

**MEMBERS OF THE PUBLIC AND PRESS ARE WELCOME TO ATTEND**

**Annual Meeting of the Parish Council to be held remotely using 'Zoom' video conferencing on Tuesday, 4th May 2021, commencing at 7.00pm**

## **Note to Parishioners:**

**Members of the public are very welcome to attend this meeting through the use of the Zoom video conferencing software. If you would like to attend, please contact the Parish Clerk by email to [clerk@aldcliffewithstoddaypc.org](mailto:clerk@aldcliffewithstoddaypc.org) to request details and a link and password to join the meeting.**

## **A G E N D A**

- 1. Apologies.** To receive apologies
- 2. Minutes.** To consider and approve the Minutes of the Meeting held on Tuesday, 6<sup>th</sup> April 2021 and receive updates on any matters arising. Previously circulated.
- 3. Election of Officials 2021/22**
  - a) To elect the Chair of the Parish Council for the municipal year 2021/22
  - b) To elect the Deputy Chair of the Parish Council for the municipal year 2021/22.
  - c) To sign the Declaration of Acceptance of Office of Chair
- 4. Co-option of a Parish Councillor.** To consider applications received for co-option and confirm the appointment of a Councillor.
- 5. Declarations of Interest.** To receive any changes to Declarations of Interest of Parish Councillors
- 6. Councillors' Roles:** To review and assign roles for the municipal year 2021/22, including:
  - a) Highways
  - b) Amenity, including Lengthsman liaison
  - c) Stakeholder liaison, including United Utilities
  - d) Ancillary/projects
  - e) PRoW Aldcliffe Hall Drive
  - f) BT Openreach liaison
- 7. Chairman's Annual Report 2020/21:** To receive the Chairman's Report for 2020/21.

8. **Final Accounts and Annual Governance and Accountability Return (AGAR) 2020/21.** To consider and approve the draft accounts and the AGAR and to set the period for public inspection. (Clerk's report attached)
9. **Banking arrangements.** To consider a proposal to close the Community Saver account held with the Skipton Building Society. (Clerk to report verbally)
10. **Risk Register Review 2021/22.** To consider the conclusions and recommendations from a review of the Council's risk register (Clerk's report attached).
11. **Review of Council Policies and Procedures.** To consider the conclusions and recommendations from a review of the following (Clerk's report attached):
  - a) Standing Orders;
  - b) Financial Regulations;
  - c) Information Management and Data Protection Policy, Privacy Notice, and Publication Scheme; and
  - d) Complaints Procedure.
12. **Planning Applications.** To consider and comment on planning matters, including new planning applications and an update on decisions. New applications received since the last meeting are as set out below:

Application No:	Description
None received to date	

13. **Neighbourhood Plan.** To receive an update on the project. (Councillor Parrett to report).
14. **Long Mile Lane Flooding.** To consider an update on the position and progress with reaching a solution to flooding issues.
15. **Future Meeting Arrangements.** To confirm arrangements for holding Council meetings from June 2021 onwards. (Parish Clerk to report).
16. **Public Discussion and Updates.** To adjourn the meeting for a period of public discussion and to provide any 'information only' updates on activities in recent weeks. (Note: Any matters needing a 'decision' will normally be considered as an agenda item at a future meeting).

- a) Clerk's report on activities and correspondence since last meeting
- b) Members' updates and reports since the last meeting, including:

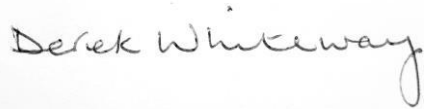
Highways	Amenity, incl Lengthsman	Stakeholder, incl United Utilities
PRoW Aldcliffe Hall Drive	Ancillary	BT Openreach

- c) Report of District and County Councillors
- d) Public discussion

**17. Payments.** To authorise payment of the following accounts:

<b>Payee &amp; Detail</b>	<b>£</b>
Derek Whiteway – Parish Clerk salary and expenses, April 2021	121.70
HMRC – PAYE deductions, April 2021	30.40
Groundwork UK – Repayment of unspent Phase II NDP Grant	832.00
Dawn Allen – Internal Audit services 2020/21 audit	60.00

**18. Date of Next Meeting.** To confirm the venue, date and time for the next meeting.



**Derek Whiteway**

**Parish Clerk**

**Tel: 01524 64908**

**Email: [clerk@aldcliffewithstoddaypc.org](mailto:clerk@aldcliffewithstoddaypc.org)**

**28<sup>th</sup> April 2021**

## Minutes of the Meeting held on 6<sup>th</sup> April 2021 at 7.00pm using Zoom video conferencing

**Present:** Councillor Nick Webster (Chairman)  
Councillors Denise Parrett and Kevan Walton.  
Derek Whiteway, Parish Clerk  
Two members of the public attended the meeting

### 21/001 Apologies for Absence

Apologies were received from City Councillor Tim Dant.

### 21/002 Minutes of the previous meeting

- 1) The minutes of the previous meeting, held on 2<sup>nd</sup> March 2021, were approved subject to a minor change to minute 20/101 – Neighbourhood Development Plan regarding the number of consultation forms issued and returned.

#### Matters arising:

- 2) **20/097(2) – Snuff Mill Lane Footpath.** The Clerk reported that he had received an email from Lancashire County Council acknowledging that they had received an application for the lane to be adopted as a Public Bridleway and confirming that the Parish Council would be consulted in due course. No timescale had been provided.
- 3) **20/097(3) – Flooding on Long Mile Lane.** The Clerk advised that the location had been pinpointed of the outflow from a culvert understood to drain Long Mile Lane. Local farmer Alan Bargh remains interested in resolving the flooding issues and Councillors discussed the scope for organising a site meeting with the Morecambe Bay Wildfowling Association.

The Clerk further reported that Alan Bargh had identified a pothole which had developed on the path and which he felt could be dangerous, particularly to cyclists if covered by water and not visible.

Councillor Parrett offered to investigate and photograph the pothole and report it to the County Council. She also reported that during the recent dry spell, the route had been passable.

**Action:** The Clerk will contact the Morecambe Bay Wildfowling Association with a view to arranging a site meeting.

- 4) **20/097(4) – Hedgerows.** The Clerk advised that, whilst further work had been done on drafting a letter to farmers and landowners, the following action is yet to be completed.

**Action:** The Chairman and Clerk are to liaise to send letters to landowners and farmers in the parish, requesting that the hedgerows are trimmed in keeping with the overall standard and appearance of the parish.

- 5) **20/102 – Bailrigg Garden Village Masterplan.** The Clerk had submitted the Parish Council's comments and concerns about recent presentations to the consulting architects and to the City Council's Leader and Chief Executive. The Council Leader had replied, acknowledging that concerns expressed about the consultation process were being actively considered by the City Council. The Leader had asked officers to provide a detailed reply to the Parish Council's letter. Councillors agreed that the issue and process needed to be monitored.
- 6) **20/103 - HGVs using Aldcliffe Hall Lane and other parish roads.** The Chairman reported that United Utilities had indicated they would improve their signage at the 'hasty brow' junction between Stodday Lane and Ashton Road.
- 7) **20/104 – Snuff Mill Lane footpath flooding.** Councillor Walton had received information that the drain had backed up during a recent high tide. It was agreed that performance of the drain during high tides should be monitored to ensure the successful outcome of the works is maintained. The Clerk reported that several very positive responses had been received from users of the lane.
- 8) **20/105(2) – Highways (Potholes).** Councillor Walton had reported three potholes on Snuff Mill Lane and also offered to investigate and report further potholes developing on Aldcliffe Lane.

#### **21/003 Declarations of Interest**

No further declarations were made.

#### **21/004 Planning Applications**

No new planning applications had been referred to the Parish Council since the last meeting.

