not contact or attempt to contact or influence anyone connected with the investigation in any way or to discuss this matter with any other employee or councillor.
8. The employee must not attend work. The council will make arrangements for the employee to access any information or documents required to respond to any allegations.

Examples of unsatisfactory work performance

9. The following list contains some examples of unsatisfactory work performance: The list is not exhaustive.
 - inadequate application of management instructions/office procedures
 - inadequate IT skills
 - unsatisfactory management of staff
 - unsatisfactory communication skills

The Procedure

10. Preliminary enquiries. The council may make preliminary enquiries to establish the basic facts of what has happened in order to understand whether there may be a case to answer under the disciplinary procedure.
If the employee's manager believes there may be a disciplinary case to answer, the council may initiate a more detailed investigation undertaken to establish the facts of a situation or to establish the perspective of others who may have witnessed misconduct. For the purposes of this policy, the manager of the Clerk is the chair of Finance and General Purposes Committee.
11. Informal Procedures. Where minor concerns about conduct become apparent, it is the manager's responsibility to raise this with the employee and clarify the improvements required. A file note will be made and kept by the manager. The informal discussions are not part of the formal disciplinary procedure. If the conduct fails to improve, or if further matters of conduct become apparent, the manager may decide to formalise the discussions and invite the employee to a first stage disciplinary hearing.

Disciplinary investigation

12. A formal disciplinary investigation may sometimes be required to establish the facts and whether there is a disciplinary case to answer.
13. If a formal disciplinary investigation is required, the Council's Finance and General Purposes Committee will appoint an Investigator who will be responsible for undertaking a fact-finding exercise to collect all relevant information. The Investigator will be independent and will normally be a councillor. If the Finance and General

Purposes Committee considers that there are no councillors who are independent (for example, because they all have direct involvement in the allegations about the employee), or because the subject of the investigation is the clerk, it will appoint someone from outside the Council. The Investigator will be appointed as soon as possible after the allegations have been made. The Finance and General Purposes Committee will inform the Investigator of the terms of reference of the investigation. The terms of reference should specify:

- the allegations or events that the investigation is required to examine
 - whether a recommendation is required
 - how the findings should be presented. For example, an investigator will often be required to present the findings in the form of a written report
 - who the findings should be reported to and who to contact for further direction if unexpected issues arise or advice is needed
14. The Investigator will be asked to submit their findings within 20 working days of appointment where possible. In cases of alleged unsatisfactory performance or of allegations of minor misconduct, the appointment of an investigator may not be necessary and the Council may decide to commence disciplinary proceedings at the next stage - the disciplinary meeting (see paragraph 22).
 15. The Finance and General Purposes Committee will notify the employee in writing of the alleged misconduct and details of the person undertaking the investigation. The employee may be asked to meet an investigator as part of the disciplinary investigation. The employee will be given sufficient notice of the meeting with the Investigator so that he/she has reasonable time to prepare for it. The letter will explain the investigatory process and that the meeting is part of that process. The employee will be provided with a copy of the Council's disciplinary procedure. The Council will also inform the employee that when he/she meets with the Investigator, he/she will have the opportunity to comment on the allegations of misconduct.
 16. Employees may be accompanied or represented by a workplace colleague, a trade union representative or a trade union official at any investigatory meeting.
 17. If there are other persons (e.g. employees, councillors, members of the public or the Council's contractors) who can provide relevant information, the Investigator should try to obtain it from them in advance of the meeting with the employee.
 18. The Investigator has no authority to take disciplinary action. His/her role is to establish the facts of the case as quickly as possible and prepare a report that recommends to the Finance and General Purposes Committee whether or not disciplinary action should be considered under the policy.
 19. The Investigator's report will contain his/her recommendations and the findings on which they were based. He/she will recommend either:
 - the employee has no case to answer and there should no further action under the Council's disciplinary procedure

- the matter is not serious enough to justify further use of the disciplinary procedure and can be dealt with informally or
 - the employee has a case to answer and a formal hearing should be convened under the Council's disciplinary procedure
20. The Investigator will submit the report to the Finance and General Purposes Committee which will decide whether further action will be taken.
21. If the Council decides that it will not take disciplinary action, it may consider whether mediation would be appropriate in the circumstances.

The disciplinary meeting

22. If the Finance and General Purposes Committee decides that there is a case to answer, it will appoint a Disciplinary Panel of three councillors, to formally hear the allegations. The Disciplinary Panel will appoint a Chairman from one of its members. The Investigator shall not sit on the Disciplinary Panel.
23. No councillor with direct involvement in the matter shall be appointed to the Disciplinary Panel. The employee will be invited, in writing, to attend a disciplinary meeting. The Disciplinary Panel's letter will confirm the following:
- the names of its Chairman and other two members
 - details of the alleged misconduct, its possible consequences and the employee's statutory right to be accompanied at the meeting
 - a copy of the information provided to the Disciplinary Panel which may include the investigation report, supporting evidence and a copy of the Council's disciplinary procedure
 - the time and place for the meeting. The employee will be given reasonable notice of the hearing so that he /she has sufficient time to prepare for it
 - that witnesses may attend on the employee's and the Council's behalf and that both parties should inform each other of their witnesses' names at least two working days before the meeting
 - that the employee may be accompanied by a companion - a workplace colleague, a trade union representative or a trade union official
24. The purpose of the disciplinary meeting hearing is for the allegations to be put to the employee and then for the employee to give their perspective. It will be conducted as follows:
- the Chairman will introduce the members of the Disciplinary Panel to the employee and explain the arrangements for the hearing
 - the Chairman will set out the allegations and invite the Investigator to present the findings of the investigation report (if there has been a previous investigation)
 - the Chairman will invite the employee to present their account

- the employee (or the companion) will set out his/her case and present evidence (including any witnesses and/or witness statements)
 - any member of the Disciplinary Panel and the employee (or the companion) may question the Investigator and any witness
 - the employee (or companion) will have the opportunity to sum up
25. The Chairman will provide the employee with the Disciplinary Panel's decision with reasons, in writing, within five working days of the meeting. The Chairman will also notify the employee of the right to appeal the decision.
26. The disciplinary meeting may be adjourned to allow matters that were raised during the meeting to be further investigated by the Disciplinary Panel.

