



Chairman: Cllr C Nicholson

Clerk: Sarah Kyle, Hill House, Walton, Brampton, CA8 2DY  
[www.stanwixrural.co.uk](http://www.stanwixrural.co.uk) [clerk@stanwixrural.co.uk](mailto:clerk@stanwixrural.co.uk) Tel: 07548 981 009

2<sup>nd</sup> March 2022

A meeting of Stanwix Rural Parish Council is to be held on:

**Wednesday 9<sup>th</sup> March 2022 in the Village Hall, Houghton at 7.30pm**

This is a public meeting and all are welcome. Please do not attend if you show any COVID-19 symptoms.

Yours faithfully

A handwritten signature in black ink, appearing to be 'SK', written over a light blue horizontal line.

Sarah Kyle

**Clerk & Responsible Financial Officer**

### **Agenda**

#### **1. Apologies for Absence**

To receive written apologies and approve reasons for absence

#### **2. Minutes of the meeting of the Parish Council held on 9<sup>th</sup> February 2022**

To resolve to authorise the Chairman to sign to approve the accuracy of the [attached minutes](#)

#### **3. Declarations of Interest and Request for Dispensations**

- a) The Clerk to report any requests received since the previous meeting for dispensations to speak and/or vote on any matter where a member has a disclosable pecuniary interest and to
- b) receive declarations by members of interests in respect of items on this agenda

#### **4. Public Participation**

In accordance with Standing Order 3e the Chairman will, at his discretion:

- a) invite members of the public to address the meeting in relation to the business to be transacted at this meeting; and
- b) receive reports from City and County Councillors

#### **5. Planning Matters**

##### **5.1 To Consider New Planning Applications:**

**22/0130 The Old Schoolhouse, Rickerby, Carlisle, CA3 9AA** - Installation of Above Ground Oil Storage Tank Sited on Associated Concrete Plinth (Retrospective)

**22/0142 26 Whiteclosegate, Carlisle, CA3 0JD** - Erection of Single Storey Front, Side & Rear Extensions to Provide Porch, Utility Room, 1no. En Suite Bedroom & Orangery; Internal Layout Alterations and Associated External Works (Revised Application)

**22/0150 Gosling Sike Farm, Houghton Road, Houghton, Carlisle, CA3 0LD** - Erection of Detached Wooden Building to House A Seed Bank

## 5.2 To note permission notices received:

**21/1164 32 Lansdowne Close, Carlisle, CA3 9HN** - Erection Of 2.5-Metre-High Fence Along Rear Boundary

**21/1170 Land to the rear of Little Drawdykes, 4 Whiteclosegate, Carlisle, CA3 0JD** - Erection Of 2no. Dwellings (Outline)

**21/0847 Land adjacent to Shortdale Cottage, Tarraby Lane, Tarraby, Carlisle, CA3 0JT** - Erection Of 2no. Dwellings (Reserved Matters Application Pursuant to Outline Approval 18/0796)

**21/0762 The Park, Rickerby, Carlisle, CA3 9AA** - Change of Use of Barns From Residential Use In Association With The Park To Provide 2no. Dwellings

**22/0020 Ghyldell, 16 Orchard Lane, Houghton, Carlisle, CA3 0LY** - Erection Of Single Storey Front Extension To Provide Sunroom

## 5.3 Planning Application 19/0452 - L/A Croft House Brunstock

To receive reports and consider ongoing issues arriving from the above planning application

## 6. Administrative Matters

### 6.1 Village Green 3<sup>rd</sup> Party Works Policy

To consider the approval of the [attached](#) policy for the above

### 6.2 Community Governance Review, Stanwix Urban

To agree a response to the above consultation, noting two press releases that have been issued on the matter

### 6.3 Provision of IT Services

To consider renewal of authorisation for ongoing costs for Adobe Acrobat and Office 360 (£150.92 and £59.00)

### 6.4 Review of Policies

To note that the Clerk has reviewed Standing Orders, Financial Regulations and GDPR policies with no suggestions for amendments for the current Council year

### 6.5 Clerk's Contact Details

To note the updated telephone number for the Parish Clerk

### 6.6 Risk Assessment

To consider acceptance of the [attached](#) risk assessment for 2021/22

## 7. Village Matters

### 7.1 Brunstock Pond

To consider an update with drainage works on the common land

### 7.2 Rickerby Community Asset

To consider the registration of land at Rickerby as an area of Community Interest, and the listing of a trough on the Local List of Heritage Assets

### 7.3 Summer Scheme's

To consider the provision of the summer play days in Houghton and Crosby

### 7.4 Houghton Bus Services

To note with withdrawal of the 64A bus and the significant reduction in the 74/75 bus service

## **7.5 Queen's Green Canopy**

To consider planting arrangements for the above

## **8. Clerk's Report**

To receive the **attached** summary report from the Clerk, detailing progress with matters from the last meeting

## **9. Finance Matters**

### **9.1 Payments**

To authorise the payment of invoices and to note the bank reconciliation as listed in the **attached** payment schedule

### **9.2 Receipts**

To note the receipt of £1305 from Carlisle City Council for onwards payment to Linstock WI Hall as well as £8.05 from Electricity Northwest for wayleaves.

### **9.3 Asset Register**

To consider approval of the attached **updated** asset register

### **9.4 Fidelity Insurance Guarantee**

To consider a review of the above, prior to receipt of the precept in April

### **9.5 Review of Internal Audit Arrangements**

To review and consider approval of the current arrangements as detailed in the **attached documentation**

## **10. Councillor Matters**

An opportunity for Councillors to raise issues on behalf of residents in their ward.

*Note: no decisions can be made on these matters, but the Clerk may make investigations and/or they may be placed on a future agenda of the Council.*

*Future agenda items should be submitted to the Clerk by 4<sup>th</sup> April 2022*

## **11. Date of Next Meeting**

To resolve that the next meeting of the Parish Council be held on Wednesday 13<sup>th</sup> April 2022 in the Village Hall, Houghton. The meeting will be preceded by the Annual Parish Meeting which will commence at 7.20pm, with the Parish Council meeting beginning immediately after.

*Members are reminded that, in accordance with the Code of Conduct, they are required to declare any disclosable pecuniary interests or other registrable interests on a 'Notification by Member of Pecuniary and Other Registrable Interests' form. The Code places a duty on all Parish Councillors to ensure that the information given in their Notice of Interest is current and it is a breach of the Code should Parish Councillors fail to give further notice in order to ensure that their Personal Interests form is up to date. Members are therefore politely reminded of the need to complete a new form in respect of any change to their interests, including changes of employment, ownership or renting of property within 28 days of any change taking place.*

**STANWIX RURAL PARISH COUNCIL**  
**Minutes of a Meeting Held on Wednesday 9 February 2022 at 7:30pm in the**  
**Parish Hall, Crosby-on-Eden**

**PRESENT**

The Chairman Cllr C Nicholson, Cllr's A Coles, A Lightfoot, A Robinson, and N Watson.

**IN ATTENDANCE**

City Cllr's E Mallinson. One member of the public and the Clerk, S Kyle.

**SR 164/02/22 APOLOGIES FOR ABSENCE**

Apologies for absence were received and accepted from Cllrs H Phillips, D Milburn and C Savory. Apologies were also received and noted from County Cllr J Mallinson and City Cllrs P Nedved and F Robson.

**SR 165/02/22 MINUTES OF THE MEETING OF THE PARISH COUNCIL HELD ON 12 JANUARY 2022**

**Resolved** to authorise the Chairman to sign, as a true and accurate record, the minutes of the last meeting of the Council.