#### **21/005 Neighbourhood Development Plan (NDP)**

Councillor Parrett provided Councillors with an update on the project. The consultation process had closed on 12<sup>th</sup> March with 93 returned forms, representing 109 parishioners from 68 properties (over 50% of properties). The collated parishioner responses had now been circulated to Councillors. The Council's consultant, Louise Kirkup, had made a start on reviewing the responses and assessing any need for changes to the Draft Plan. A meeting of the Working Group, with Louise, was scheduled for Monday, 12<sup>th</sup> April to discuss Louise's conclusions and recommendations.

Councillor Parrett commented that some comments, which lay outside the scope of the NDP, were still interesting and relevant to the Parish Council in terms of the values and views of the local community.

The Clerk advised that he had received the invitation from Groundwork UK to complete the 2020/21 'End of Grant Report'. This would be completed in the next week or two and

would result in a small amount of grant being repayable to the funding body. The Parish Council could then proceed to apply for the final tranche of grant funding to complete the project.

Councillor Parrett explained that the next steps were to make any updates to the Draft Plan before submitting it to Lancaster City Council. The City Council then undertakes another six-week consultation on the revised plan. Following that process, it is submitted to an independent examiner and then finally, the City Council conducts the referendum on the Plan's adoption. It was hoped that this could be achieved by the Summer. With a positive result on the referendum, the Plan would then become 'made' and legally adopted.

#### **21/006 Future Meeting Arrangements**

The Clerk reported that he had recently been notified that emergency regulations introduced in May 2020 to allow Councils to meet remotely, were due to expire on 7<sup>th</sup> May 2021. The Government was not intending to introduce primary legislation necessary to extend the arrangements, meaning that any meeting following 7<sup>th</sup> May 2021 will have to be held physically, with appropriate Covid-related measures in place. This would not impact the Council's next meeting scheduled for 4<sup>th</sup> May. The Clerk advised that he was expecting comments and advice from LALC/NALC on how Parish Councils should proceed.

A member of the public expressed his appreciation of the Parish Council's Zoom meetings and suggested that future live streaming of physically held meetings might be considered as a means of reaching a wider audience.

**Action:** The Clerk will make enquiries with The Meeting House regarding their ability to accommodate Parish Council meetings following 7<sup>th</sup> May 2021.

#### **21/007 HGVs using Aldcliffe Hall Lane and other parish roads**

This item had been covered under minute 21/002 – Matters Arising from the Minutes of the previous meeting.

#### **21/008 Final Accounts and Annual Return 2020/21**

The Clerk reported that instructions for the completion of the Annual Governance and Accountability Return 2020/21 had been received from the Council's appointed external auditors, PKF Littlejohn. As in previous years, the Parish Council, as a new body, would be subject to the 'Limited Assurance Audit'. The final year of obligatory external audit would be 2021/22, following which the Council would, under normal circumstances, be entitled to claim exemption from audit.

The Clerk advised that he had spoken to the Council's internal auditor, Mrs Dawn Allen, who was willing to provide the annual internal audit service again this year on the same terms as in previous years.

The statutory deadline for submitting the AGAR to the external auditors is 30<sup>th</sup> June 2021 and the Clerk advised that he would be preparing the draft final accounts and AGAR for Councillors' consideration and approval at the next scheduled meeting on 4<sup>th</sup> May 2021.

**Resolved:** That Mrs Dawn Allen be appointed as the Parish Council's internal auditor for the 2020/21 audit.

## **21/009 Public Discussion and Updates**

### **City and County Councillors' Reports**

No further reports had been received.

### **Clerk's Report:**

#### **1) Septic Tank/Sewer leak**

The Clerk reported that he had been contacted by local farmer Alan Bargh, seeking advice on how to respond to a sewage leak on land in Aldcliffe. The Clerk had advised Mr Bargh to report the matter to the City Council as a potential public health matter.

**Action:** The Clerk will attempt to monitor progress with this incident.

### **Members' Updates**

#### **2) Highways**

Nothing to report.

#### **3) Amenity, including the Lengthsman (Chairman)**

The Chairman reported that the Lengthsman has installed the new step on the corner in Smuggler's Lane. The Chairman has also asked the Lengthsman to try to clear the pipe that drains the cattle-grid on Oaklands Court, which has been prone to flooding in recent times.

#### **4) Restricted Byway designation of Aldcliffe Hall Drive**

Nothing to report.

#### **5) Stakeholder Liaison, including United Utilities (Councillor Walton)**

Nothing further to report.

#### **6) BT Openreach (Chairman)**

Nothing to report.

#### **7) Ancillary (Chairman)**

Nothing to report.

#### **8) Other Matters**

Nothing further was raised.

## Public Discussion:

### 9) Farming related safety issues

A member of the public commented on a recent incident regarding tractors depositing excessive mud and stones on Aldcliffe Road near the junction with Aldcliffe Hall Drive. The Chairman advised that, following a discussion with City Councillor Tim Dant, the City Council had provided contact details and an undertaking to clean the roads under such circumstances.

The Parish Council was also planning to write to farmers and landowners to raise awareness and commitment to avoiding this, and other issues. Councillors and members of the public discussed this issue along with farm vehicle speeds and some recent changes to farm access in the parish. It was agreed that the topic would be a continuing matter for consideration. In terms of farm vehicles speeding or otherwise being driven in a dangerous manner, it was agreed that parishioners should be encouraged to log details of any incidents and gather any information, e.g. photographs, licence plates, etc. which might help in addressing the issue.

### 10) Smuggler's Lane Gate

A member of the public enquired about the potential for the gate to now be replaced, as we progress along the Covid recovery roadmap. It was understood that City Councillor Dant was in possession of the gate and had plans to re-install it at an appropriate time. The chairman agreed to discuss this with Councillor Dant.

## 21/010 Payments

Payee & Detail	£
Derek Whiteway – Parish Clerk salary and expenses, March 2021	258.10
HMRC – PAYE deductions, March 2021	64.40
Councillor Webster – purchase of replacement noticeboard	177.61
LALC – Annual Subscription 2021/22	51.47

**Resolved:** That the above accounts be approved for payment.

## 21/011 Date and venue for next meeting

It was agreed that the next meeting would be held using Zoom video conferencing on Tuesday, 4<sup>th</sup> May 2021, commencing at 7.00pm.

## 21/012 Exclusion of public and press.

**Resolved:** That the public and press are excluded from the Council's consideration of the following exempt item.



**21/013 Parish Clerk – Conditions of Employment.**

This minute is deemed to be exempt from publication under Paragraphs 1 and 3 of Part 1 of Schedule 12A of the Local Government Act 1972.

The meeting closed at 9.50pm

Clerk of the Council

Chair

Date:

DRAFT

## **Aldcliffe with Stodday Parish Council**

**Meeting Date:** 4<sup>th</sup> May 2021

**Agenda Item:**

8
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**Report of:** The Parish Clerk

### **2020/21 Accounts and Annual Governance and Accountability Return**

#### **1. Introduction**

Smaller local councils are statutorily required to complete an annual review of their governance arrangements and submit and publish an annual statement, including the approved accounts, known as the Annual Governance and Accountability Return (AGAR).

The deadline for submission of the AGAR to the Council's appointed external auditor (PKF Littlejohn) is 30<sup>th</sup> June 2021.

#### **2. Detail**

A copy of the draft AGAR documentation is appended to this report.

As with the previous financial year the Parish Council, as a recently established body, is again required to submit its return for external audit. This condition will cease after this annual reporting round.

In addition to being submitted for audit, the full approved AGAR, including the Accounting Statement and certain supporting documents, must be published following approval, providing a public right of inspection period of 30 working days, including the first 10 working days of July 2021. The proposed timetable for the Council to meet the reporting requirements and statutory deadlines is as follows.

a)	Completion of the annual review, internal audit and approval of the accounts	04/05/21 PC Annual Meeting
b)	Public rights of inspection period	07/06/20 to 16/07/20 (inclusive)

#### **3. Internal Auditor's Report 2020/21**

The draft AGAR contains the Annual Internal Audit Report for 2020/21 and it is pleasing to note that the Internal Auditor has once again given a positive response to each of the internal control objectives set out in the statement. I informed the Internal Auditor at the outset of the audit that the Council had not undertaken a formal review of its risk register during 2020/21 but that this was being rectified at the May 2021 Annual Meeting. The Internal Auditor has not raised any additional matters or made any recommendations for consideration by the Parish Council.