Disciplinary action

27. If the Disciplinary Panel decides that there should be disciplinary action, it may be any of the following:

First written warning

If the employee's conduct has fallen beneath acceptable standards, a first written warning will be issued. A first written warning will set out:

- the reason for the written warning, the improvement required (if appropriate) and the time period for improvement
- that further misconduct/failure to improve will result in more serious disciplinary action
- the employee's right of appeal
- that a note confirming the written warning will be placed on the employee's personnel file, that a copy will be provided to the employee and that the warning will remain in force for a specified period of time (e.g. 12 months)

Final written warning

If the offence is sufficiently serious, or if there is further misconduct or a failure to improve sufficiently during the currency of a prior warning, the employee will be given a final written warning. A final written warning will set out:

- the reason for the final written warning, the improvement required (if appropriate) and the time period for improvement
- that further misconduct/failure to improve will result in more serious disciplinary action up to and including dismissal
- the employee's right of appeal
- that a note confirming the final written warning will be placed on the employee's personnel file, that a copy will be provided to the employee and that the warning will remain in force for a specified period of time (e.g. 12 months)

Dismissal

The Council may dismiss:

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

28. The Council will consider very carefully a decision to dismiss. If an employee is dismissed, he/she will receive a written statement of the reasons for his/her dismissal, the date on which the employment will end and details of his/her right of appeal. If the Disciplinary Panel decides to take no disciplinary action, no record of the matter will be retained on the employee's personnel file. Action taken as a result of the disciplinary meeting will remain in force unless it is modified as a result of an appeal.

The appeal

29. An employee who is the subject of disciplinary action will be notified of the right of appeal. His/her written notice of appeal must be received by the Council within five working days of the employee receiving written notice of the disciplinary action and must specify the grounds for appeal.
30. The grounds for appeal include:
- a failure by the Council to follow its disciplinary policy
 - the Disciplinary Panel's disciplinary decision was not supported by the evidence
 - the disciplinary action was too severe in the circumstances of the case
 - new evidence has come to light since the disciplinary meeting
31. Where possible, the appeal will be heard by a panel of three members of the Finance and General Purposes Committee who have not previously been involved in the case. This includes the Investigator. There may be insufficient members of the Finance and General Purposes Committee who have not previously been involved. If so, the appeal panel will be a committee of three members of the Council who may include members of the staff committee. The appeal panel will appoint a Chairman from one of its members.
32. The employee will be notified, in writing, within 10 working days of receipt of the notice of appeal of the time, date and place of the appeal meeting. The employee will be advised that he/she may be accompanied by a companion - a workplace colleague, a trade union representative or a trade union official.
33. At the appeal meeting, the Chairman will:
- introduce the panel members to the employee
 - explain the purpose of the meeting, which is to hear the employee's reasons for appealing against the disciplinary decision

- explain the action that the appeal panel may take
34. The employee (or companion) will be asked to explain the grounds for appeal.
 35. The Chairman will inform the employee that he/she will receive the decision and the panel's reasons, in writing, usually within five working days of the appeal hearing.
 36. The appeal panel may decide to uphold the disciplinary decision of the Finance and General Purposes Committee, substitute a less serious sanction or decide that no disciplinary action is necessary. If it decides to take no disciplinary action, no record of the matter will be retained on the employee's personnel file.
 37. If an appeal against dismissal is upheld, the employee will be paid in full for the period from the date of dismissal and continuity of service will be preserved.
 38. The appeal panel's decision is final.

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WORKINGTON TOWN COUNCIL

SICKNESS AND ABSENCE POLICY

Introduction

Workington Town Council aims to be a good employer; this is reflected in its approach to sickness management. The Council is fully committed to a healthy and safe environment that leads to the achievement and maintenance of high attendance levels. The aim of this policy is to reduce sickness absence, manage sickness absence effectively and help employees return to work when they are absent.

1 Legal Responsibility

In accordance with following legal requirements, the Town Council will consider all absences and act according to the following legislation.

- Disability Discrimination Act (DDA) 2010– to make reasonable adjustments to disabled employees' working arrangements or conditions so they are not treated less favourable.
- Health and Safety at Work Act (HSWA) 1974 – to protect employees, after they return to work, if they are more vulnerable to risk due to illness, injury or disability.
- Employment Rights Act 1996 and Employment Act 2002 (Dispute Regulations) 2004 – when conducting procedures dismissal, disciplinary and grievance.
- Data Protection Act 1998 – for the processing and storage of sensitive data relating to medical information.

There can be a number of reasons for sickness absence and the Council's approach to dealing with sickness absence will recognise this.

When an illness or injury prevents you from carrying out your job, it is reasonable for you to remain absent from work until you are better. However, absence can cause serious issues within the workplace when:

- It is intentional or may be deemed as self-inflicted.

- Frequent or prolonged
- Without good reason

It is sometimes necessary to take action against regular absenteeism. In appropriate cases, medical opinion is sought where there are doubts about someone's ability to continue in their role. This will follow a formal warnings procedure set out within this policy.

2 Managing Regular or Long Term Sickness Absence

Reporting sickness and absence as soon as possible is important, it will allow the Council to make adjustments that benefit the employee and the Council as a whole.

Line Managers are expected to monitor and manage the attendance at work of those employees under their supervision.

Line Managers are responsible for the day-to-day welfare of staff.

Employees who become unwell or take sickness absence must be treated fairly, properly and consistently.

Employees will be informed if their attendance record is causing concern.

Employees will be given adequate opportunity and assistance to improve their attendance record with a view to ensuring their full return to normal working, modified working or their possible redeployment to alternative work.

The Council will provide employees with advice and direct them to services where necessary, such as Occupational Health advice.

Employees will be given the opportunity for a home visit to take place to discuss their general welfare and ease any anxiety about returning to work.

Employees will be made aware of a 'return to work' meeting that will be carried out after periods of absence and be informed of when self-certification and medical certificates are appropriate in accordance with the procedure for reporting sickness.

Employees should work in partnership with their trade union and employee representatives to help those off sick return to work.

3 Sickness and Absence Notification Procedure

First Day of Absence

If an employee is unable to attend work through illness or injury, they must notify their Line Manager before they are due to begin work.

If the Line Manager has not received sufficient notice of an employee's absence and they are concerned that the employee has not arrived to start work at their normal time, the supervisor can contact the employee to check on their welfare.

When notifying absence, the employee must give the reasons for their absence and the likely duration of that absence.

Where this is not possible then the employee should arrange for someone to do it on their behalf which must include reasons for their absence and the likely duration of that absence.

The employee must notify their supervisor, prior to their return to work, their likely duration of absence to allow for:

- a Return-to-work discussion to be arranged.
- investigations of any welfare or work-related issues that may be required by the employee.
- the employer to correctly designate the correct resources for the day's workload.

If an employee fails to follow these reporting requirements, then they may be classed as absent from work, rather than sick, and may not be paid.

Eighth Day

If an employee has been absent for seven calendar days, and does not return to work on the eighth day, then they must obtain as soon as possible after the eighth day a Fitness for Work (fit note) signed by a doctor which covers sickness absence from the eighth day of sickness onwards and this must be forwarded to the Chief Officer.

If a fit note is not received promptly, this may result in a loss of pay for these or any subsequent days of sickness absence.

On the fit note your GP may advise one of two options:

- Not fit for work – this means that you have a health condition that prevents you from attending work for a stated period.
- May be fit for work taking account of the following advice - this means that your health condition does not necessarily stop you from attending work.