**SR 166/02/22 REQUESTS FOR DISPENSATIONS AND DECLARATIONS OF INTEREST**

Cllr Lightfoot declared an interest in item 169.2, damage to village green.

**SR 167/02/22 PUBLIC PARTICIPATION**

One member of the public was in attendance for observation; thanks were noted to the Council, particularly the Chairman, for their support in planning issues in Tarraby.

City Cllr E Mallinson reported that matters relating to planning application 19/0452 in Brunstock remained ongoing. She also reported that a consultation was open for responses regarding the proposed cycling and walking strategy. Further, she reported matters relating to the designation of Carlisle as a health city; a discussion regarding health matters in the district followed. Matters outstanding regarding County Council issues are to be forwarded to County Cllr J Mallinson as necessary.

**SR 168/02/22 PLANNING MATTERS**

**168.1 Responses Submitted Prior to the Meeting**

**Resolved** to ratify submitted responses, which had been previously circulated to all Cllr's and are available on the Carlisle City Council website, to the following planning applications:

**22/0020 Ghylldell, 16 Orchard Lane, Houghton, Carlisle, CA3 0LY** - Erection Of Single Storey Front Extension To Provide Sunroom

**22/0007 131 Tribune Drive, Houghton, Carlisle, CA3 0LF** - Erection Of Rear Extension To Provide Additional Living Accommodation; Erection Of Detached Garage & Provision Of Associated Hardstanding

**22/0022 Ivy Cottage, Rickerby Mews, Rickerby, Carlisle, CA3 9AA** - Variation Of Condition 2 (Approved Documents) Of Previously Approved Application 21/1043

(Conversion Of Existing Garage & Store With Single Storey Extensions To Provide Granny Annexe With Disabled Access) To Relocate The Entrance, Porch & Dining Area Window

## **168.2 To Note Planning Permission Decisions Received**

**Resolved** to note the following planning decision notices:

**21/1043 Ivy Cottage, Rickerby Mews, Rickerby, Carlisle, CA3 9AA** - Conversion Of Existing Garage & Store With Single Storey Extensions To Provide Granny Annexe With Disabled Access

**21/1112 6 Houghton Road North, Houghton, Carlisle, CA3 0NL** - Erection Of Two Storey Side Extension To Provide Garage & Utility On Ground Floor With En-Suite Bedroom Above Together With Single Storey Front Extension To Provide Covered Porch

**21/0111 Eden Golf Club, Crosby on Eden, Carlisle, CA6 4RA** - Change Of Use Of Part Of Golf Course To Allow For Stationing Of Up To 100 Caravans.

It was noted that Cllr Nicholson had attended the Development Control Committee to speak on this application; concerns were raised that members appeared unable to locate previously submitted documentation in evidence against the proposal.

**21/1066 Eden House, The Orchard, Crosby on Eden, Carlisle, CA6 4QN** - Change Of Use Of Garage To Holiday Let

## **168.3 To Consider New Planning Applications**

**22/0034 Land adjacent 5 Primrose Bank, Crosby On Eden, Carlisle, CA6 4QT** - Change Of Use From Agricultural Land To Garden Area (Retrospective)

**Resolved** to reiterate comments submitted for the associated planning application 20/0859 and recommend determination in accordance with local and national planning policy and guidance.

## **168.4 Planning Application 19/0452 – L/A Croft House, Brunstock**

The matter had been noted under public participation; a further update will be provided at the March meeting.

## **168.5 Town and Country Planning (Appeals) (Written Representations Procedure) Regulations 2000**

**21/0299 South View, The Green, Houghton, Carlisle, CA3 0LN** - Change Of Use Of Former Equestrian Manège to Vehicle Storage Area (Retrospective)

**Resolved** that no further information be submitted unless requested.

## **SR 169/02/22 ADMINISTRATIVE MATTERS**

### **169.1 Village Green 3<sup>rd</sup> Party Works Policy**

A draft policy for locating skips on Council owned land had been circulated alongside the agenda.

**Resolved** to receive updates via email and recirculate an updated version for approval at the March meeting. Also **resolved** to implement a £30 application fee for the policy.

### **169.2 Damage to Houghton Village Green**

Damage to the area of the Green was noted where a skip had previously been sited. Associated damage to the village green from vehicles using the private access was also clearly visible. The installation of additional boulders to prevent further damage is to be considered. **Resolved** to write to the adjacent householder and request all damages are made good.

It was also noted that additional damage has been incurred on the football area of the Village Green, the recently repaired goal mouths being churned up.

**Resolved** to remove the goal mouths to repair the damage and re-seed prior to the spring when children may wish to use the area.

Further it was also noted that cars parking near to the shop area of the Village Green were causing an obstruction at school collection times; the matter has already been reported to the Police and residents are requested to report such matters directly.

### **169.3 Queen's Jubilee**

It was noted that enquiries had been received regarding the Council plans for commemoration of the Platinum jubilee.

**Resolved** to plant commemorate trees in Houghton, Brunstock, Park Broom, Tarraby, Crosby and Linstock. Also **resolved** to make available grant monies to community groups who wish to commemorate the occasion within the parish.

### **169.4 Community Plan**

A working group meeting had been held to consider the best means of surveying public opinion to inform a new plan.

**Resolved** to commence the formulation of an updated Community Plan, beginning firstly with an online survey. Paper copies to be made available upon request with publicity being made through social media and noticeboard posters.

## **SR 170/02/22 VILLAGE MATTERS**

### **170.1 Brunstock Pond**

An indicative proposed schematic was circulated to members, showing potential drainage pathways and an increased pond size to enable better sustainability. Further discussion will take place regarding this once drainage works have been completed.

**Resolved** to authorise expenditure of £315 on drainage works by S Splinter at Brunstock. A further £500 including VAT to be spent on necessary gravel.

## **SR 171/02/22 CLERK'S REPORT**

### *Tyre Storage*

No update to report.

### *Linstock Play Area*

A delay has been experienced in obtaining a third and final quote before consideration can be given to the purchase of replacement equipment. The matter will be brought to the next available meeting once a third price has been received.

### *Eden Gate*

No response to the letter sent to the Police has been received, to date.

### *Jackson Road Parking*

No update to report. A further complaint has been received regarding parking adjacent to Houghton Village Green. The PCSO was informed and residents are urged to report instances of illegal parking to the Police by ringing 101 or by using the online reporting form.

### *Pending application Lansdowne Crescent*

A response has been received from the developer regarding the above, which has been circulated to members.

### *Gosling Syke Tributary*

A report was received regarding damage to the riverbanks. This was discussed with Carlisle City Council who are dealing with the matter. Cllr Robinson noted that he had also written to the City Council regarding this and he understood the Environment Agency had stopped works.

### *Flood Defence Scheme, Low Crosby*

The Parish Council Flood Group representative has been in contact with the Environment Agency. Discussions continue with the landowner regarding compensation on the removal of flood banks at Warwick Holme. Planning continues on work to remove the flood banks. The EA are potentially talking about having works completed by September and a planning application may be put in regarding this in due course. A positive conclusion in the next few months is hoped for and progress will continue to be pressed for in the interim.

### *Emergency Planning Meeting*

A working group meeting is to be arranged for a date later in February.