#### **4. Final Accounts 2020/21**

Also appended to the report is a more detailed summary of the 2020/21 final budget outturn report. Members will note that the closing General Account balances at 31<sup>st</sup> March 2021, when adjusted for VAT reclaimable during 2021/22, stood at £5,663. This compares with the Council's established target reserves of £3,500, indicating that £2,163 of funds are available for purposes over and above 'normal business'.

In line with previous discussions and resolutions, it is recommended that £250 is transferred from the General Reserve to the Elections Reserve, in preparation for anticipated costs of the next scheduled elections in 2023.

It is recommended that the remaining funds are retained at this stage as General Fund balances, pending a previously agreed formal review of the Council's reserves and the Reserves Protocol following completion of the NDP project.

The external auditor's guideline is to require explanations where a Council's total balances exceed two times the annual precept. As at 31<sup>st</sup> March 2021, the Council's reserves totalled £7,764 as against the precept of £5,400.

## **5. Recommendations**

- (1) That the Internal Auditor's report is accepted and noted.**
- (2) That Section 1 of the AGAR – the Annual Governance Statement 2020/21, is approved.**
- (3) That Section 2 of the AGAR – Accounting Statements 2020/21, is approved.**
- (4) That the period for the exercise of public rights to inspect the accounts is set as Monday 7<sup>th</sup> June to Friday 16<sup>th</sup> July 2021 inclusive.**
- (5) That a contribution of £250 is made from the General Reserve to the Elections Reserve**

# Annual Governance and Accountability Return 2020/21 Part 3

To be completed by Local Councils, Internal Drainage Boards and other Smaller Authorities\*:

- where the higher of gross income or gross expenditure exceeded £25,000 but did not exceed £6.5 million; or
- where the higher of gross income or gross expenditure was £25,000 or less but that:
  - are unable to certify themselves as exempt (fee payable); or
  - have requested a limited assurance review (fee payable)

## Guidance notes on completing Part 3 of the Annual Governance and Accountability Return 2020/21

1. Every smaller authority in England that either received gross income or incurred gross expenditure exceeding £25,000 **must** complete Part 3 of the Annual Governance and Accountability Return at the end of each financial year in accordance with *Proper Practices*.
2. **The Annual Governance and Accountability Return is made up of three parts, pages 3 to 6:**
  - The **Annual Internal Audit Report** **must** be completed by the authority's internal auditor.
  - **Sections 1 and 2** **must** be completed and approved by the authority.
  - **Section 3** is completed by the external auditor and will be returned to the authority.
3. The authority **must** approve Section 1, Annual Governance Statement, before approving Section 2, Accounting Statements, and both **must** be approved and published on the authority website/webpage **before 1 July 2021**.
4. An authority with either gross income or gross expenditure exceeding £25,000 or an authority with neither income nor expenditure exceeding £25,000, but which is unable to certify itself as exempt, or is requesting a limited assurance review, **must** return to the external auditor by email or post (not both) **no later than 30 June 2021**. Reminder letters will incur a charge of £40 +VAT:
  - the Annual Governance and Accountability Return Sections 1 and 2, together with
  - a bank reconciliation as at 31 March 2021
  - an explanation of any significant year on year variances in the accounting statements
  - notification of the commencement date of the period for the exercise of public rights
  - Annual Internal Audit Report 2020/21

Unless requested, do not send any additional documents to your external auditor. Your external auditor will ask for any additional documents needed.

Once the external auditor has completed the limited assurance review and is able to give an opinion, the Annual Governance and Accountability **Section 1, Section 2 and Section 3 – External Auditor Report and Certificate** will be returned to the authority by email or post.

## Publication Requirements

Under the Accounts and Audit Regulations 2015, authorities must publish the following information on the authority website/webpage:

Before 1 July 2021 authorities **must** publish:

- Notice of the period for the exercise of public rights and a declaration that the accounting statements are as yet unaudited;
- **Section 1 - Annual Governance Statement 2020/21**, approved and signed, page 4
- **Section 2 - Accounting Statements 2020/21**, approved and signed, page 5

Not later than 30 September 2021 authorities **must** publish:

- Notice of conclusion of audit
- **Section 3 - External Auditor Report and Certificate**
- **Sections 1 and 2 of AGAR** including any amendments as a result of the limited assurance review.

It is recommended as best practice, to avoid any potential confusion by local electors and interested parties, that you also publish the Annual Internal Audit Report, page 3.

The Annual Governance and Accountability Return constitutes the annual return referred to in the Accounts and Audit Regulations 2015. Throughout, the words 'external auditor' have the same meaning as the words 'local auditor' in the Accounts and Audit Regulations 2015.

\*for a complete list of bodies that may be smaller authorities refer to schedule 2 to the Local Audit and Accountability Act 2014.

## Guidance notes on completing Part 3 of the Annual Governance and Accountability Return (AGAR) 2020/21

- The authority **must** comply with *Proper Practices* in completing Sections 1 and 2 of this AGAR. *Proper Practices* are found in the *Practitioners' Guide\** which is updated from time to time and contains everything needed to prepare successfully for the financial year-end and the subsequent work by the external auditor.
- Make sure that the AGAR is complete (no highlighted boxes left empty), and is properly signed and dated. If the AGAR contains unapproved or unexplained amendments, it may be returned and additional costs will be incurred.
- The authority **should** receive and note the Annual Internal Audit Report before approving the Annual Governance Statement and the accounts.
- Use the checklist provided below to review the AGAR for completeness before returning it to the external auditor by email or post (not both) no later than 30 June 2021.
- The Annual Governance Statement (Section 1) must be approved on the same day or before the Accounting Statements (Section 2) and evidenced by the agenda or minute references.
- The Responsible Financial Officer (RFO) must certify the accounts (Section 2) before they are presented to the authority for approval. The authority must in this order; consider, approve and sign the accounts.
- The RFO is required to commence the public rights period as soon as practical after the date of the AGAR approval.
- Do not send the external auditor any information not specifically requested. However, **you must inform your external auditor about any change of Clerk, Responsible Financial Officer or Chairman, and provide relevant authority owned generic email addresses and telephone numbers.**
- Make sure that the copy of the bank reconciliation to be sent to your external auditor with the AGAR covers all the bank accounts. If the authority holds any short-term investments, note their value on the bank reconciliation. The external auditor must be able to agree the bank reconciliation to Box 8 on the accounting statements (**Section 2, page 5**). An explanation **must** be provided of any difference between Box 7 and Box 8. More help on bank reconciliation is available in the *Practitioners' Guide\**.
- Explain fully significant variances in the accounting statements on **page 5**. Do not just send a copy of the detailed accounting records instead of this explanation. The external auditor wants to know that you understand the reasons for all variances. Include complete numerical and narrative analysis to support the full variance.
- If the external auditor has to review unsolicited information, or receives an incomplete bank reconciliation, or variances are not fully explained, additional costs may be incurred.
- Make sure that the accounting statements add up and that the balance carried forward from the previous year (Box 7 of 2020) equals the balance brought forward in the current year (Box 1 of 2021).
- The Responsible Financial Officer (RFO), on behalf of the authority, **must** set the commencement date for the exercise of public rights of 30 consecutive working days which **must** include the first ten working days of July.
- The authority **must** publish on the authority website/webpage the information required by Regulation 15 (2), Accounts and Audit Regulations 2015, including the period for the exercise of public rights and the name and address of the external auditor **before 1 July 2021**.