Your GP may suggest that you could continue to work, but may not be able to complete all of your normal duties and may suggest ways in which you could attend, such as:

- A phased return
- Altered hours
- Amended duties
- Workplace adaptations

Should you receive a fit note making suggestions from your GP regarding attending work with some changes, your Line Manager will consider any suggestions made

and discuss them with you to determine whether they can be supported in the workplace and how they can be implemented. However, if this is not possible then your Statement of Fitness for Work will be used as if the doctor had advised 'not fit for work'.

4 Maintaining contact with the absent employee

It is important that both the Line Manager and the absent employee maintain regular contact. This might involve telephone contact, visiting the employee at home, at the workplace, or when appropriate, meetings at some other neutral and acceptable venue.

The purpose of the meetings is to obtain information regarding an employee's medical condition prognosis, any support the Council can offer, the expected return to work date, etc.

As an employee, whilst absent due to sickness you should be available to be contacted and be available for any possible meeting planned for normal working days or times. Unless the employee is on leave which has been authorised by their Line Manager.

5 Statutory Sick Pay

If you are ill and unable to attend work, you may be entitled to Statutory Sick Pay (SSP). SSP is currently paid after 4 qualifying days absence from work. The qualifying days are your normal working days that are in your contract. Tax and National Insurance will be deducted from SSP and if you earn below the lower earnings limit, you will not qualify for SSP.

6 Council's Sick Pay (Occupational Sick Pay)

It is the Council's policy to pay you your normal basic rate of pay exclusive of overtime/allowances during periods of sickness absence as stated below.

- During 1st year of service 1 months' full pay, and (after 4 months' service) 2 months half pay
- During 2nd year of service 2 months full pay, 2 months half pay
- During 3rd year of service 4 months full pay, 4 months half pay
- During 4th & 5th year 5 months full pay, 5 months half pay
- After 5 years' service 6 months full pay, 6 months half pay

This occupational sick pay will be for absences due to sickness calculated over the previous 52 weeks and will include your entitlement to SSP.

Payment is, however, conditional upon you complying with the Council's procedure for notifying your manager of the absence, attending an interview with your manager on request to discuss the absence, and completing a self-certification form on return

to work or providing a fit-note when requested. We may also ask you to attend an interview/examination with a nominated doctor at the request of the Council.

We may not pay you occupational sick pay where:

- you have failed to comply with the Council's sickness absence notification and evidence requirements;
- you unreasonably refuse to attend a sickness absence meeting with the Council on request;
- you are unable to work because you hurt yourself in dangerous sports / activities or any other occupation you have;
- you have misled the Council about your fitness to work;
- you have resigned; or
- where disciplinary proceedings are pending against you.

7 Continuing Sickness Absence

You must continue to submit Statements of Fitness for Work (fit notes) to your Line Manager for any further day's absence.

During any period of absence, you must keep in regular contact with your supervisor with telephone calls and/or meetings. Your supervisor will also keep in touch with you to keep updated on your absence and plan for your return to work.

8 Returning to work

Where a Statement of Fitness for Work (fit note) covers the period of absence and your GP has stated that they 'will need to assess your fitness for work again at the end of this period', before returning to work you must obtain a final statement showing your fitness to return, from your doctor and submit it to your Line Manager immediately prior to your return to work.

Where a Statement for Fitness for Work (fit note) shows a period of time, but the GP has stated that they 'will not need to assess your fitness for work again at the end of this period', then you will be able to return to your normal duties at the end of the stated period, or before, should you feel able to do so.

For periods of seven days or less (including non-workdays) the employee may self-certify for the period of absence unless following previous periods there has been an alternative agreement.

9 Returning to Work Interviews

When you return to work your Line Manager will arrange a return-to-work meeting to discuss your absence with you informally. They will try to assist you if you have any particular difficulties arising from your absence.

If you have had several recent absences (and especially if they were un-certificated/self-certificated) your supervisor will want to know more about the circumstances, and you should be prepared to discuss the situation openly.

It is widely recognised that the return-to-work discussion can have many positive effects. Such discussions will be carried out sympathetically and in private, by your Line Manager. Return to work meetings are also an opportunity for employees to discuss any health issues or other concerns which may affect their work.

A record of the discussion and the nature of the sickness will be made on the Return-to-Work Interview Form. Where actions are required, a copy of this form can be given to the employee upon request.

If there is no improvement in an employee's sickness record and every effort has been made by the Line Manager to help an employee regarding their unsatisfactory sickness absence record, then the employee will be informed that the matter will proceed to a Sickness Absence Review Interview.

Although you are not ordinarily required to submit a doctor's Fitness for Work (fit note) until you have been sick for more than seven days, where your record shows repeated short-term absences you may be asked to visit your doctor on the first day of any subsequent absence following a Sickness Absence Review Meeting

10 Sickness during Holidays

If you fall sick whilst you are on annual leave, you must obtain a Statement of Fitness to Work (fit note) from your GP/Hospital for the days in question and forward it to your Line Manager.

You will be regarded as being on sick leave for the dates/duration shown on the medical certificate. This means that your absence will not then be deducted from your annual leave entitlement.

Regular periods of sickness absence before, during and following annual leave will be monitored by your Line Manager.

If you wish to have a holiday during a period of sickness absence, your Line Manager must be informed prior to taking the holiday.

11 Sickness control procedure

The sickness control procedure is detailed on table below. The months stated are a rolling month and are calculated from the first date of the current sickness reported.

Occasions of absence	Outcome
Each occasion of absence	Return to work interview
3 occasions of absence in a 6-month period	Sickness Absence Review Interview
3 occasions of absence within 6 months of Sickness Absence Review Interview	1 st formal warning
Continued absence within 3 months of receiving 1 st formal warning	2 nd formal warning
Continued absence within 3 months of receiving 2 nd formal warning	Disciplinary action/dismissal

12 Improvement

If your sickness absence record improves to a satisfactory level, you will be advised of this by letter. Improvement must be maintained over a twelve-month period from the date of the letter confirming/giving the warning, after which time the warning will cease to be valid. However, your attendance will still be monitored and if it deteriorates again, you will revert back to the first stage of the procedure, the Informal Meeting.

13 Long Term Sickness Absences

If you are absent for a prolonged period and/or have a long-term illness the following action will be taken. With regard to the Equality Act 2010, the Council takes consideration to the needs of all long-term conditions and will endeavour to make reasonable adjustments for employees who become disabled or whose disability worsens.

You may be visited at home, or some other neutral and acceptable venue, after 3 to 4 weeks absence, and will be interviewed periodically, with the involvement of an accredited trade union representative if you so wish, and in turn you should maintain contact with your supervisor. Your supervisor will write to you informing you of their wish to visit. This may be followed up by a telephone call to check the date/time is convenient for you.

Often when an employee has been absent for a substantial length of time, an initial period of rehabilitation is beneficial when they return to work. There may be occasions where a phased return to work, or a return to partial duties in the short term, can be accommodated.

At a welfare meeting prior to their return, the question of whether a rehabilitation period would be of benefit, and if so, what assistance and support will be afforded to the employee should be discussed.

The return to work under the rehabilitation programme should be approved by the GP (i.e. a sentence on the employee's signing off note) and/or from advice from an Occupational Health Advisor.