## **SR 172/02/22 FINANCE MATTERS**

### **172.1 Payments**

**Resolved** that the following payments be approved:

<b>Payee</b>	<b>Description</b>	<b>Amount</b>
Sarah Kyle	January Salary	£1265.03
HMRC	January PAYE	£206.44
NEST	February Pension	£96.90
Linstock WI Hall	Rental	£20.00
Savills	Linstock Green Rental	£10.00
Crosby Magazine	Annual Grant	£150.00
S Splinter	Grounds Works	£180.00
	<b>TOTAL</b>	<b>£1898.37</b>

## **172.2 Bank Reconciliation**

**Noted:** Balances at bank as of 31<sup>st</sup> January 2022:

Cash Account	£31,014.05
Unity Bank (current a/c)	£4,975.86
Unity Bank (savings a/c)	£35,979.55
Income to 31/01/22	£50,605.96
Expenditure to 31/01/22	£37,806.47

## **172.3 Grant Scheme 2022/23**

**Resolved** to open the Parish Council grant scheme for the forthcoming financial year. City Cllr E Mallinson noted that play area monies are to be made available for suitable projects; monies are also to be made available for mental health projects and anti-social behaviour measures.

## **SR 173/02/22 COUNCILLOR MATTERS**

**Cllr Nicholson** noted the circulation by the City Council of the proposed boundaries for the Stanwix Urban Village Council, currently under consultation. It was noted that two areas of our parish are included in the proposals and concerns were raised that the publication, both in the local press and on social media, of over-simplified and misleading information, may leave residents seriously misinformed about the realities of parish councils.

## **SR 174/02/22 DATE OF NEXT MEETING**

**Resolved** that the next meeting of the Parish Council will be held on Wednesday 9<sup>th</sup> March 2022 in the Village Hall, Houghton.

There being no further business the Chairman closed the meeting at 8.29.





# STANWIX RURAL PARISH COUNCIL

## SKIP PERMIT APPLICATION

Applicant Name:	
Address:	
Telephone:	
Email:	
Skip Hire Company Name:	
Skip Hire Company Telephone Number:	
<u>Skip Location Details</u>	
House Name/Number:	
Street	
District	
Postcode	
Description of where skip will be located:	
Planned Delivery Date of Skip	
Planned removal Date of Skip	

Each Permit 1 – 7 days £30.00

Renewal of permit lease (for a further 1 – 7 days): **£10.00**

Retrospective administration fee (to be paid in addition to permit fee): **£15.00**

Fees to be preferably paid by bank transfer to:  
Stanwix Rural Parish Council.

Sort Code: xxxxxx

Account Number: xxxxx

Or by cheque to:

Stanwix Rural Parish Council, Hill House, Walton, Brampton, CA8 2DY.

## Terms and Conditions

In these Terms and Conditions: Council means Stanwix Rural Parish Council. Land means the location of the skip

1. Permits must be applied for at least two working days in advance.
2. No skip shall be placed in a way that blocks or restricts access to any premises by any private vehicle or emergency or service vehicle whatsoever or any drain
3. Skip hire companies must have and maintain valid Public Liability Insurance with a minimum value of £5,000,000. A copy of such insurance or evidence proving you have it may be requested prior to the issue of a permit. The cover must be in place from the date of delivery of the skip and its removal. The insurance must be on a claims occurring basis.
4. Each skip shall not exceed 3.73 metres in length and 1.93 metres in width (12 yard skip). A larger skip may not be permitted; special consideration will need to be applied for.
5. No skip placed on Council land shall contain any inflammable, explosive, toxic or dangerous material or any material which is likely to putrefy or which otherwise is, or is likely to become, a danger or a nuisance to users of the land.
6. No skip shall contain invasive non-native plant species, including but not limited to: Japanese Knotweed, Giant Hogweed, Himalayan Balsam, Rhododendron Ponticum, New Zealand Pygmyweed. If you want to dispose of these plants you should visit the .GOV website <https://www.gov.uk/guidance/prevent-the-spread-of-harmful-invasive-and-non-native-plants> which has advice on managing, treating, and disposing of non-native invasive plants.
7. No skip shall be used in such a way that loading of the skip presents a hazard to other land users, or that any of its contents may fall onto the land, or there is an escape of dust from the contents of the skip when being loaded or standing on the land.
8. Each skip shall be removed for emptying as soon as practicable, and in any case not later than 1 working day after it has been filled.
9. No skip shall remain on the land after the permit expiry date and any operator wishing to extend the period must submit a new permit application to the Council for the additional period.
10. All materials placed in a skip shall be properly and legally disposed of and the land where the skip is deposited shall be left in a clean and tidy condition on removal of the skip.
11. Any damage to the grass under the skip must be repaired and the land made good. Where this is not undertaken in a timely manner by the permit holder, the Council reserves the right to repair the land and issue an invoice for the works.
12. It is the skip owner's or the permit holder's responsibility to ensure compliance with all conditions at all times whilst the skip is on the land.
13. Nothing in this section is to be taken as authorising the creation of a nuisance or of a danger to users of the land or as imposing on the Council by whom a permission has been granted under this section any liability for death or any injury, damage or loss resulting from the presence on the land of the skip to which the permission relates and that in the event and for whatever reason any liability may attach to the Council to fully indemnify the Council against all damages costs expenses and taxes
14. Skips should not be used by a business, outside their premises, as storage for waste generated from their normal business activities as an alternative to proper arrangements for the storage and disposal of commercial waste. Skips should not be used as a central depository for waste collected from other remote locations.
15. The permit holder is liable for any damage resulting from the placing or leaving of a skip on the land.
16. Highways permits must be obtained from the Highway Authority if the skip is to be placed on a highway.
17. Regardless of whether permission has been granted for the placing of a skip on Council owned land, the Council can require the owner of the skip or the permit holder to remove or reposition it or cause it to be removed or repositioned. The person required to remove or reposition it shall comply with the request as soon as practicable.
18. Any expenses incurred by the Council in removing or repositioning the skip shall be paid by the permit holder or if paid by the Council reimbursed by the permit holder to the Council.
19. Any amendments to these terms and conditions agreed by the Council are only valid if made in writing.