Completion checklist – 'No' answers mean you may not have met requirements		Yes	No
All sections	Have all highlighted boxes have been completed?		
	Has all additional information requested, including <b>the dates set for the period for the exercise of public rights</b> , been provided for the external auditor?		
Internal Audit Report	Have all highlighted boxes been completed by the internal auditor and explanations provided?		
Section 1	For any statement to which the response is 'no', has an explanation been published?		
Section 2	Has the authority's approval of the accounting statements been confirmed by the signature of the Chairman of the approval meeting?		
	Has an explanation of significant variations from last year to this year been published?		
	Has the bank reconciliation as at <b>31 March 2021</b> been reconciled to Box 8?		
	Has an explanation of any difference between Box 7 and Box 8 been provided?		
Sections 1 and 2	Trust funds – have all disclosures been made if the authority as a body corporate is a sole managing trustee? <b>NB:</b> do not send trust accounting statements unless requested.		

*\*Governance and Accountability for Smaller Authorities in England – a Practitioners' Guide to Proper Practices*, can be downloaded from [www.nalc.gov.uk](http://www.nalc.gov.uk) or from [www.ada.org.uk](http://www.ada.org.uk)

# Annual Internal Audit Report 2020/21

ENTER NAME OF AUTHORITY

ENTER PUBLICLY AVAILABLE WEBSITE/WEBPAGE ADDRESS

**During** the financial year ended 31 March 2021, this authority's internal auditor acting independently and on the basis of an assessment of risk, carried out a selective assessment of compliance with the relevant procedures and controls in operation and obtained appropriate evidence from the authority.

The internal audit for 2020/21 has been carried out in accordance with this authority's needs and planned coverage. On the basis of the findings in the areas examined, the internal audit conclusions are summarised in this table. Set out below are the objectives of internal control and alongside are the internal audit conclusions on whether, in all significant respects, the control objectives were being achieved throughout the financial year to a standard adequate to meet the needs of this authority.

Internal control objective	Yes	No*	Not covered**
<b>A.</b> Appropriate accounting records have been properly kept throughout the financial year.			
<b>B.</b> This authority complied with its financial regulations, payments were supported by invoices, all expenditure was approved and VAT was appropriately accounted for.			
<b>C.</b> This authority assessed the significant risks to achieving its objectives and reviewed the adequacy of arrangements to manage these.			
<b>D.</b> The precept or rates requirement resulted from an adequate budgetary process; progress against the budget was regularly monitored; and reserves were appropriate.			
<b>E.</b> Expected income was fully received, based on correct prices, properly recorded and promptly banked; and VAT was appropriately accounted for.			
<b>F.</b> Petty cash payments were properly supported by receipts, all petty cash expenditure was approved and VAT appropriately accounted for.			
<b>G.</b> Salaries to employees and allowances to members were paid in accordance with this authority's approvals, and PAYE and NI requirements were properly applied.			
<b>H.</b> Asset and investments registers were complete and accurate and properly maintained.			
<b>I.</b> Periodic bank account reconciliations were properly carried out during the year.			
<b>J.</b> Accounting statements prepared during the year were prepared on the correct accounting basis (receipts and payments or income and expenditure), agreed to the cash book, supported by an adequate audit trail from underlying records and where appropriate debtors and creditors were properly recorded.			
<b>K.</b> If the authority certified itself as exempt from a limited assurance review in 2019/20, it met the exemption criteria and correctly declared itself exempt. <i>(If the authority had a limited assurance review of its 2019/20 AGAR tick "not covered")</i>			
<b>L.</b> If the authority has an annual turnover not exceeding £25,000, it publishes information on a website/webpage up to date at the time of the internal audit in accordance with the Transparency code for smaller authorities.			
<b>M.</b> The authority, during the previous year (2019-20) correctly provided for the period for the exercise of public rights as required by the Accounts and Audit Regulations <i>(evidenced by the notice published on the website and/or authority approved minutes confirming the dates set)</i> .			
<b>N.</b> The authority has complied with the publication requirements for 2019/20 AGAR <i>(see AGAR Page 1 Guidance Notes)</i> .			
<b>O. (For local councils only)</b> Trust funds (including charitable) – The council met its responsibilities as a trustee.	Yes	No	Not applicable

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

Date(s) internal audit undertaken

Name of person who carried out the internal audit

DD/MM/YYYY DD/MM/YYYY DD/MM/YYYY

ENTER NAME OF INTERNAL AUDITOR

Signature of person who carried out the internal audit



SIGNATURE REQUIRED

Date

DD/MM/YYYY

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

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

## Section 1 – Annual Governance Statement 2020/21

We acknowledge as the members of:

ENTER NAME OF AUTHORITY

our responsibility for ensuring that there is a sound system of internal control, including arrangements for the preparation of the Accounting Statements. We confirm, to the best of our knowledge and belief, with respect to the Accounting Statements for the year ended 31 March 2021, that:

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

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

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

DD/MM/YY

and recorded as minute reference:

MINUTE REFERENCE

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

Chairman

SIGNATURE REQUIRED

Clerk

SIGNATURE REQUIRED

ENTER PUBLICLY AVAILABLE WEBSITE/WEBPAGE ADDRESS



## Section 2 – Accounting Statements 2020/21 for

ENTER NAME OF AUTHORITY

	Year ending		Notes and guidance
	31 March 2020 £	31 March 2021 £	
			<i>Please round all figures to nearest £1. Do not leave any boxes blank and report £0 or Nil balances. All figures must agree to underlying financial records.</i>
1. Balances brought forward			<i>Total balances and reserves at the beginning of the year as recorded in the financial records. Value must agree to Box 7 of previous year.</i>
2. (+) Precept or Rates and Levies			<i>Total amount of precept (or for IDBs rates and levies) received or receivable in the year. Exclude any grants received.</i>
3. (+) Total other receipts			<i>Total income or receipts as recorded in the cashbook less the precept or rates/levies received (line 2). Include any grants received.</i>
4. (-) Staff costs			<i>Total expenditure or payments made to and on behalf of all employees. Include gross salaries and wages, employers NI contributions, employers pension contributions, gratuities and severance payments.</i>
5. (-) Loan interest/capital repayments			<i>Total expenditure or payments of capital and interest made during the year on the authority's borrowings (if any).</i>
6. (-) All other payments			<i>Total expenditure or payments as recorded in the cashbook less staff costs (line 4) and loan interest/capital repayments (line 5).</i>
7. (=) Balances carried forward			<i>Total balances and reserves at the end of the year. Must equal (1+2+3) - (4+5+6).</i>
8. Total value of cash and short term investments			<i>The sum of all current and deposit bank accounts, cash holdings and short term investments held as at 31 March – <b>To agree with bank reconciliation.</b></i>
9. Total fixed assets plus long term investments and assets			<i>The value of all the property the authority owns – it is made up of all its fixed assets and long term investments as at 31 March.</i>
10. Total borrowings			<i>The outstanding capital balance as at 31 March of all loans from third parties (including PWLB).</i>
11. (For Local Councils Only) Disclosure note re Trust funds (including charitable)	Yes	No	<i>The Council, as a body corporate, acts as sole trustee for and is responsible for managing Trust funds or assets.</i>
			<i>N.B. The figures in the accounting statements above do not include any Trust transactions.</i>

I certify that for the year ended 31 March 2021 the Accounting Statements in this Annual Governance and Accountability Return have been prepared on either a receipts and payments or income and expenditure basis following the guidance in Governance and Accountability for Smaller Authorities – a Practitioners' Guide to Proper Practices and present fairly the financial position of this authority.

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

SIGNATURE REQUIRED

Date

DD/MM/YY

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

DD/MM/YY

as recorded in minute reference:

MINUTE REFERENCE

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

SIGNATURE REQUIRED



## Section 3 – External Auditor’s Report and Certificate 2020/21

In respect of

ENTER NAME OF AUTHORITY

### 1 Respective responsibilities of the auditor and the authority

Our responsibility as auditors to complete a **limited assurance review** is set out by the National Audit Office (NAO). A limited assurance review is **not a full statutory audit**, it does not constitute an audit carried out in accordance with International Standards on Auditing (UK & Ireland) and hence it **does not** provide the same level of assurance that such an audit would. The UK Government has determined that a lower level of assurance than that provided by a full statutory audit is appropriate for those local public bodies with the lowest levels of spending.