When a rehabilitation programme has been agreed, the details of the programme, its length and review date should be confirmed in writing to the employee.

A rehabilitation period of three to four weeks is usually sufficient to ease the employee gradually back into the full duties/hours of their post. This often involves working reduced hours or days per week. During this period, the employee will be paid their normal pay. Monitoring and regular discussion will identify an employee's progress and the areas which require further improvement/support/training. At the end of the phased return period, or sooner, as appropriate, a review should take place to assess their progress and to identify if they are able to work the full duties/hours of their job.

Some employees may require a longer period to build up to a full work routine, if this is the case, an employee will then be paid for the actual hours they work, and a review period will be arranged to assess their progress and to consider working arrangements for the future. The use of annual leave or lieu time may also extend the period of reduced days/hours. Annual leave/lieu time can be used to allow for fewer days of work per week or fewer hours. This is a beneficial way of maintaining an employee's pay while reducing their working week.

If an employee has a medical condition which will affect them at work on a longer term, or even permanent basis, greater consideration will need to be given to work organisation and adjustments to the workplace. If it is not possible to accommodate the adjustments required, or if the illness/absence is such that the employee cannot return to their own job, then consideration will be given to any suitable alternative employment available at the Council.

14 Employment at Risk

If you cannot return to your own job and no suitable alternative employment is available, the following action will normally be taken:

- You will be advised that your employment is at risk, and this will be confirmed in writing to you.
- Where your job can no longer be kept open and no suitable alternative work is available or acceptable to you, you will be interviewed and informed of the likelihood of your dismissal.
- Where dismissal action is to be taken, then it will be on the grounds of incapability due to ill health and the same process will be applied as detailed above.

15 Appeals Process

At each stage of the Formal Procedure an employee will have the right of appeal. Such an appeal must be made in writing within 5 working days of the date of the warning or the letter confirming a dismissal. In the event of an appeal being lodged against a warning the procedure will still continue.

16 The Equality Act 2010

Reasonable adjustments in the form of provision of aids or equipment, adjustment to duties or even redeployment may allow an employee with a disability to remain in employment.

An employee's sickness records should differentiate between disability related and non-disability related absences. The Chief Officer will look at disability related absences separately when making decisions on what action is or isn't appropriate.

17 Monitoring procedures

The Sickness Absence Policy and associated procedures will be regularly monitored and reviewed, to ensure they are clear, objective and consistently applied.

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Health and Safety Policy

Health & Safety Policy Statement

Workington Town Council considers the Health and Safety of its employees at work to be of the greatest importance and is committed to continual improvements in safety performance and compliance with all legal obligations.

Hazard identification, risk assessments and adoption of adequate and appropriate control measures are central to our management of safety.

Written procedures and instructions form the basis of our safe working practice.

Training is given to all employees to impart an adequate understanding of the council rules, operating procedures and instructions, and codes of practice and to ensure that the required levels of competence are achieved.

Employees are required to work safely, to comply with their training, and to wear personal protective equipment wherever stipulated.

The effectiveness of the overall policy is regularly reviewed, and steps are taken to ensure any necessary corrective action is put in place.

_____ **Date:** _____

Chief Officer/RFO

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1. Introduction

Workington Town Council has designed this Health and Safety Policy to protect all employees, members, visitors, contractors, facility users and attendees of events. This document provides the policy and systems within the Town Council to ensure compliance with safe working practices.

The promotion of health, safety and welfare at work is an integral function and responsibility of the Town Council. Help and advice will be available, from supervisors and the Chief Officer/RFO to assist in health and safety queries. Where it is deemed necessary, guidance from external bodies and organisations will be sought.

Ultimately, the Chief Officer/RFO is responsible for upholding Health and Safety within the Council this includes:

- The provision and maintenance of safe and healthy working conditions.
- Ensuring that suitable Risk Assessments are undertaken from which are developed safe and efficient work methods.
- Providing information, instruction, training and supervision where necessary to ensure the competence of individuals.
- Making available all necessary safety devices and protective equipment.
- Providing and maintaining equipment and materials that are safe and without risk to the health of our employees or others who may be affected by our business activities.
- Maintaining a constant interest of the Health and Safety Executive and keeping up to date in changes to regulations that may affect the activities of Workington Town Council.

Employees will be regularly consulted on this policy to maintain good practice in respect of health, safety and welfare.

2. General Responsibilities

This policy is set out into the specific areas of Health and Safety that require consideration. While the individual requirements and legal obligations of these sections must be met, the general responsibilities of the Town Council and its employees are detailed here.

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Employees of all positions have a responsibility to ensure that any work undertaken does not adversely affect the health and safety of anyone else including other members of staff, visitors, contractors, and the general public.

In accordance with the Health and Safety (Information for Employees) Regulations 1989, Health and Safety information is displayed in all Town Council premises informing employees on what they need to know about health and safety.

Workington Town Council encourages employees to make suggestions to any alternative methods of work that will reduce hazards, make the workplace a safer environment and benefit the welfare of its employees.

As standard working practice, the Council will actively review and provide any relevant information and training to employees in respect of Health and Safety, to ensure that all employees are working in a safe environment and are competent to undertake their duties in a safe manner.

If any employee feels that they require additional training they must raise these concerns with their supervisor or the Chief Officer/RFO as soon as possible.

In accordance with the Management of Health and Safety at Work Regulations (1999) and Health and Safety Executive's (HSE) Approved Code of Practice (ACOP), it is the policy of Workington Town Council to carry out a suitable and sufficient assessment of the risks to health and safety of their employees, in order to identify the measures and minimise risks. A programme of risk assessments will be carried out across all Town Council functions by the appropriate Officers, and risk assessments will be reviewed as necessary.

Risk assessments should identify significant hazards arising from work activity under their control. The assessment should identify all persons who could be harmed, including staff, workers, members of the public and contractors. Extra consideration should be made to identify vulnerable individuals or groups.

In conjunction with this policy, other Town Council policies must be adhered to with regard to Health and Safety. In particular, this includes Lone Working, Home Working and Safeguarding Policies.

3. Use of Equipment

Employees of Workington Town Council use a variety of different types of equipment. This can include office equipment, computer, cables, trolleys, vehicles, manual equipment or plant hire.

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All equipment can pose a risk if not used in accordance with instructions or if a fault is not rectified.

All staff must use equipment in a responsible manner that does not put themselves or anyone else at risk.

It is the responsibility of the driver of fleet vehicles to ensure that the vehicle is in a road worthy state and driven in compliance of The Road Vehicles (Construction and Use) Regulations 1986.

Any concerns with the condition of Workington Town Council vehicles must be reported to the Estate Team Leader or Chief Officer/RFO immediately. Full information on Workington Town Council Fleet can be found in the Vehicle Policy

Certain items of plant hire require statutory inspections on a frequency determined by relevant legislation.