<b>STANWIX RURAL PARISH COUNCIL RISK ASSESSMENT 2021/22</b>								
<b>Bus Shelters</b>								
<u>Risk Level</u>	<u>Hazard</u>	<u>Control</u>	<u>Resolution</u>	<u>Further Action Required</u>	<u>Action by</u>	<u>Date</u>	<u>Previous Risk Level</u>	<u>Recommended Risk level 2021/22</u>
Low	Absence of Highway Authority	Maintain register of licence requirements and carry obtain for new shelters.	email confirmation obtained	None	n/a	n/a	Low	Low
Medium	Provision of adequate insurance cover.	Ensure all risks are reviewed annually.	Insurance review to be undertaken annually - prior to policy renewal.	Insurance review undertaken May 2021. Asset register to be reviewed March 2022.	Clerk	09/03/2022	Medium	Medium
Medium	General wear and tear leading to fabric deterioration	Monitor sites	Annual asset inspection.	Asset register to be reviewed March 2022.	Clerk	09/03/2022	Medium	Medium
Low	Vandalism	Arrange regular monitoring of sites	Clerk to inspect periodically when doing notice boards.	Ongoing	Clerk	Ongoing	Low	Low
<b>Code of Conduct</b>								
<u>Risk Level</u>	<u>Hazard</u>	<u>Control</u>	<u>Resolution</u>	<u>Further Action Required</u>	<u>Action by</u>	<u>Date</u>	<u>Previous Risk Level</u>	<u>Recommended Risk level 2021/22</u>
Medium	Failure to maintain /update register of interests/gifts	Ensure all council members are aware of their statutory responsibilities. Maintain appropriate registers.	Agenda item every April - advising Cllrs of requirement to disclose.	As resolution.	Clerk	01/04/2022	Medium	Medium
High	Failure to declare an interest when appropriate	Ensure all council members are aware of their statutory responsibilities.	Cllrs to be reminded at meeting to leave room if appropriate	Chairman and Clerk to undertake appropriate training if offered	Chair/Clerk	If offered	High	High
Medium								
<b>Commons &amp; Common Pastures</b>								
<u>Risk Level</u>	<u>Hazard</u>	<u>Control</u>	<u>Resolution</u>	<u>Further Action Required</u>	<u>Action by</u>	<u>Date</u>	<u>Previous Risk Level</u>	<u>Recommended Risk level 2021/22</u>
Medium	Provision of adequate insurance cover	Carry out annual review to ensure appropriate insurance cover held	Public liability cover to be held for £10 million.	Reviewed annually at audit time	Risk Group	01/05/2022	Medium	Medium
Medium	Grass cutting	Ensure subject to tender bids, enforce conditions of contract and inspect contractors documentation.	Ensure all necessary documentation held	To be reviewed October for maximum of 2 further years renewal on existing contract	Clerk	01/10/2022	Medium	Medium
Medium	Dog Fouling	Lobby relevant authority to ensure appropriate signage in place, bins are provided and dog fouling laws enforced	Work with dog enforcement teams	Asset inspection February 2022 to check adequacy	Clerk	09/03/2022	Medium	Medium
Low	Inadequate maintenance of footpaths and bridle paths	Define responsibility for areas and who responsible for maintenance.	Determine who responsible for each footpath.	Maintain working relationship with Footpaths officer and report issues when known	Clerk	ongoing	Low	Low
High	Poor Drainage	Define responsibility for drainage and provide for PC assets emergency work and periodic inspection.	Clerk to determine which areas we own	Ongoing.	Clerk	ongoing	High	High
Medium	Inadequate maintenance of trees & hedges	Ensure contracts in place for maintenance work and urgent repairs are in place		Tree inspection undertaken Feb 2020, valid for 3 years.	Clerk	01/12/2022	Medium	Medium
<b>Computing</b>								

<u>Risk Level</u>	<u>Hazard</u>	<u>Control</u>	<u>Resolution</u>	<u>Further Action Required</u>	<u>Action by</u>	<u>Date</u>	<u>Previous Risk Level</u>	<u>Recommended Risk level 2021/22</u>
Low	Loss arising from theft/misappropriation	Allocate responsibility for security of equipment.	Office Equipment included as standard cover on Came & Company Insurance Policy.	Reviewed at insurance renewal April 22	Clerk	01/04/2022	Low	Low
High	Crash of IT System	Ensure regular back-up of data & maintenance of equipment. Maintain effective anti-virus software.	External disc drives and anti-virus software purchased.	Documents stored in "the cloud" and virus software installed by computer annually	Clerk	01/04/2022	High	High
Low	Hacking of website	Ensure controls are in place to protect website	Confirm cyber insurance for the Council	Confirmed Council is covered for cyber attacks under current policy	Clerk	ongoing	Low	Low
Low	Personal Injury	Ensure controls are in place to minimise risk of injury to officers.	Undertake risk assessment of working conditions and PAT electrical testing undertaken	Continue with annual PAT testing	Clerk	ongoing	Low	Low
Medium	Breakdown of IT system	Ensure budget in place for necessary repairs/replacement	Allocate budget for maintenance and plan for future renewal	None at present, consider budget allocation during 2023 - 2024	Finance/Risk	30/11/2022	Low	low
<b>Council Property &amp; Documents</b>								
<u>Risk Level</u>	<u>Hazard</u>	<u>Control</u>	<u>Resolution</u>	<u>Further Action Required</u>	<u>Action by</u>	<u>Date</u>	<u>Previous Risk Level</u>	<u>Recommended Risk level 2021/22</u>
Medium	Loss of Assets	Maintain adequate Asset Register and ensure appropriate insurance cover is held.	Maintain Asset Register and ensure new additions are incorporated onto register and insurance cover.	Review by council in February 2022	Clerk	09/03/2022	Medium	Medium
<b>Provision of Office Accommodation</b>								
<u>Risk Level</u>	<u>Hazard</u>	<u>Control</u>	<u>Resolution</u>	<u>Further Action Required</u>	<u>Action by</u>	<u>Date</u>	<u>Previous Risk Level</u>	<u>Recommended Risk level 2021/22</u>
Low	Defective Electrical Equipment/Machinery	Arrange regular inspection of equipment and maintenance contracts in place	Arrange periodic inspection of equipment (PAT)	See IT above	Clerk	ongoing	Low	Low
Low	Inadequate Office Space	Ensure adequate office space provision for Clerk	Confirm Home Office Size and Layout	Clerk confirmed	Clerk	achieved	Low	Low
<b>Provision of Website/Internet Access</b>								
<u>Risk Level</u>	<u>Hazard</u>	<u>Control</u>	<u>Resolution</u>	<u>Further Action Required</u>	<u>Action by</u>	<u>Date</u>	<u>Identified Risk level</u>	<u>Recommended Risk level 2021/22</u>
High	Virus Control	Purchase of anti-virus package	Package purchased	Continue subscription	Clerk	01/04/2022	High	High
<b>Employment of Staff</b>								
<u>Risk Level</u>	<u>Hazard</u>	<u>Control</u>	<u>Resolution</u>	<u>Further Action Required</u>	<u>Action by</u>	<u>Date</u>	<u>Previous Risk Level</u>	<u>Recommended Risk level 2021/22</u>
Low	Failure to comply with employment law	Issue contracts of employment to all employees & review annually.	Contract issued to Clerk as of TBC	Clerk signed at September 2015 meeting. Annual review necessary	Clerk	31/03/2022	Low	Low
Medium	Loss of key staff	Ensure procedures for key functions are documented	Implement documented procedures	Ongoing	Clerk	Ongoing	Medium	Medium
Low	Inability to retain staff	Regular Staff appraisals and complete exit questionnaire	Staff appraisal scheme to be implemented.	Annual appraisal due April 2022	Chair	01/04/2022	Low	Low
Low	Use of own Vehicle for Council Business	Is Employees car insured for business use?	Insured for Business use; costs borne by Clerk (included in mileage rate payment)	Confirm annually	Clerk	01/04/2022	Low	Low
Low	Inability of Clerk to display posters on boards due to ill health	Provide alternative means of having posters displayed in required date timescales	Purchase spare keys for designated councillors in case of emergency	Purchase new spare keys for new locks and distribute to cllrs	Clerk	Ongoing	Low	Low