Under a limited assurance review, the auditor is responsible for reviewing Sections 1 and 2 of the Annual Governance and Accountability Return in accordance with NAO Auditor Guidance Note 02 (AGN 02) as issued by the NAO on behalf of the Comptroller and Auditor General. AGN 02 is available from the NAO website – <https://www.nao.org.uk/code-audit-practice/guidance-and-information-for-auditors/>.

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

- summarises the accounting records for the year ended 31 March 2021; and
- confirms and provides assurance on those matters that are relevant to our duties and responsibilities as external auditors.

### 2 External auditor’s limited assurance opinion 2020/21

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

(continue on a separate sheet if required)

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

(continue on a separate sheet if required)

### 3 External auditor certificate 2020/21

We certify/do not certify\* that we have completed our review of Sections 1 and 2 of the Annual Governance and Accountability Return, and discharged our responsibilities under the Local Audit and Accountability Act 2014, for the year ended 31 March 2021.

\*We do not certify completion because:

External Auditor Name

ENTER NAME OF EXTERNAL AUDITOR

External Auditor Signature

SIGNATURE REQUIRED

Date

DD/MM/YY

## Explanation of variances – pro forma

Name of smaller authority: **Aldcliffe with Stodday Parish Council**

County area (local councils and parish meetings only): **Lancashire**

**Insert figures from Section 2 of the AGAR in all Blue highlighted boxes**

**Next, please provide full explanations, including numerical values, for the following that will be flagged in the green boxes where relevant:**

- variances of more than 15% between totals for individual boxes (except variances of less than £200);
- a breakdown of approved reserves on the next tab if the total reserves (Box 7) figure is more than twice the annual precept/rates & levies value (Box 2).

	2019/20	2020/21	Variance	Variance	Explanation Required?	Automatic responses trigger below based on figures input, <b>DO NOT OVERWRITE THESE BOXES</b>	Explanation from smaller authority (must include narrative and supporting figures)
	£	£	£	%			
1 Balances Brought Forward	10,516	5,835				Explanation of % variance from PY opening balance not required - Balance brought forward does not agree, query this	
2 Precept or Rates and Levies	5,200	5,400	200	3.85%	NO		
3 Total Other Receipts	369	11,967	11,598	3143.09%	YES		Extraordinary receipts in 2020/21 include: Neighbourhood Development Planning (NDP) grant funding (£5,945); funding from United Utilities to enable the Council to resolve drainage problems causing chronic flooding to a parish footpath (£4,650); and a higher than normal level of VAT refund due to NDP consultancy fees paid in 2019/20 (£843)
4 Staff Costs	2,145	2,554	409	19.07%	YES		The Parish Clerk is contracted to provide 14 hours per month. The actual hours worked during 2020/21 were 250.25 at an additional gross salary cost of £842. Of this, 35.5 hours (£363) were provided to support to the NDP Working Group, which was a similar level to that provided in 2019/20. Additional work was generated throughout the year in managing the Parish Council's response to the Covid-19 emergency and new ways of working. This accounted for an additional 47 hours work at a gross salary cost of £479.
5 Loan Interest/Capital Repayment	0	0	0	100.00%	YES	Explanation not required, difference less than £200	
6 All Other Payments	8,105	12,884	4,779	58.96%	YES		1) With the extraordinary receipts from grant funding during 2020/21, the Parish Council spent £5,111 on consultancy services and printing/postage on the NDP project (compared to £3,163 in 2019/20). Net increase £1,948 2) Funding from United Utilities was used to engage a contractor to resolve drainage problems causing chronic flooding to a parish footpath, at a cost of £4,560. Work on the same drain in 2019/20 had cost £380. Net increase £4,180 3) £765 less was spent on the Lengthsman's services during 2020/21, partially due to Covid-19 restrictions. Net reduction -£765. 4) No meeting room costs were incurred in 2020/21 compared with £235 in 2019/20. Net reduction -£235 5) Four-yearly election costs of £120 in 2019/20 were not repeated in 2020/21. Net reduction - £120  The above variances account for a year-on-year increase of £5,008. The balance is accounted for minor variances over a variety of budget headings.
7 Balances Carried Forward	5,835	7,764			NO	VARIANCE EXPLANATION NOT REQUIRED	
8 Total Cash and Short Term Investments	5,835	7,764				VARIANCE EXPLANATION NOT REQUIRED	
9 Total Fixed Assets plus Other Long Term Investments and	0	0	0	0.00%	NO		
10 Total Borrowings	0	0	0	0.00%	NO		

**Rounding errors of up to £2 are tolerable**

**Variances of £200 or less are tolerable**

**BOX 10 VARIANCE EXPLANATION NOT REQUIRED IF CHANGE CAN BE EXPLAINED BY BOX 5 (CAPITAL PLUS INTEREST PAYMENT)**

# Aldcliffe with Stodday Parish Council

## Final Accounts 2020/21 - Provisional Outturn

Budget Heading	General Account		Special Reserves			Totals
	Approved Budget	Actuals to 31/03/21	NDP	Elections Reserve	Environmental Support Reserve	
<b>Opening Balances</b>	<b>4,196</b>	<b>3,502</b>	<b>-</b>	<b>566</b>	<b>380</b>	<b>2,519</b>
<b>Receipts</b>						
Precept	5,400	5,400	-	-	-	5,400
NDP Grants	-	-	5,945	-	-	5,945
Local Delivery Scheme	250	500	-	-	-	500
Snuff Mill Lane Footpath - UU	-	4,650	-	-	-	4,650
Bank Interest	75	26	-	-	-	26
VAT Refund	-	846	-	-	-	846
<b>Total Receipts</b>	<b>5,725</b>	<b>11,423</b>	<b>5,945</b>	<b>-</b>	<b>-</b>	<b>17,368</b>
<b>Payments</b>						
Parish Clerk Salary (incl PAYE)	1,961	2,191	363	-	-	2,554
Meeting Room Hire	276	58	-	-	-	58
Parish Clerk Expenses	67	2	2	-	-	5
Parish Clerk Training	40	-	-	-	-	-
Councillors Expenses	50	-	-	-	-	-
Subscriptions	50	51	-	-	-	51
Insurance	225	218	-	-	-	218
Lengthsman	2,952	1,350	-	-	-	1,350
Audit Fees	260	260	-	-	-	260
Bank Fees	72	72	-	-	-	72
Snuff Mill Lane Footpath	-	3,800	-	-	-	3,800
IT & Website	154	160	-	-	-	160
Printing, Postage & Stationery	50	48	561	-	-	609
Consultants Fees	-	-	4,550	-	-	4,550
Transfer to Elections Reserve	-	120	-	120	-	-
Contribution to NDP Project	-	932	932	-	-	-
Recoverable VAT	-	1,753	-	-	-	1,753
<b>Total Payments</b>	<b>6,157</b>	<b>11,014</b>	<b>4,544</b>	<b>120</b>	<b>-</b>	<b>15,439</b>
<b>Net Receipts/(Payments)</b>	<b>-432</b>	<b>408</b>	<b>1,401</b>	<b>120</b>	<b>0</b>	<b>1,929</b>
<b>Current Balance</b>		<b>3,910</b>	<b>834</b>	<b>500</b>	<b>2,519</b>	<b>7,764</b>

General Account Balance Summary		£
General Account Balance 31/03/21		3,910
add VAT Reclaim		1,753
Adjusted Balance		<b>5,663</b>
Less target balances	-	3,500
Available Funds		<b>2,163</b>

## **Aldcliffe with Stodday Parish Council**

**Meeting Date:** 4<sup>th</sup> May 2021

**Agenda Item:**

<b>10</b>
-----------

**Report of:** The Parish Clerk

### **Review of the Risk Register**

#### **1. Introduction**

Smaller local councils are statutorily required to complete an annual review of their risk management arrangements, normally at the annual meeting. Changes to meeting arrangements during 2020 in response to the Covid emergency meant that a review of the Risk Register was not undertaken during the last financial year. The current register was approved by Council on 13<sup>th</sup> August 2019.