A suitable risk assessment for items of plant/equipment must be carried out by the procurer of the item prior to it being used. The assessment should also specify if pre-use checks are appropriate and these should be itemised where appropriate. If hazards are noted the risk assessment should be shared with relevant staff members.

Users of plant hire and equipment are responsible for carrying out any pre use checks.

Any fault or hazard found with plant hire or equipment must be reported before use.

4. Disclosure and Barring Service (DBS) Checks

The nature of the role of Workington Town Council, to the community of Workington, means that employees and members may have contact with vulnerable individuals and children from time to time.

In order to safeguard these individuals and children, Workington Town Council requires all employees to complete DBS checks.

Any employee who has a concern about the safety or welfare of a vulnerable adult or child must report this directly to the Safeguarding Officer.

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Please refer to the safeguarding policy for further information.

5. Accidents and First Aid

The Health and Safety (First Aid) Regulations 1981 place a general duty on employees to make or ensure that there is an adequate First Aid provision for their employees if they are injured or become ill at work.

The Town Council will ensure, as is reasonably possible, that all accidents and dangerous occurrences are reported internally and, where appropriate, to the enforcing authority.

All accidents and dangerous occurrences will be investigated and reasonable measures put in place to prevent recurrences.

All accidents, near misses, cases of work-related ill health and dangerous occurrences are to be reported to supervisors or the Chief Officer/RFO.

Details of the incident will be recorded in the accident book, which is located in the Council's offices. The Chief Officer/RFO is responsible for periodically checking the accident book.

In accordance with the requirements of the First Aid Approved Code of Practice, Workington Town Council has identified the requirement of employees that should be First Aid trained. Workington Town Council currently has 7 employees who are first aid trained; covering all premises, ensuring that adequate First Aid cover is always maintained and available.

An appointed person is someone authorised to take charge of the situation if there is an injury or illness (and generally would have received Emergency First Aid training).

The names of all such persons are displayed at strategic points and also on or beside any First Aid Box.

The Chief Officer/RFO is responsible for undertaking investigations following accidents, dangerous occurrences and work-related ill health absence.

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The Chief Officer/RFO is responsible for acting on investigation findings to prevent a recurrence.

The Chief Officer/RFO is responsible for reporting notifiable accidents, diseases and dangerous occurrences to the enforcing authority, as required by the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 1995.

First aid kits are located in the front and back offices at the Council's Offices and in Town Council vehicles. Mobile First Aid kits are also available to take off site when required.

The Chief Officer/RFO or appointed Officer is responsible for ensuring that first aid boxes are regularly stocked with approved first aid material.

6. Fire Procedure and Instructions

All properties occupied by Workington Town Council have a fire evacuation procedure and have received a fire risk assessment by either the property owner or Workington Town Council.

Officers are responsible for carrying out risk assessments on buildings owned by WTC. Where offices are occupied by WTC Officers, but not owned by the Council, the owner of the property is responsible for carrying out fire risk assessments.

It is the responsibility of the Chief Officer/RFO to ensure fire evacuation procedures are available in buildings occupied by WTC staff and that staff are aware of the evacuation procedures.

Fire exit signs are located around Town Council occupied buildings to direct members of staff to their nearest exit.

Fire extinguishers are located around Town Council occupied buildings. These are annually checked by specialised engineers.

Each building has designated and trained fire marshals.

If you discover a fire:

- Raise the alarm from the nearest call point
- Ensure all person under your control evacuate

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- Do not tackle a fire, in any instance, if it is not safe to do so. Only use a fire extinguisher if it is likely to be effective. Alert the building of a fire and raise the alarm before trying to tackle any fire.
 - Report the location of the fire to the person in charge at the assembly point.
- Action of hearing the fire alarm:
- Evacuate the building using the nearest available exit, ensuring all persons under your control leave with you;
 - Do not collect personal belongings (e.g. coats and bags);
 - Move swiftly but calmly, do not run or panic
 - If you are the last person to leave the room close the door behind you;
 - Proceed to the designated assembly point;
 - Do not re-enter or allow other persons to enter the building until told to do so by a person in authority.

Alarms on Council owned or controlled premises will be tested weekly according to risk assessments and the Regulatory Reform (Fire Safety) Order 2005.

Any concerns about fire hazards or escape routes should be directed to designated fire marshals or the Chief Officer immediately.

Fire evacuation procedures will be rehearsed at least twice per year. Fire evacuation procedures will be given to visitors and temporary or new employers during inductions.

All staff and visitors must sign in and out of Town Council occupied premises to enable fire marshals can carry out building checks effectively.

7. Control of Substances Hazardous to Health (COSHH)

Workington town Council uses, and has access to, a number of substances that fall into the category "Hazardous to Health" e.g. cleaning materials; weed killer, solvents, adhesives, toner etc. In line with the Classification, Labelling and Packaging of substances and Mixtures Regulation (CLP Regulation 2009), these products use the UN Globally Harmonised system of pictograms. Pictograms are on these products are identified with a red diamond frame and white background; within the frame a black hazard symbol indicates the specific hazard of e.g. corrosive, environmental.

Under COSHH guidelines Workington Town Council will assess the risk to health arising from any substance and the precautions needed to store and use such substance and ensure:

- To introduce appropriate measures to prevent or control any risk

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- Ensure that control measures are used and that equipment that uses hazardous substances is properly maintained.
- Those employees are instructed and trained about the risks and the precautions to be taken when using such substances.

In order to establish the extent of risk, assessment will include:

- What substances are present and in what form?
- What harmful effects are possible?
- Where and how are the substances actually used?
- What harmful substances are given off as a by-product of use?
- Who could be affected, to what extent and for how long?
- Under what circumstances?
- How likely is it that exposure will happen?

All relevant information on substances used at work must be obtained from suppliers. This information, along with assessment findings, will be formulated onto a hazard data sheet. Hazard data sheets show the safe system of use and all the necessary protective measures to ensure safe use of the substance.

This data must be made available to all employees likely to use or come into contact with the substance.

8. Electricity

Workington Town Council uses and operates equipment with electricity in a number of locations. In accordance with the Electricity at Work Regulations (1989) it is the Town Council's responsibility to ensure that systems that use electricity are used and maintained to prevent danger.

Most portable electrical equipment, such as computers, printers, power tools etc., are plugged into a fixed electrical installation.

When a fixed electrical system is first installed, the electrical supply authority requires a "Certificate of Compliance" before it can be connected to the mains supply. This is a Certificate issued by a qualified electrician, stating that certain tests have been carried out, and that the system is in a fit state to be connected.

A copy of this Certificate should be available for all of the buildings which the Council uses.

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After this initial Certification the fixed wiring should need re-testing at least every 5 years, unless any assessments show otherwise.

When an appliance is purchased, it should be PAT tested (portable appliance testing) every 1- 4 years as recommended.

A register of portable electrical appliances will be kept. All such equipment should be regularly checked and a record of such checks should be kept.

Electrical equipment which has not been checked and recorded should not be connected to the Council's electrical supply circuitry.