<b>Land</b>								
<u>Risk Level</u>	<u>Hazard</u>	<u>Control</u>	<u>Resolution</u>	<u>Further Action Required</u>	<u>Action by</u>	<u>Date</u>	<u>Previous Risk Level</u>	<u>Recommended Risk level 2021/22</u>
High	Maintenance and security of deeds of ownership etc	Ensure deeds are held in fire proof cabinet/safe or deposited with appropriate 3rd party for safekeeping	Clerk to copy deeds and lodge in CCC Archives	Ongoing	Clerk	ongoing	High	High
Medium	Maintenance of land including grass cutting	Ensure service contracts signed. Maintain records of inspection to insure contract conditions have been met.	Ensure contracts signed and necessary documentation copies held on file.	Review at contract renewal	Clerk	31/03/22	Medium	Medium
Medium	Public/Personal Injury	Ensure all risks to public are minimised. Ensure the council holds adequate insurance cover.	SRPC holds £10 million public liability insurance. Clerk to confirm annually with grass contractor.	Review needed annually.	Clerk	31/03/2022	Medium	Medium
Low	Inadequate maintenance of records	To ensure that proper records of all complaints/injuries are maintained.	Accident book purchased Aug 08	Maintain accident register	Clerk	Ongoing	Low	Low
Low	Bonfires & Firework Displays	Ensure risk assessments are undertaken	Undertake risk assessments if bonfires/displays are undertaken on PC land & notify insurance provider.	None unless a bonfire is held then see control	Clerk	Ongoing	Low	Low
<b>Shelters &amp; Seats</b>								
<u>Risk Level</u>	<u>Hazard</u>	<u>Control</u>	<u>Resolution</u>	<u>Further Action Required</u>	<u>Action by</u>	<u>Date</u>	<u>Previous Risk Level</u>	<u>Recommended Risk level 2021/22</u>
Medium	Provision of inadequate standards of seating	Carry out inspection and maintenance of seating	Inspect condition of and note on maps locations of seats. Also include on asset register.	Included in asset review	Clerk/Risk Group	09/03/2022	Medium	Medium
<b>Village Signs</b>								
<u>Risk Level</u>	<u>Hazard</u>	<u>Control</u>	<u>Resolution</u>	<u>Further Action Required</u>	<u>Action by</u>	<u>Date</u>	<u>Previous Risk Level</u>	<u>Recommended Risk level 2021/22</u>
Low	Identification of signs belonging to SRPC	Determine location of signs and include on Asset Register	All signs to be included on Asset Register.	Included in asset review	Clerk	09/03/2022	Low	Low
<b>Play Areas &amp; Equipment</b>								
<u>Risk Level</u>	<u>Hazard</u>	<u>Control</u>	<u>Resolution</u>	<u>Further Action Required</u>	<u>Action by</u>	<u>Date</u>	<u>Previous Risk Level</u>	<u>Recommended Risk level 2021/22</u>
High	Danger to users from inadequately maintained equipment	Carry out regular safety & maintenance inspections.	Play Inspection Company quarterly inspection undertaken.	Clerk to continue fortnightly inspections of Linstock and Crosby Play Area.	Clerk/Chair	Ongoing	High	High
High	Goal posts inadequately maintained - incl. Houghton site.	Carry out regular safety & maintenance inspections.	Play Inspection Company quarterly inspection undertaken of Crosby and Linstock but Houghton remains uncovered.	Quarterly inspections undertaken at Houghton	Play Inspection Company	Ongoing	High	High
<b>Risk Assessment</b>								

<u>Risk Level</u>	<u>Hazard</u>	<u>Control</u>	<u>Resolution</u>	<u>Further Action Required</u>	<u>Action by</u>	<u>Date</u>	<u>Previous Risk Level</u>	<u>Recommended Risk level 2021/22</u>
High	Risk Assessment not undertaken by Clerk	Council to prepare a Risk Assessment and review it annually.	Annual Risk assessment to be undertaken.	Agenda item by March 2022 meeting.	Clerk	31/03/2022	Medium	Medium
Medium								
<b>Financial Procedures</b>								
<u>Risk Level</u>	<u>Hazard</u>	<u>Control</u>	<u>Resolution</u>	<u>Further Action Required</u>	<u>Action by</u>	<u>Date</u>	<u>Previous Risk Level</u>	<u>Recommended Risk level 2021/22</u>
High	Full Financial Risk Assessment not undertaken for audit purposes	Council to prepare financial risk assessment and review in annually	Annual stand-alone financial risk assessment to be undertaken	Agenda item by March 2022 meeting.	Clerk	31/03/2022	High	High
<b>Council Members</b>								
<u>Risk Level</u>	<u>Hazard</u>	<u>Control</u>	<u>Resolution</u>	<u>Further Action Required</u>	<u>Action by</u>	<u>Date</u>	<u>Previous Risk Level</u>	<u>Recommended Risk level 2021/22</u>
High	Insufficient Council members to function legally	Council to actively recruit new volunteers and to ensure Councillors respect the legal summons to attend meetings when called	Recruitment for new councillors to be undertaken as part of Community Plan working arrangements	As control. Diary of meetings to be repeated throughout year.	Clerk	ongoing	High	High
<b>Public buildings and Village Halls</b>								
<u>Risk Level</u>	<u>Hazard</u>	<u>Control</u>	<u>Resolution</u>	<u>Further Action Required</u>	<u>Action by</u>	<u>Date</u>	<u>Previous Risk Level</u>	<u>Recommended Risk level 2021/22</u>
Low	Inadequate representation on management committee	Arrange appointment of council representatives on Hall Committees.	To maintain representation on village hall committees.	To be done at Annual meeting in May.	Clerk	30/05/2022	Low	Low
Medium	Collapse of Village Hall Committee leading to responsibility passing to Parish Council	Council remain Custodian Trustees for Houghton Village Hall and a risk exists that if the Management structures collapse due to insufficient volunteers, the PC MAY need to consider becoming the Sole Managing Trustee	Maintain working relationship with existing Committees to ensure that support structures are offered if necessary to prevent collapse.	As resolution	Rep for Hall	ongoing	Low	Low
<b>COVID-19</b>								
<u>Risk Level</u>	<u>Hazard</u>	<u>Control</u>	<u>Resolution</u>	<u>Further Action Required</u>	<u>Action by</u>	<u>Date</u>	<u>Previous Risk Level</u>	<u>Recommended Risk level 2021/22</u>
High	Exposure to virus in confined spaces	Social distancing, windows open	No current covid guidelines active	Ongoing	All	Until Government powers cease	High	Medium
High	Exposure to members of public in play areas/green spaces	Posting of signs in play areas	Play areas to be closed in specific alert levels. Parents to retain responsibility for hand cleaning after using equipment.	Act in accordance with current government guidelines. Ensure signage remains adequate and responses are swift.	Clerk	ongoing	High	Low
High	Inability of Clerk to host online meeting due to ill health	Normal sickness procedure applies	Normal sickness procedure applies	Ongoing	Clerk	ongoing	Medium	Low

High	Non-attendance of Councillors due to ill health	Clerk to remain in electronic contact with Cllrs - quorum is 5	Maintain contact to allow time to change meeting as necessary	Ongoing	Clerk	ongoing	Medium	Medium
High	Exposure to virus once meetings recommence	Full risk assessment per meeting venue to be conducted	Social distancing, paperless meetings, masks, hand-sanitising, cleaning of tables, chairs, any surfaces to be actioned	As above	Clerk	ongoing	High	Medium
<b><i>Items removed from the Parish Council Risk Assessment</i></b>								
Medium	Absence of service level agreements		Responsibility of Village Hall Management Committee's.	Responsibility of Village Hall Management Committee's.	n/a	N/a	None to Council	None to Council
High	Fire	Provide extinguishers and ensure tested. Ensure appropriate signage in place.	Responsibility of Village Hall Management Committee's.	Responsibility of Village Hall Management Committee's.	n/a	N/a	None to Council	None to Council
High	Electrical Equipment safety	Ensure PAT Testing in place for all electrical items	Responsibility of Village Hall Management Committee's.	Responsibility of Village Hall Management Committee's.	n/a	N/a	None to Council	None to Council
Low	Houghton Hall Clock	Bought by SRPC in 2000 for £1600 + Vat	Removed from asset register 2015/16. Village Hall made aware it is their responsibility.	Removed from Risk Register	N/a	No PC action Necessary	Low	None
High	Public Liability Cover		Responsibility of Village Hall Management Committee's.	None	n/a	No PC action necessary	None to PC	None to PC
High	Inadequate Insurance Cover		Responsibility of Village Hall Management Committee's.	None	n/a	No PC action necessary	None to PC	None to PC
High	Personal Injury, & maintenance of car park surfaces		Responsibility of Village Hall Management Committee's.	None	n/a	No PC action necessary	None to PC	None to PC
Medium	Theft from Car Parks		Responsibility of Village Hall Management Committee's.	None	n/a	No PC action necessary	None to PC	None to PC

## CLERK'S REPORT 9 MARCH 2022

### **Tyre Storage**

No update to report.