#### **2. Detail**

A review has been completed of the Risk Register, with the proposed update attached, showing substantive changes highlighted in orange. Existing risks have been updated with any additional mitigations adopted since the last review, and two new 'Strategic and Operational' risks have been added.

The main changes are summarised as:

New risk R6 added: **Adverse impacts on residents, landowners, farmers and visitors, of recurring flooding incidents in the Parish.** Suggested risk level – 'medium'

New risk R7 added: **Potential adverse impacts on the Parish from proposed development of the neighbouring 'Bailrigg Garden Village'.** Suggested risk level – 'medium'

In other areas, actions taken by the Parish Council have generally helped to reduce risk levels and no other clearly emerging or escalating risks have been identified.

Councillors are asked to consider the draft Risk Register and make suggestions for amendments or the inclusion of any additional risks.

#### **3. Recommendations**

- (1) That, subject to any changes or additions, the draft Risk Register for 2021/22 is approved and adopted.**

# Aldcliffe with Stodday Parish Council

## Risk Assessment and Log

Review Date: **27<sup>th</sup> April 2021**

Risk No.	Description of Risk	Controls in Place / Mitigation	Low / Medium / High Risk	Actions Taken / Planned	Responsibility
<b>Strategic and Operational</b>					
R1.	Failure to represent community interest effectively in relation to matters likely to impact the parish	<p>Parish council is consulted by principal authorities and agencies.</p> <p>Membership of NALC / LALC provides a source of advice.</p> <p>Parish Council website has been established and two parish newsletters published. News items are posted on the website and notified to parishioner contacts.</p> <p>The PC has monitored and supported the activities and progress of the NDPWG.</p>	Medium	<p>The Council is to consider developing a 'Parish Plan' once the Neighbourhood Development Plan is complete.</p> <p>Consider adopting a 'Press and Media Policy'.</p>	Council / Clerk
R2.	Minutes are inaccurate and/or decisions may be illegal or ultra-vires.	<p>Meetings are conducted in accordance with standing operational procedures adopted in September 2017.</p> <p>Minutes are approved by the parish council at every meeting.</p> <p>Financial Regulations were adopted in April 2018 and reviewed in May 2019.</p>	Low	Council will support the Clerk's professional development and Councillors' attendance at training where appropriate.	Council / Clerk

Risk No.	Description of Risk	Controls in Place / Mitigation	Low / Medium / High Risk	Actions Taken / Planned	Responsibility
R3.	Compensation claim resulting from (alleged) negligent act or accidental error or omission by the council or its employee(s)	Low risk given current limited activities of parish council.  Ensure parish council decisions are based on full information including professional advice where necessary  Insurance cover established in November 2018	Low	Monitor position as parish council develops and implements plans for the parish.	Council / Clerk
R4.	Action against the council for libel or slander	Meetings are conducted in accordance with standing operational procedures adopted in September 2017.  Members' Code of Conduct adopted in June 2017  Insurance cover established in November 2018	Low	Consider adopting a Press and Media policy and a Publication Scheme.	Council / Clerk
R5.	Failure to realise community benefits of a Public Right of Way (PRoW) on Aldcliffe Hall Drive	Completed PRoW application submitted to and accepted for consideration by Lancashire CC.  Application accepted by Lancashire CC and a 'restricted byway status' conferred. Decision currently undergoing appeal process.	Low	Monitor progress with the application.	Council / Clerk
R6.	Adverse impacts on residents, landowners, farmers and visitors, of recurring flooding incidents in the Parish.	Success during 2020/21 in negotiations with United Utilities to resolve flooding of Snuff Mill Lane footpath.  Contact made with local farmer and the Morecambe Bay Wildfowlers regarding Long Mile Lane flooding/drainage issues.	Medium	Seek to extend and develop relationships with local landowners, farmers, Councils and other agencies.	Councillors / Clerk

Risk No.	Description of Risk	Controls in Place / Mitigation	Low / Medium / High Risk	Actions Taken / Planned	Responsibility
R7.	Potential adverse impacts on the Parish from proposed development of the neighbouring 'Bailrigg Garden Village'	Objections have been made to the recent City Council commissioned BGV Masterplan consultation (early 2021)	Medium	Maintain engagement. Monitor progress with the BGV plans and respond to any further proposals.	Council / Clerk
R8.	Future benefits or liabilities arising from the adoption of a section of land adjacent to the estuary cycle path.	<p>Potential for risk and future liabilities has been acknowledged.</p> <p>Advice on procedure has been sought from the Land Registry.</p> <p>Measures have now been taken (March 2021) to alleviate chronic flooding issues.</p> <p>An application with Lancashire CC has been lodged by the British Horse Society for the lane to be designated a Public Bridleway.</p>	Low	The Parish Council has confirmed its right to be consulted by Lancashire CC regarding the proposed Public Bridleway	Council / Clerk
<b>Financial</b>					
R9.	The parish council undertakes / makes a payment that is illegal / outside its powers	<p>Formal financial regulations adopted in April 2018 and reviewed in May 2019.</p> <p>Insurance cover established in November 2018.</p>	Low	Ensure councillors are aware and kept up-to-date on the legal powers of parish councils	Council / Clerk

Risk No.	Description of Risk	Controls in Place / Mitigation	Low / Medium / High Risk	Actions Taken / Planned	Responsibility
R10.	Financial records inadequately / incorrectly maintained	<p>Clerk is a qualified accountant/audit professional.</p> <p>All payments are supported by an invoice / receipt or valid claim.</p> <p>Financial accounts are checked annually by internal and external auditors</p> <p>Details of receipts and payments are reported to each meeting of the council.</p>	Low		Council / Clerk
R11.	Financial loss due to ineffective procedures or banking error	<p>Online Banking records are scrutinised regularly by Clerk and monthly reconciliations produced.</p> <p>Banking arrangements are periodically reviewed and accounts are annually reviewed by internal and external auditors.</p> <p>New banking arrangements introduced in July 2019</p>	Low	Annually review banking arrangements to ensure efficient and cost-effective arrangements.	Clerk
R12.	Loss of monies due to fraudulent act (internal or external)	<p>All payments are approved by two councillors and checked against invoices.</p> <p>All expenditure is approved by the council and accounts subject to scrutiny by council and internal and external auditors and the public (annually)</p> <p>Insurance cover established in November 2018</p>	Low		Council / Clerk



Risk No.	Description of Risk	Controls in Place / Mitigation	Low / Medium / High Risk	Actions Taken / Planned	Responsibility
R13.	Order for precept not submitted or paid by local authority. Precept is inadequate to meet plans	<p>Precept for the following year considered in January.</p> <p>Amount of precept required will be based on plans for the coming year and the forecasted difference between income and expenditure.</p> <p>A robust budget planning process has been introduced during the autumn prior to determining the required level of precept for the following year.</p> <p>Submission of precept order and receipt of monies is checked by the Clerk.</p>	Low		Council / Clerk
R14.	VAT incorrect / not reimbursed / not properly accounted for	<p>VAT analysed in accounts maintained by Clerk and scrutinised by council.</p> <p>VAT returns agreed and submitted annually. Checked by internal and external auditors.</p>	Low		Council / Clerk
R15.	Income tax / NI not properly accounted for and paid to HMRC	<p>HMRC PAYE account has been established.</p> <p>Payroll arrangements and system has been established and is operating effectively.</p>	Low		Clerk