Contractors and/or performing artists should provide, for inspection, up to date documentary proof of the electrical integrity of their electrical equipment.

Employee's personal electrical equipment should not be connected to the Council's electrical supply without express permission having first been given and the equipment tested and recorded as it would have been had it been the Council's property.

9. Display Screen Equipment (DSE)

The Display Screen Equipment Regulations apply to all individuals who use a computer/laptop, monitors etc. as part of their day-to-day role. In accordance with these regulations, a suitable assessment of workstations will be provided to all new or temporary employees in order to identify and health and safety risks that individual employee may be exposed to in consequence of using DSE equipment.

Assessments will be reviewed if either the employee or supervisor feels that they are no longer valid, or there has been a significant change to the location or set up of the environment that employee works in.

All employee workstations and assessments of workstations will meet the requirements of The Health and Safety (Display Screen Equipment) Regulations 1992 – regulation 3, which states the minimum requirements for the condition of workstation equipment, chairs, keyboards, display screens, office environment (including noise, heat, space and lighting).

Employees, who regularly use DSE equipment, are advised to have regular eye examinations.

Where an employee has experienced visual difficulties, which may reasonably be considered to be caused by work on display screen equipment, Workington Town

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Council will ensure that the employee is provided with a suitable eye examination, covering that cost.

Following any eye examination, in accordance with HSE guidelines, employees that require 'Normal' corrective appliances are to be paid from the employees own expense. Any employee that requires prescribed eyewear/contact lenses, for display screen work, will be provided with the cost of the basic corrective appliance, i.e. of a type and quality adequate for the user's work. Where bifocal or varifocal spectacles are prescribed as special corrective appliances the employer is required to meet the costs associated with providing a basic frame and the prescribed lenses.

If users wish to choose a corrective appliance that exceeds basic costs (for example with designer frames, or lenses with optional treatments not necessary for the work), the employer is not obliged to pay for these. In these circumstances employers may either provide a basic appliance as above or may opt to contribute a portion of the total cost of the additional expenses equal to the cost of a basic appliance.

10. Personal Protective Equipment (PPE)

Workington Town Council will supply suitable Personal Protective Equipment to all employees where a risk to health and safety has been identified.

Wherever possible, systems of work shall be selected which avoid the use of Personal Protective Equipment, PPE shall be regarded as the last resort to protect against risks to health and safety.

When PPE is required, it shall be supplied free of charge.

Where PEE is supplied the employee will be provided with the information, instruction and training required to use the equipment appropriately, this will include:

- the risk or risks which the personal protective equipment will avoid or limit
- the purpose for which and the manner in which personal protective equipment is to be used
- any action to be taken by the employee to ensure that the personal protective equipment remains in an efficient state, in efficient working order and in good repair

Supervisors will periodically monitor the condition of PPE equipment to ensure that it is being maintained, cleaned and in an effective condition.

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Any defects found in PPE equipment must be reported to supervisors or the Chief Officer/RFO immediately. No PPE equipment should be used if it is believed to be in disrepair.

11. Working at Height

Workington Town Council recognises the significant risk posed from working at height and seeks to manage risks in accordance with the requirements of the Work at Height Regulations 2005 (as amended).

When working at height, supervisors must ensure that:

- All work at height is appropriately planned and organised and includes arrangements for dealing with emergencies and potential rescue.
- Suitable and sufficient risk assessments are completed, to identify the best equipment for the job and, adequately control the risk of falls from height.
- The most appropriate access equipment for the job is identified and selected.
- Employees are appropriately trained in the selection, use and storage of access equipment.
- Only competent persons are allowed to use access equipment or are adequately supervised.
- Periodic inspection and maintenance of all access equipment are carried out to meet the requirements of this policy.
- The work is carried out only when the weather conditions do not jeopardise the health or safety of persons involved.

When working at height, employees must be alert and ensure that:

- Anything provided for health and safety is used appropriately
- The controls measures identified in all relevant hazard management arrangements are complied with.
- Any hazardous situation, including non-compliant ladders, must be reported to supervisors immediately as in accordance with this policy.
- Ladders have been inspected within the preceding 6 months and are in compliance with this policy and associated procedures.

12. Manual Handling Operations Regulations

- 12.1 Workington Town Council recognises its responsibilities to comply with the Health and Safety at Work Act (1974) and the Manual Handling Operations Regulations (1992) as well as other related legislation in regard to the manual handling of loads for all employees of the Council.

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- 12.2 The Council recognises that also musculoskeletal disorders (MSD) pose a significant risk of injury to employees and the responsibility to ensure all measures are taken to provide and maintain working conditions that are safe, healthy and comply with Statutory requirements and Approved Codes of Practice (ACOP).
- 12.3 Risk assessments are essential in motioning safe systems of work/handling plans that involve, where appropriate and so far, as is reasonably practicable, the use of appropriate mechanical or automated equipment, in accordance with the Lifting Operations & Lifting Equipment Regulations 1998 (LOLER).
- 12.4 The Council will ensure that:
- a) Suitable and sufficient assessments are completed of any hazardous manual handling operations that cannot be avoided and taking account of all factors: task, load, individual capacity, environment and equipment.
 - b) Reduce the risk of injury from these operations as far as is reasonably practicable and using an ergonomic approach.
 - c) Ensure systems are in place to identify all staff involved in manual handling activities and ensure that they receive adequate training (including temporary and relief staff).
 - d) Where equipment has been identified as required to reduce manual handling risks to acceptable levels this shall be provided, recorded and appropriately maintained as per the regulations.
 - e) Ensure that written risk assessments are kept and updated to identify appropriate control measures to minimise manual handling risks as far as is reasonably practicable.
- 12.5 Employees have responsibility to
- a) Co-operate with safe systems of work and follow Health and Safety instructions
 - b) Participate in training and to report defects.
 - c) Utilise appropriate equipment, where provided, in order to reduce the risks associated with a manual handling operation. The equipment should be used for its intended purpose and in line with any information and instruction the employee has received.
 - d) Inform their immediate supervisor of any condition from which they are suffering that could affect the ability to comply with the requirements of this policy or carry out their duties safely.
 - e) Identify and alert managers or any new activity, equipment or change in circumstances that may require a risk assessment.

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12.6 Legislation requires that all manual handling operations that may present a risk of injury must be the subject of a risk assessment.

12.7 The purpose of a risk assessment is to:

- a) Identify all hazardous moving and handling tasks carried out at work and determine the likelihood and severity of any injury or harm arising from these tasks and to whom
- b) Identify control measures that will reduce the risk of injury to acceptable levels
- c) Identify all employees who may be at risk of injury from moving and handling tasks in the performance of their duties

13 New and Expectant Mothers

13.1 Workington Town Council recognises the potential risks that can be posed to expect and new mothers. In line with The Management of Health and Safety at Work Regulations 1999, risk assessments will be carried out on all expectant and new mothers, which is relevant and applicable to their role in the council.