### **Linstock Play Area**

A continued delay is being experienced in sourcing a third quotation. In the meantime, grant application forms have been received for a City Council pot of money for play area works, which will be completed and applied for during March therefore no further decision making will take place until the grant process is completed.

### **Eden Gate**

No response to the letter sent to the Police has been received, to date.

### **Jackson Road Parking**

No update to report.

### **Emergency Planning Meeting**

A working group meeting is still to be arranged.

### **Community Plan**

The Community Plan group have been working to finalise a questionnaire for online publication. The quarterly update will be paused whilst this process takes place, with relevant schemes for updating being placed on the agenda.

### **Damage to Houghton Village Green**

Further damage to the Village Green in the area around where the skip was placed was noted, with at least one pedestrian slipping on the damage. The adjacent householder has been written to, to rectify the damage. Furthermore, the grounds maintenance contractor has been authorised to remove the goal posts on the Village Green in Houghton to repair the damaged goal mouths.



## SCHEDULE OF PAYMENTS TO BE AUTHORISED 9 MARCH 2022

<b>Payee</b>	<b>Details</b>	<b>Amount</b>	<b>Method</b>
Sarah Kyle	February Salary	£ 1,391.72	BACS
HMRC	February PAYE	£ 206.44	BACS
Sarah Kyle	March Salary	TBC	BACS
HMRC	March PAYE	TBC	BACS
NEST	March pension	£ 96.90	DD
Linstock WI Hall	Grant (CPCA)	£ 1,305.00	BACS
Linstock WI Hall	Grant (PC)	£ 2,790.14	BACS
Cluaran	Groundsworks	£ 600.00	BACS
Cluaran	Groundsworks	£ 816.00	BACS
Equiphase	Website	£ 66.00	BACS
Cumbria Payroll	Outstanding payroll	£ 18.00	BACS
Susan's Farm	Grant payment	TBC	BACS
Crosby Parish Hall	Grant payment (CPCA)	TBC	BACS
		<u>£ 7,290.20</u>	

### Bank Reconciliation

Cash Book:

	Balance at 01.04.21	£59,073.07	
	Receipts to 28.02.22	<u>£51,910.96</u>	
		<u>£110,984.03</u>	
	Less expenditure at 28.02.22	£ 39,861.53	
	Balance at 28.02.22		<u><b>£ 71,122.50</b></u>
Represented by:	Cash Account (CBS)	£31,014.05	
	Current A/C (Unity)	£4,138.90	
	Savings A/C (Unity)	£35,979.55	
less outstanding payments		£ 10.00	
			<u><b>£ 71,122.50</b></u>

Location	Description	Identification Ref.	Date Acquired	Acquired Value	Current Value	Disposal (Date & Value)	Notes
<b>LAND</b>							
Houghton	Village Green	VG 13 – 01/09/67		£	1.00		1.01 Hectares
Park Broom	The Green	VG11 – 29/01/82		£	1.00		0.17 Hectares
Brunstock	Common Land	CL53 – 19/12/79		£	1.00		1.4 Hectares
Crosby	Bus Shelter Site		09/06/1972	£1	£ 1.00		6ft x 12 ft
Crosby	Playing Field	CU87992	06/09/1992	Gifted	£ 1.00		1.5 Hectares
Tarraby	Common Land	CL54 – 19/12/79	08/03/71	Gifted	£ 1.00		0.1 Hectares
				<b>TOTAL</b>	<b>£</b>	<b>-</b>	
<b>PROPERTY- COMMUNITY</b>							
Linstock	4 x Benches				£	2,000.00	
	3 x Picnic Benches		04/01/2010	£1,400	£	1,400.00	
	1 x Closed Notice Board		03/01/2008	£280	£	280.00	
	1 new open board		13/06/2018	£ 200.00	£	200.00	
	2 x Goalposts & Nets				£	900.00	
	Replacement Nets		30/07/15	£ 39.00	£	39.00	
	1 x Bus Shelter		10/01/2007	£6,000	£	6,000.00	
	1 x Litter Bin (common)		08/01/2010	£285	£	285.00	
	Tower Play Combination	2.3311	22/12/09	£12,366	£	12,366.00	
	Swing Scales	6.1	22/12/09	£1,952	0	£ 1,952.00	
	<b>Nest Swing</b>	<b>6.145</b>	<b>22/12/09</b>	<b>£2,734</b>		<b>£ 2,734.00</b>	<b>Condemned</b>
	Small Play House	4.101	22/12/09	£1546	£	1,546.00	
	Swinging Horse	4.2415	22/12/09	£556	£	556.00	
	Small Carousel	6.26501	22/12/09	£1,894	£	1,894.00	
	<b>Toddler Swing Cradle Seat</b>	<b>56.12000</b>	<b>22/12/09</b>	<b>£2,898</b>		<b>£ 2,898.00</b>	<b>Condemned</b>
	Mat Safety Surfacing	N/A	22/12/09	£985	£	985.00	
	2 x Grit Bins	On village green corner of	01/01/2014	£564	£	564.00	
		Thatch cott					
	1 x defibrillator	on WI Hall	04/06/2016	£ 841.75	£	841.75	
	1 x defib cabinet	WI Hall	04/06/2016	£ 758.33	£	758.33	
	1 x defib mounting pole	WI Hall	12/12/2016	£ 200.00	£	200.00	

	1 x zig zag walker		14/03/2018	£	541.00	£	541.00	
	2 x log walk		14/03/2018	£	55.00	£	55.00	
	1 x Wobble board		14/03/2018	£	633.00	£	633.00	
	2 x picnic benches		01/08/2020	£	860.00	£	860.00	
	1 x picnic bench		01/09/2020	£	605.00	£	605.00	
Brunstock	1 x Closed Notice Board & 1 open notice board					£	280.00	
	1 safety ring		08/05/2019	£	162.37	£	162.37	
	1 bench		10/07/2019	£	318.00	£	318.00	
Houghton	Village Hall					£	1.00	
	Village Hall Clock				£2,000	£	- 1/9/2015 £2000	Gifted to hall
	1 x Closed Notice Board					£	280.00	
	3 x Benches					£	1,500.00	
	2 x Goalposts & Nets		12/01/2007		£900	£	-	disposed
	Replacement nets & pegs			£	108.00	£	-	disposed
	2 x Grit Bins	St John's Church Corner	01/01/14		£282	£	282.00	
		Shop	1/11/14		£155	£	155.00	
	21 x Metal bollards		03/01/2013		£2,415	£	2,415.00	
	22 x Timber bollards		03/01/2013		£1,342	£	1,342.00	
	1 x defibrillator	Houghton Village Hall	04/06/2016	£	847.75	£	841.75	
	1 x defibrillator cabinet	Houghton Village Hall	04/06/2016	£	758.33	£	758.33	
	Goals and net equipment		01/09/2020	£	862.20	£	862.20	
Rickerby	1 x Closed Notice board & 1 x open notice board					£	280.00	
Crosby	Play equipment & BMX track		01/07/13		£25,000	£	25,000.00	
			01/09/14					
	1 x Double Swing				£3,400	£	3,400.00	
	1 x Closed Notice Board					£	280.00	
	2 x Goalposts & Nets		08/01/2013		£600	£	600.00	
	Replacement Nets			£	50.00	£	50.00	
	1 x Bus Shelter					£	4,000.00	