Risk No.	Description of Risk	Controls in Place / Mitigation	Low / Medium / High Risk	Actions Taken / Planned	Responsibility
R16.	Unidentified / inadequate general and/or earmarked reserves	Levels of reserves required for the following year are considered as part of the budget process on the basis of available funds and costed plans for the coming year.  A Reserves Policy has been established during the 2019/20 budget process and is reviewed annually.	Low	A formal review of reserves and the Reserves Policy is planned once the NDP project is complete.	Council / Clerk
R17.	Risk of an election being called for on the occurrence of a 'casual vacancy' on the Council. An estimated cost of £2,500 has been advised by Lancaster City Council.	All Parish Council seats are filled following the election in May 2019.  The target level of General Reserve has been set to take account of the estimated cost of holding an election.	Low		Council / Clerk
<b>People</b>					
R18.	Councillor or employee performance may be inefficient or ineffective	An annual performance review for the Clerk has been introduced	<del>Medium</del> Low	Council will support the Clerk and Councillors' development through attendance at training where appropriate.	Council / Clerk
R19.	Loss of employee support (Clerk) through illness / early resignation etc.	Regular contact between Councillors and the Clerk ensure a positive working relationship.	Low	Monitor risk and manage as necessary	Council

Risk No.	Description of Risk	Controls in Place / Mitigation	Low / Medium / High Risk	Actions Taken / Planned	Responsibility
<b>Regulatory</b>					
R20.	Failure to comply with Accounts and Audit Regulations 2015 and the Local Audit and Accountability Act 2014	<p>Requirements of the acts specifically in relation to the annual return and audit arrangements brought to Members' attention in April 2018.</p> <p>Action Plans to ensure compliance with year-end requirements of Accounts and Audit Regulations 2015 and Local Audit and Accountability Act 2014 are implemented annually</p>	Low		Council / Clerk
R21.	Compliance with Transparency Code for Smaller Authorities (the Code)	<p>Information now published in accordance with the Code on the Parish Council's own website</p> <p>Compliance is reviewed by the Internal Auditor.</p>	Low	Periodically review compliance with the Code and the effectiveness of current publication arrangements.	Council / Clerk
R22.	Compliance with General Data Protection Regulations (GDPR)	<p>Parish Clerk designated as the Data Protection Officer.</p> <p>Data holdings and processing arrangements have been assessed and controls established to ensure compliance and mitigate the risk of any GDPR breaches.</p> <p>Data Protection Policy established in December 2018.</p>	Low		Council / Clerk

Risk No.	Description of Risk	Controls in Place / Mitigation	Low / Medium / High Risk	Actions Taken / Planned	Responsibility
R23.	Compliance with Freedom of Information Act 2000	A publication scheme setting out the classes of information that the Parish Council publishes, or intends to publish, including how that information may be obtained and any charges that may be made was established in December 2018.	Low		Council / Clerk

## **Aldcliffe with Stodday Parish Council**

**Meeting Date:** 4<sup>th</sup> May 2021

**Agenda Item:**

11
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**Report of:** The Parish Clerk

### **Review of Policies and Procedures**

#### **1. Introduction**

Recommended practice is that local councils annually review their significant policy documents, normally at the annual meeting. Changes to meeting arrangements during 2020 in response to the Covid emergency meant that this review was not undertaken during the last financial year.

#### **2. Detail**

A review has been completed of the following key policy documents to ensure they remain accurate, current and fit for purpose. The proposed draft documents are attached. In each case, any substantive changes have been highlighted in yellow. Any changes made to minor typographical issues or matters of fact, e.g. references to legislation, contact details, etc have not been highlighted:

- a) **Standing Orders** (last approved 05/06/2019)  
A number of minor changes are proposed to update and clarify the Orders to reflect the Council's procedures and working practices.
- b) **Financial Regulations** (last approved 05/06/2019)  
Two minor changes are proposed to incorporate new online banking procedures
- c) **Information Management and Data Protection Policy** (last approved 18/12/2018)  
No proposed changes
- d) **Privacy Notice** (last approved 18/12/2018)  
No proposed changes
- e) **Publication Scheme** (last approved 18/12/2018)  
One proposed change to reflect the Chairman's production of an Annual Report for 2020/21
- f) **Complaints Procedure** (last approved 18/12/2018)  
No proposed changes

Councillors are asked to consider the draft documents and proposed changes and make suggestions for any further amendments necessary.

#### **3. Recommendations**

- (1) **That, subject to any changes or additions, the following draft policy documents are approved and adopted:**
- a) Standing Orders
  - b) Financial Regulations
  - c) Information Management and Data Protection Policy
  - d) Privacy Notice
  - e) Publication Scheme
  - f) Complaints Procedure

## Standing Orders **Review, May 2021**

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Standing orders are the written rules of a local council. They are used to confirm a council's internal organisational, administrative and procurement procedures and procedural matters for meetings.

This document contains the standing orders adopted by Aldcliffe with Stodday Parish Council.

### **1. Rules of debate at meetings**

- a. Motions on the agenda shall be considered in the order that they appear unless the order is changed at the discretion of the chair of the meeting.
- b. A motion (including an amendment) shall not be progressed unless it has been moved and seconded.
- c. A motion on the agenda that is not moved by its proposer may be treated by the chair of the meeting as withdrawn.

### **2. Disorderly conduct at meetings**

- a. No person shall obstruct the transaction of business at a meeting or behave offensively or improperly. If this standing order is ignored, the chair of the meeting shall request such person(s) to moderate or improve their conduct.
- b. If person(s) disregard the request of the chair of the meeting to moderate or improve their conduct, any councillor or the chair of the meeting may move that the person be no longer heard or excluded from the meeting. The motion, if seconded, shall be put to the vote without discussion.
- c. If a resolution made under standing order 2(b) above is ignored, the chair of the meeting may take further reasonable steps to restore order or to progress the meeting. This may include temporarily suspending or closing the meeting.

### **3. Meetings generally**

- a. Meetings shall not take place in premises which at the time of the meeting are used for the supply of alcohol, unless no other premises are available free of charge or at a reasonable cost. Alcohol should not be consumed by any persons present at a meeting for the duration of the meeting.
- b. The minimum three clear days for notice of a meeting **(add) of full council** does not include the day on which notice was issued, the day of the meeting, a Sunday, a day of the Christmas break, a day of the Easter break or of a bank holiday or a day appointed for public thanksgiving or mourning.

- c. The minimum three clear days' public notice of a meeting (add) of a committee does not include the day on which the notice was issued or the day of the meeting.
- d. Meetings shall be open to the public unless their presence is prejudicial to the public interest by reason of the confidential nature of the business to be transacted or for other special reasons. The public's exclusion from part or all of a meeting shall be by a resolution which shall give reasons for the public's exclusion.
- e. Members of the public may, at the discretion of the chair of the meeting, make representations, answer questions and give evidence at a meeting which they are entitled to attend in respect of the business on the agenda.
- f. The period of time designated for public participation at a meeting in accordance with standing order 3(e) above shall not normally exceed 15 minutes unless directed by the chair of the meeting.
- g. Subject to standing order 3(f) above, a member of the public shall not normally speak for more than 5 minutes.
- h. In accordance with standing order 3(e) above, a question shall not require a response at the meeting nor start a debate on the question. The chair of the meeting may direct that a written or oral response be given.
- i. A member of the public shall raise his/her hand when requesting to speak and stand when speaking (except when a person has a disability or is likely to suffer discomfort). The chair of the meeting may at any time permit a person to be seated when speaking.
- j. Only one person is permitted to speak at a time. If more than one person wants to speak, the chair of the meeting shall direct the order of speaking.
- k. Photographing, recording, broadcasting or transmitting the proceedings of a meeting is permitted in accordance with The Openness of Local Government Bodies Regulations 2014.
- l. The press shall be provided with reasonable facilities for the taking of their report of all or part of a meeting at which they are entitled to be present.
- m. Subject to standing orders which indicate otherwise, anything authorised or required to be done by, to or before the Chair of the Council may in his absence be done by, to or before the Vice-Chair of the Council (if any).
- n. The Chair, if present, shall preside at a meeting. If the Chair is absent from a meeting, the Vice-Chair, if present, shall preside. If both the Chair and the Vice-Chair are absent from a meeting, a councillor as chosen by the councillors present at the meeting shall preside at the meeting.
- o. Subject to a meeting being quorate, all questions at a meeting shall be decided by a majority of the councillors or councillors with voting rights present and voting.
- p. The chair of a meeting may give an original vote on any matter put to the vote, and in the case of an equality of votes may exercise his/her casting vote whether or not he/she gave an original vote.