13.2 If the risks cannot be avoided, the Town Council will make changes to the working conditions or hours of a new or expectant mother; offer her suitable alternative work, or if that is not possible suspend her for as long as is necessary to protect her health and safety and that of her baby. This includes any recommendations made by the mother or expectant mothers GP or midwife.

13.3 In accordance with the Workplace (Health, Safety and Welfare) Regulations 1992, the Town Council will provide a suitable facility for new and expectant mothers to rest or breast feed.

14 Contractors

14.1 The Council expects all contractors to meet, as a minimum, the standards of health, safety and welfare laid out in this policy.

14.2 The Council will employ only competent contractors who must supply on request copies of their:

- a) Health and Safety Policy;
- b) details of the organisation and arrangements for meeting the objectives of the policy;
- c) risk assessments;
- d) method statements;
- e) records of any health and safety incidents;
- f) evidence of public liability insurance.

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14.3 If there is any doubt about the competence or commitment to health and safety of any particular contractor, the contractor will not be used.

14.4 Before starting work on any site, contractors and sub-contractors will be given clear guidance by their sponsors on the working arrangements to be followed, to include but not limited to:

- a) emergency procedures;
- b) accident reporting.

14.5 Relevant officers will monitor work conditions to ensure safety standards are being maintained and will check completed work.

14.6 If the conduct of a contractor or sub-contractor's employee endangers their own safety, or the safety of their fellow employees, council staff or visitors, that person may be refused permission to work on any further contracts or council premises.

14.7 Where appropriate, building work undertaken will meet the requirements of the Construction (Design and Management) Regulations 2007.

15 Young Persons at Work

15.1 Whilst precautions taken to protect the health and safety of the workforce as a whole will, in many cases, also protect young persons, there are occasions when different and/or additional measures will be necessary due to their lack of experience, knowledge or absence of awareness of potential risks.

15.2 A 'young person' is defined as one who is below the age of 18 years. To ensure the safety of young persons' Workington Town Council will:

- a) carry out risk assessments to cover the activities of young persons
- b) implement the actions determined by the risk assessment process
- c) inform the young persons of any risks associated with their work and the control measures taken to protect them
- d) provide a copy of the risk assessment to the parent/guardian of any young person below the school leaving age
- e) provide additional appropriate information

16 Visitors

16.1 In the interest of safety and security, The Council will take the necessary measures to protect staff and visitors from any accidents or incidents that may occur during visiting.

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- 16.2 Employees hosting visitors must ensure that:
- they are authorised to enter the premises or are accompanied
 - they adhere to applicable health and safety instructions and rules during their visit
 - adequate information is passed to ensure their safety including emergency information
 - any protective clothing required is provided and worn
 - any accidents / incidents involving visitors are reported through the accident reporting arrangements
- 16.3 Employees aware of people on the premises who may be unauthorised should report these to their supervisor immediately.
- 16.4 In the event of the fire alarm sounding, all visitors should be escorted to the assembly point by their host. Visitors should not leave the area before notifying the senior person present.
- 17 Violence and Aggression**
- 17.1 The Council recognises that in certain situations violent behaviour towards staff may occur and therefore will take all reasonable measures to protect staff from violence and aggression.
- 17.2 Violence and aggression can be defined as:
- actual or threatened physical assaults on staff
 - psychological abuse of staff
 - verbal abuse which includes shouting, swearing and gestures
 - threats against employees
- 17.3 In order to prevent violent and aggressive behaviour towards staff, the Town Council will:
- carry out risk assessments of potential conflict situations to determine the control measures necessary to protect staff
 - ensure that premises are kept secure
 - not tolerate violence or challenging behaviour towards our employees
 - train employees who may be exposed to violence or challenging behaviour situations
 - support the employees involved in any incident
 - support their decisions regarding the pressing of criminal charges
 - provide any counselling or post-incident assistance required by the employees
 - keep records of all incidents of violence and aggression

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18 Stress

- 18.1 The Health and Safety Executive define stress as “the adverse reaction people have to excessive pressure or other types of demand placed on them”. This makes an important distinction between pressure, which can be a positive state if managed correctly, and stress which can be detrimental to health.
- 18.2 Stress at work can come about for a variety of reasons. It may be excessive workload, unreasonable expectations, or overly demanding work colleagues.
- 18.3 Workington Town Council will work to identify all workplace stressors and conduct risk assessments to eliminate stress or control the risks from stress.
- 18.4 Risk assessments will be regularly reviewed
- 18.5 Where necessary, the Council will provide access to confidential counselling for employees affected by stress caused either by work or external factors and provide training for all managers and supervisory staff in good management practices
- 18.6 Employees who experience unreasonable stress which they think may be caused by work should raise their concerns with their supervisor or through the Council’s grievance procedure.
- 18.7 Following action to reduce the risks, they shall be reassessed. If the risks remain unsustainable by the employee concerned, efforts shall be made to reassign that person to other work for which the risks are assessed as tolerable. This will be coordinated in conjunction with the Sickness and Absence Policy.

19 Smoking

- 19.1 Exposure to second-hand smoke, also known as passive smoking, increases the risk of lung cancer, heart disease and other illnesses.
- 19.2 It is the policy of Workington Town Council that all of its workplaces are smoke-free and that all employees have a right to work in a smoke-free environment.
- 19.3 Smoking is prohibited throughout the entire workplace with no exceptions. This includes Council vehicles. This policy applies to all employees, councillors and visitors.
- 19.4 All staff are obliged to adhere to and facilitate the implementation of the policy.

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The Council will ensure that all employees and contractors are aware of the policy on smoking.

20 Noise

- 20.1 The Council will take all reasonable steps necessary to ensure that the risk of hearing damage to employees who work with noisy equipment or in a noisy environment is reduced to a minimum.
- 20.2 The Council will carry out regular noise exposure assessments of noisy areas, processes and/or equipment as appropriate.
- 20.3 Assessments will be used as the basis for formulating action plans for remedial measures when necessary. Assessments will be recorded and updated regularly, particularly when changes in work practice cause changes in noise exposure levels of employees.
- 20.4 The Council will, as far as is reasonably practicable, take all steps to reduce noise exposure levels of employees by means other than the use of personal protection, as a last resort, and is committed to continuing to seek and introduce alternative methods for reducing noise exposure levels whenever possible in the future.
- 20.5 All employees who are subject to high levels of noise will be provided with:
- information, instruction and training about the harmful effects of noise
 - information and training on what they must do in order to protect themselves and meet the requirements of the law
 - Where a problem arises as a result of noise in the workplace, the employee must inform their supervisor or Chief Officer/RFO immediately.