	1 x Access gate		01/01/2012		£400	£	400.00	
	1 x Metal Storage Container		01/01/2012		£2660	£	2,660.00	
	1 x Bench (at flood defenses)		05/01/2012		£700	£	700.00	
	1 x defibrillator	Crosby Parish Hall	04/06/2016	£	847.75	£	841.76	
	1 x defibrillator cabinet	Crosby Parish Hall	04/06/2016	£	758.33	£	758.33	
	1 x grit bin (Parish Hall)		10/12/2018	£	266.28	£	266.28	
	1 x log train		06/07/2018	£	872.00	£	872.00	
	2 x timber joined logs		06/07/2018	£	384.00	£	384.00	
	1 x replacement swing seat		01/08/2020	£	1,325.98	£	1,325.98	
Crosby Moor	1 x Closed Notice Board		07/01/2013		£300	£	300.00	
Windsor Way	1 x Closed Notice board					£	280.00	Clerks Garage
	1 x Footpath sign - Cali Rd		12/01/2013		£100	£	100.00	
Whiteclosegate	1 x Closed Notice board					£	280.00	
	1 x Open Notice Board					£	280.00	
Wallhead	1 x Bus Shelter					£	4,000.00	
	1 x metal stile		11/01/2014	£	-	£	-	SS Home??
Tarraby	1 x Bench					£	500.00	
					<b>TOTAL</b>	<b>£</b>	<b>90,265.08</b>	

#### **PROPERTY – OFFICE**

Home Office	1 x 4 Drawer Filing cabinet					£	120.00	
	1 x 2 Door Steel Cupboard					£	120.00	
	1 x Freecom Ext Disc Drive	625.00674				£	55.00	
	1 x Verbatim Ext Disc Dive	1A1094112096	17/6/09		£40	£	40.00	
	1 x Computer Hard Drive		07/01/2013		£520	£	520.00	
	1 x 22" Monitor		07/01/2013		£106	£	106.00	
	1 x Epson Printer/ Scanner	SX435W	08/06/2012		£49	£	- 8/4/15 £49	Disposed at changeover
	1 x Fire Resistant Chest	Model No. DCA4	29/11/08		£32	£	32.00	
	2 x BT Phones		11/01/2010		£70	£	- 8/4/15 £70	Disposed at changeover

1 x USB Cable	04/01/2008		£13	£	13.00	
TP Wireless Mini	04/10/2015		£10	£	10.00	
Shredder	09/01/2015		£35	£	35.00	
paper cutter	04/07/2016	£	20.20	£	16.83	
Mouse & mat	19/5/16	£	15.97	£	14.38	
Display board	22/5/16	£	76.80	£	64.00	
Scanner	02/11/2016	£	319.98	£	319.98	
2 x Telephones	04/08/2008	£	42.99	£	-	11/09/2019 Disposed broken
Flipchart easel	Unknown	£	50.00	£	50.00	
megaphone	25/06/2018			£	8.69	
2 litter pickers	29/06/2018			£	23.50	
3 bins	29/06/2018			£	25.50	
1 monitor				£	100.04	
1 PC				£	399.17	
2 x Panasonic Phones	11/09/2019	£	66.23	£	66.23	
1 x Printer	01/05/2020	£	157.00	£	157.00	
1 x webcam	01/05/2020	£	58.32	£	58.32	
1 x power surge cable	01/05/2020	£	14.12	£	14.12	
1 x mobile phone	14/02/2022	£	99.00	£	99.00	
			<b>TOTAL</b>	<b>£</b>	<b>2,467.76</b>	

#### PROPERTY – SIGNS & NOTICES

1 x Houghton Village Hall				£	225.00
1 x Crosby Village Hall				£	66.00
1 x Crosby Play Area				£	66.00
1 x Houghton Green				£	66.00
1 x Crosby BMX Track	04/06/2016	£	100.00	£	100.00
1 x Houghton in Bloom Sign	04/06/2016	£	85.00	£	42.50
1 x Tarraby Sign	04/06/2016	£	59.74	£	59.74
1 x Houghton Sign					
1 x Linstock Sign					
1 x Crosby sign					

1 x Crosby BMX track	20/06/13	£	210.00	£	-	£210 disposed flood
3 x COVID Signs	01/06/2020	£	90.00	£	-	
			<b>TOTAL</b>	<b>£</b>	<b>625.24</b>	

<b>Total</b>				<b>£</b>	<b>93,358</b>	
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*Notes on Values - Nominal values of £1 are given to land & village halls (not incl. in final total)*

# **REPORT TO COUNCIL**

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**Date of Meeting:** 9 March 2022  
**Title:** REVIEW OF INTERNAL AUDIT ARRANGEMENTS 2021/22  
**Report of:** CLERK

## **SUMMARY:**

To consider the effectiveness of our internal audit arrangements for the financial year 2021/22 and to consider the re-appointment of the internal auditor.

## **REPORT:**

Each financial year the Council is required to review its internal audit arrangements. This is a requirement of the Local Audit and Accountability Act 2014 and our adopted Financial Regulations. The Council needs to consider its current arrangements and authorise amendments to its current procedures.

### **a) Internal Audit Plan (Appendix 1)**

These are the current terms of reference that the internal auditor undertakes on behalf of the Council preceded by an overall framework for the internal audit arrangements. The Council need to decide if the plan/checks currently in place are sufficient and if so, agree the plan for the financial year 2021/22. The plan, if agreed, will stay in place until further review takes place in approx. March 2023.

### **b) Statement Regarding the Effectiveness of the Council's Internal Audit**

The Council is requested to confirm that they wish to re-appoint the Internal Auditor, Mr Robert Gordon, with immediate effect if so, that the Council resolves for the Chairman to sign the Statement Regarding the Effectiveness of the Councils Internal Audit (Appendix 2).

### **c) Internal Audit Review Checklist (Appendix 3)**

The Council also needs to consider five standards expected of our internal audit as well as the characteristics of that effectiveness. These are outlined in Appendix 3.

## **ACTION:**

The Council is requested to determine if they wish to:

- Approve the Internal Audit Plan/Terms of Reference for the financial year 2021/22
- Authorise the Chairman to sign the statement regarding the Effectiveness of the Council's Internal Audit
- Authorise the Chairman to sign the Internal Audit Review Checklist
- Re-appoint Mr R Gordon as the Council's internal auditor with immediate effect and until further review

The Council are also asked to confirm that the arrangements will continue into 2022/23 until a further review is carried out.

## STANWIX RURAL PARISH COUNCIL

### INTERNAL AUDIT PLAN 2021/22

To safeguard Stanwix Rural Parish Council finances there are 3 systems of control:

- **Internal control,**
- **External Audit and**
- **Internal Audit**

Internal audit is a key component of the system of internal control. Its purpose is to review whether the systems of financial control and other controls over the activities of the council are adequate, effective, and in line with current regulations. Internal audit can assist the council in its responsibility for the prevention and detection of fraud, corruption, error and mistakes.