21 Infection Control

- 21.1 For some work activities staff may be at risk of infection or of spreading infection. Exposure to infections may arise at work from a number of situations, including:
- contact with blood and bodily fluids (e.g. Tetanus, Hepatitis B or C, HIV)
 - injuries arising from needles / sharps (e.g. Tetanus, Hepatitis B or C, HIV)
 - contact with animals or animal faeces/urine (e.g. Weils disease)
- 21.2 The Council aims to prevent the spread of infection through work-based activities by adopting suitable control measures. This includes:
- assessments to identify tasks or situations that may expose individuals or groups to potential infection
 - identify, plan and implement controls and safe systems of work to prevent transmission of infection

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- c) providing information, instruction and training to those identified at risk
- d) where required, provide personal protective equipment (PPE) and monitor its use and maintenance
- e) organise for the safe cleaning of equipment and where appropriate disinfection and thorough, cleaning of the premises
- f) arrange for safe disposal of any infected materials
- g) adopt good hygiene practices

21.3 The risk assessment will also identify whether the staff involved in a particular task should be offered vaccinations against Hepatitis B and Tetanus. Where this is identified, vaccinations shall be offered to individuals without charge.

21.4 It is important to remember that infection can also be passed onto people from staff. Staff should notify their manager if they develop any infectious disease that may affect work or people around them, such as skin infections, severe respiratory infection (e.g. pneumonia, TB), COVID, severe diarrhoea, Hepatitis Chicken Pox, Measles, Mumps, Rubella etc.

21.5 Managers will need to discuss with the individual suitable controls. In some cases, employees may need to be referred to an Occupational Health Practitioner or their GP for advice.

21.6 Staff should also report any illness or disease which has been contracted through work. In some circumstances if a staff member contracts a disease whilst at work, this is reportable under RIDDOR. Certain diseases including Leptospirosis, Hepatitis, TB, and Tetanus are specifically required to be reported.

22 Drugs and Alcohol

22.1 Alcohol

- a) Employees must not drink alcohol on the Council's premises or the premises of its customers or clients without express permission from the Chief Officer/RFO and The Mayor or Deputy Mayor.
- b) Any employee who is found consuming alcohol on the Council's premises or the premises of its customers and clients without permission or is found to be intoxicated at work will face disciplinary action on the grounds of gross misconduct under the council's disciplinary procedure.

22.2 Drugs and medication

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- a) The possession, use or distribution of drugs for non-medical purposes on the Council's premises is strictly forbidden and is a gross misconduct offence.
- b) Any employee who is prescribed medication, that may affect their ability to perform their work, should advise their supervisor immediately.
- c) If the Council suspects there has been a breach of this policy or your work performance or conduct has been impaired through substance abuse, the Council reserves the right to conduct appropriate investigations and pursue the disciplinary process.

23 Asbestos

- 23.1 The Council will protect employees and other persons potentially exposed to asbestos as far as is reasonably practicable. No one will be allowed to start any work that could disturb asbestos unless the correct procedures are to be employed.
- 23.2 The premises will be surveyed to determine whether asbestos-containing materials are present. It will be presumed that materials contain asbestos unless there is strong evidence to the contrary.
- 23.3 The amount and condition of the asbestos-containing material will be assessed and measures will be identified to ensure that airborne asbestos fibres are not present or formed in the workplace.
- 23.4 Access to asbestos-containing materials in the premises will be controlled so as to prevent inadvertent disturbance of the material and the release of asbestos fibres. Systems will be put in place to ensure that anyone liable to disturb asbestos-containing materials is made aware of their location.
- 23.5 The condition of all asbestos-containing materials or materials suspected of containing asbestos will be inspected at agreed intervals to ascertain that there has been no damage or deterioration. Where damage or deterioration is found the asbestos-containing material will be reassessed and repaired or removed as appropriate.

24 Hard Hats

- 24.1 Hard hats must be worn whenever employees are exposed to the hazards of falling or flying objects, electrical shock or burn. The purpose of this is to minimise the frequency and severity of head injuries incurred by employees by establishing a policy for wearing hard hats.

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- 24.2 The policy applies to all employees who are exposed to the hazards of falling or flying objects, electrical shock or burn, or moving vehicles while working on or adjacent to roads and highways.
- 24.3 Specific areas where hard hats must be used include, but are not limited to:
- a) Construction areas designated as "Hard Hat Areas;"
 - b) Areas where any crane, hoist, or other overhead lifting device is in operation;
 - c) Areas where there is a possibility of falling objects;
 - d) Areas on or adjacent to roads or highways where construction or maintenance activity is being performed;
- 24.4 Hard hats need not be worn when the hazard created by wearing them offsets the benefits of protection created by their use. Determinations under such circumstances will be left up to the supervisor's discretion, not the involved employee(s).
- 24.5 It is the employee's responsibility to wear a hard hat as determined in this policy. Although a hard hat may not be required at a particular job site, it is the employee's responsibility to maintain one at the site (in a vehicle, etc.), so that it will be readily available should it be needed.
- 24.6 It is the supervisor's responsibility to see that employees have been issued and wear hard hats when required. Disciplinary action may be taken against employees who fail to wear hard hats when required.
- 24.7 If hard hats are damaged during use or sustain a blow, they should be discarded and a new one obtained. The shell or suspension of the hard hat should not be altered or modified.

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Member–Officer Communication and Wellbeing Protocol

1. Purpose

This protocol establishes clear expectations for communication between Councillors and Officers. Its aims are to:

- Support effective and lawful governance
- Protect Officer wellbeing
- Ensure clarity of roles
- Provide a consistent communication structure for all Councillors

2. Roles and Responsibilities

Mayor/Chairs of Committees

- First point of contact in relation to queries within the remit of the committee

Councillors

- Set policy, represent the community, and make decisions collectively
- Must not interfere with operational matters or staff management
- Must not instruct staff or request work directly

Proper Officer

- Manages staff and oversees all operational activity
- Ensures lawful decision-making and implementation of council resolutions
- Is not at the disposal of the Chair or Councillors

Officers

- Provide impartial, professional advice
- Are accountable to the Proper Officer, not to individual Councillors

3. Communication Principles

- Contact must be respectful, proportionate, and related to council business
- Officers may decline inappropriate or excessive contact
- Councillors must avoid repeated or pressurising communication
- All Councillors are treated equally under this protocol

4. Single Point of Contact (SPOC) System

To ensure efficient communication and protect Officer workload:

4.1 Queries

- All queries must be directed to the relevant committee chair
- Chairs will determine whether Officer input is required
- Only chairs may contact the Proper Officer regarding matters within the remit of their committee

4.2 Governance or Statutory Matters

Councillors may contact the Proper Officer directly for:

- Agenda items
- Statutory notices
- Legal or governance queries

4.3 Staff Contact

- Councillors must not request meetings with staff
- Councillors must not ask staff to undertake work or provide information directly
- Staff must redirect Councillors to the SPOC system

5. Staff Protection and Wellbeing

The Council is committed to providing a safe and supportive working environment.

- Any behaviour that is persistent, excessive, or causes distress will be logged by the Proper Officer and may result in further action
- The Council will take reasonable steps to protect Officers from stress, harassment, or unreasonable demands

6. Breaches of the Protocol

Breaches may constitute:

- Misuse of position
- Bullying or harassment
- Failure to treat others with respect
- Bringing the council into disrepute

Serious or repeated breaches may be referred to the Monitoring Officer under the Code of Conduct.