The Internal Auditor is independent of the operations (financial control/management) of the Council and competent in the understanding of the law as applicable to Local Councils, of simple accounting and basic PAYE and VAT requirements.

The appointment of the Internal Auditor, along with agreed Terms of Reference, will be verified by the Council once per year. Any change in personal circumstances that may cause a question over the independence requirement must be reported to the Council.

The Internal Auditor will carry out under the direction and management of the Council (or as may be delegated to a Committee or to the Clerk) the following tasks:

- To review the accounting and internal control systems after the year end accounts have been completed.
- To report in writing to Council each year on the results of such tests of the system that are carried out..
- To report to Council in the format required in the Annual Return and to provide assurance for the council's Annual Governance Statement.
- To carry out test checking of the books accounts and vouchers as required.

These Tasks will be carried out using the guidance taken from Governance and Accountability for Local Councils: A Practitioners Guide 2014 and the schedule below suggests an approach to the testing of the key controls to provide assurance that the minimum level of coverage has been met and that all known risks are managed adequately.

A review of the effectiveness of the internal audit process will be carried out once per year by the Council. This will be done in conjunction with a review of the Council's internal controls (as set out in the financial regulations and standing orders) and the risk management procedures.



## Internal Audit Terms of Reference for Y/E 31<sup>st</sup> March 2022

<b>1. Proper Bookkeeping</b>	<b><u>End Year</u></b>
Is cashbook maintained and up to date?	
Is cashbook arithmetically correct?	
Is cashbook regularly balanced?	
Is there a checking system for data input into the computer?	
Is computerised financial information regularly backed-up?	

<b>2. a) Standing Orders Financial Regulations adopted and applied, and b) payment controls?</b>	<b><u>End Year</u></b>
Has the Council formally adopted Standing Orders and Financial regulations?	
Are they regularly reviewed?	
Has a Responsible Financial Officer been appointed with specific duties?	
Check (say) minimum 1 item or service per quarter above £2500. Has it been competitively purchased?	
Are payments in the cashbook supported by invoices, authorised and minuted? Check minimum 3 items over (say) £1000/quarter.	
Has VAT on payments been identified, recorded and reclaimed?	
Is sec137 expenditure recorded and within statutory limits?	

<b>3. Risk Management Arrangements</b>	<b><u>End Year</u></b>
Do the Minutes record the Council carrying out an annual risk assessment?	
Are the internal financial controls documented and regularly reviewed?	
Does a scan of the Minutes identify any unusual financial activity? Are legal powers available and is the basis of the powers recorded and correctly applied?	
Are Minutes properly numbered/paginated with a master copy kept in safekeeping?	
Are procedures in place for recording/monitoring members' interests/gifts/hospitality received?	
Is insurance cover appropriate and adequate?	

<b>4. Budgetary Controls</b>	<b><u>End Year</u></b>
Has the Council prepared an annual budget in support of its precept?	
Is actual expenditure against the budget regularly reported to the Council?	
Are there any significant unexplained variances against budget?	
Are reserves adequate/excessive?	

<b>5. Income Controls</b>	<b><u>End Year</u></b>
Is income properly recorded and promptly banked?	
Does the precept in the cashbook agree to the District Council's notification?	
Are security controls over cash adequate and effective?	

<b>6. Payroll Controls</b>	<b><u>End Year</u></b>
Do salaries paid agree with those approved by the Council?	

Are other payments to the Clerk reasonable and approved by the Council?	
Has PAYE/NIC been properly operated by the Council as an employer?	

<b>7. Bank Reconciliation</b>	<b>End Year</b>
Is there a bank reconciliation of each account?	
Are the original bank statement balances checked every month (by someone other than the Chairman) to the bank reconciliation?	
Is a bank reconciliation carried out regularly on receipt of statements?	
Are there any unexplained balancing entered in the reconciliation?	

<b>8. Year End Procedures</b>	<b>End Year</b>
Are year-end accounts prepared on the correct basis? (receipts & payments/income & expenditure)	
Do accounts agree with the cashbook?	
Is there an audit trail from underlying financial records to the accounts?	
Where appropriate, have debtors/creditors been properly recorded?	

**STANWIX RURAL PARISH COUNCIL**

**STATEMENT REGARDING THE EFFECTIVENESS OF THE COUNCIL'S  
INTERNAL AUDIT**

Stanwix Rural Parish Council is confident that its Internal Auditor, Mr R Gordon, is a competent person, independent of the Council, to review it's financial controls and procedures and to give an objective view on the controls put in place by the Clerk/Responsible Financial Officer and approved by the Council.

The Internal Auditor is a registered accountant, an ex-Parish Councillor and is briefed with Account and Audit Regulations 2015.

During the year the Council has responded to observations made by the Internal Auditor to further ensure compliance of the regulations.

Signed: \_\_\_\_\_  
***Cllr C Nicholson, Chairman***

Date: \_\_\_\_\_

### Stanwix Rural Parish Council Internal Audit Review Checklist 2021/22

Expected Standard	Evidence of Achievement	Yes/ No	Areas for Development
1. Scope of internal audit	Terms of reference for internal audit were reapproved by full council in March 2022 and remain on-going	Yes	
	Internal audit work takes into account both the councils risk assessment and wider internal control arrangements.	Yes	
	Internal audit work covers the council's anti-fraud and corruption arrangements.	Yes	
2. Independence	Internal audit has direct access to those charged with governance (see financial regulations).		
	Reports are made in own name to management.	Yes	
	Internal audit does not have any other role within the Council.		
3. Competence	There is no evidence of a failure to carry out internal audit work ethically, with integrity and objectivity.	Yes	
4. Relationships	All responsible officers (Clerk/RFO) are consulted on the internal audit plan.		
	Respective responsibilities for officers and internal audit are defined in relation to internal control, risk management and fraud and corruption matters (job descriptions and engagement letter).	Yes	
	The responsibilities of council members are understood; training of members is carried out if necessary		Encourage attendance at planned training
5. Audit planning and reporting	The annual internal audit plan properly takes account of all the risks facing the council and has been approved by the Council March 2022.	Yes	
	Internal audit has reported in accordance with the plan on a regular basis.		

Characteristics of 'effectiveness'	Evidence of Achievement	Yes/No	Areas for Development
Internal audit work is planned	Planned internal audit work is based on risk assessment and designed to meet the Council's needs.	Yes	
Understanding the whole organisation, its needs and objectives	The annual audit plan demonstrates how audit work will provide assurance for the council's Annual Governance Statement.	Yes	
Be seen as a catalyst for change	Internal audit supports the council's work in delivering improved services to the community.	Yes	
Add value and assist the organisation in achieving its objectives.	The council makes positive responses to internal audit's recommendations and follow up with action where this is called for.	Yes	
Be forward looking	In formulating the annual audit plan, national agenda changes are considered.  Internal audit maintains awareness of new developments in the Councils services, risk management and corporate governance arrangements.	Yes	
Be challenging	Internal audit focuses on the risks facing the council.  Internal audit encourages managers/members to develop their own responses to risks, rather than relying solely on audit recommendations.	Yes	
Ensure the right resources are available	Adequate resource is made available for internal audit to complete its work. Internal audit understands the council and the legal and corporate framework in which it operates.	Yes	

Signed:..... Chairman, Stanwix Rural Parish Council 9 March 2022