*See standing orders 5(i) and (j) below for the different rules that apply in the election of the Chair of the Council at the annual meeting of the council.*

- q. Unless standing orders provide otherwise, voting on a question shall be by a show of hands. At the request of a councillor, the voting on any question shall be recorded so as to show whether each councillor present and voting gave their vote for or against that question. Such a request shall be made before moving on to the next item of business on the agenda.
- r. The minutes of a meeting shall include an accurate record of the following:
  - i. the time and place of the meeting;
  - ii. the names of councillors present and absent;
  - iii. interests that have been declared by councillors and non-councillors with voting rights;
  - iv. whether a councillor or non-councillor with voting rights left the meeting when matters that they held interests in were being considered;
  - v. if there was a public participation session; and
  - vi. the resolutions made.
- s. A councillor or a non-councillor with voting rights who has a disclosable pecuniary interest or another interest as set out in the council's code of conduct in a matter being considered at a meeting is subject to statutory limitations or restrictions under the code on his/her right to participate and vote on that matter.
- t. No business may be transacted at a meeting unless at least one-third of the whole number of members of the council are present and in no case shall the quorum of a meeting be less than three.

*See standing order 4d(viii) below for the quorum of a committee or subcommittee meeting.*
- u. If a meeting is or becomes inquorate no business shall be transacted and the meeting shall be closed. The business on the agenda for the meeting shall be adjourned to another meeting.
- v. A meeting shall not normally exceed a period of 2 ½ hours.
- w. A meeting can be cancelled at short notice as long as notification of the cancellation is displayed on Parish Notice Boards (add) and the Council's website.

#### **4. Committees and sub-committees**

- a. Unless the council determines otherwise, a committee may appoint a subcommittee whose members shall be determined by the committee.
- b. The members of a committee may include non-councillors unless it is a committee which regulates and controls the finances of the council.



- c. Unless the council determines otherwise, all the members of an advisory committee and a sub-committee of the advisory committee may be non-councillors.
- d. The council may appoint standing committees or other committees as may be necessary, and:
  - i. shall determine the number and time of the ordinary meetings of a standing committee (which may be flexible as and when required).
  - ii. shall permit a committee, other than in respect of the ordinary meetings of a committee, to determine the number and time of its meetings;
  - iii. shall, subject to standing orders 4(b) and (c) above, appoint and determine the terms of office of members of such a committee;
  - iv. may, subject to standing orders 4(b) and (c) above, appoint and determine the terms of office of the substitute members to a committee whose role is to replace the ordinary members at a meeting of a committee.
  - v. shall permit a committee to appoint its own chair at the first meeting of the committee;
  - vi. shall determine the quorum for a meeting of a committee and a subcommittee which shall be no less than three;
  - vii. shall determine if the public may participate at a meeting of a committee;
  - viii. shall determine if the public and press are permitted to attend the meetings of a sub-committee; and
  - ix. may dissolve a committee.

## **5. Ordinary council meetings**

- a. In an election year, the annual meeting of the council shall be held on or within 14 days following the day on which the new councillors elected take office.
- b. In a year which is not an election year, the annual meeting of a council shall be held on such day in May as the council may direct.
- c. If no other time is fixed, the annual meeting of the council shall take place at 7.00pm.
- d. In addition to the annual meeting of the council, at least three other ordinary meetings shall be held in each year on such dates and times as the council directs.
- e. The first business conducted at the annual meeting of the council shall be the election of the Chair and Vice-Chair (if any) of the Council.
- f. The Chair of the Council, unless he/she has resigned or becomes disqualified, shall continue in office and preside at the annual meeting until their successor is elected at the next annual meeting of the council.

- g. The Vice-Chair of the Council, if any, unless he/she resigns or becomes disqualified, shall hold office until immediately after the election of the Chair of the Council at the next annual meeting of the council.
- h. In an election year, if the current Chair of the Council has not been re-elected as a member of the council, he/she shall preside at the meeting until a successor Chair of the Council has been elected. The current Chair of the Council shall not have an original vote in respect of the election of the new Chair of the Council but must give a casting vote in the case of an equality of votes.
- i. In an election year, if the current Chair of the Council has been re-elected as a member of the council, he/she shall preside at the meeting until a new Chair of the Council has been elected. He/she may exercise an original vote in respect of the election of the new Chair of the Council and must give a casting vote in the case of an equality of votes.
- j. Following the election of the Chair of the Council and Vice-Chair (if any) of the Council at the annual meeting of the council, the business of the annual meeting shall include:
  - i. In an election year, delivery by the Chair of the Council and councillors of their acceptance of office forms unless the council resolves for this to be done at a later date. In a year which is not an election year, delivery by the Chair of the Council of his/her acceptance of office form unless the council resolves for this to be done at a later date;
  - ii. Confirmation of the accuracy of the minutes of the last meeting of the council;
  - iii. Receipt of the minutes of the last meeting of a committee;
  - iv. Consideration of the recommendations made by a committee;
  - v. Review of delegation arrangements to committees, sub-committees, staff and other local authorities;
  - vi. Review of the terms of reference for committees;
  - vii. Appointment of members to existing committees;
  - viii. Appointment of any new committees in accordance with standing order 4 above;
  - ix. Review and adoption of appropriate standing orders and financial regulations;
  - x. Review of arrangements, including any charters and agency agreements, with other local authorities and review of contributions made to expenditure incurred by other local authorities;
  - xi. Review of representation on or work with external bodies and arrangements for reporting back;
  - xii. In an election year, to make arrangements with a view to the council becoming eligible to exercise the general power of competence in the future;

- xiii. Review of inventory of land and assets including buildings and office equipment;
- xiv. Confirmation of arrangements for insurance cover in respect of all insured risks;
- xv. Review of the council's and/or staff subscriptions to other bodies;
- xvi. Review of the council's complaints procedure;
- xvii. Review of the council's procedures for handling requests made under the Freedom of Information Act 2000 and the Data Protection Act 1998;
- xviii. Review of the council's policy for dealing with the press/media; and
- xix. Determining the time and place of ordinary meetings of the full council up to and including the next annual meeting of full council.

## **6. Extraordinary meetings of the council and committees and subcommittees**

- a. The Chair of the Council may convene an extraordinary meeting of the council at any time.
- b. If the Chair of the Council does not or refuses to call an extraordinary meeting of the council within seven days of having been requested in writing to do so by two councillors, any two councillors may convene an extraordinary meeting of the council. The public notice giving the time, place and agenda for such a meeting must be signed by the two councillors.
- c. The chair of a committee may convene an extraordinary meeting of the committee at any time.
- d. If the chair of a committee does not or refuses to call an extraordinary meeting within 7 days of having been requested by to do so by 2 members of the committee, any 2 members of the committee may convene an extraordinary meeting of a committee.

## **7. Previous resolutions**

- a. A resolution shall not be reversed within six months except either by a special motion, which requires written notice by at least 2 councillors to be given to the Clerk in accordance with standing order 9 below, or by a motion moved in pursuance of the recommendation of a committee or a sub-committee.
- b. When a motion moved pursuant to standing order 7(a) above has been disposed of, no similar motion may be moved within a further six months.

## **8. Voting on appointments**

- a. Where more than two persons have been nominated for a position to be filled by the council and none of those persons has received an absolute majority of votes in their favour, the name of the person having the least number of votes shall be struck off the list and a fresh vote taken. This process shall continue

until a majority of votes is given in favour of one person. A tie in votes may be settled by the casting vote exercisable by the chair of the meeting.

## **9. Motions for a meeting that require written notice to be given to the Clerk**

- a. A motion shall relate to the responsibilities of the meeting which it is tabled for and in any event shall relate to the performance of the council's statutory functions, powers and obligations or an issue which specifically affects the council's area or its residents.
- b. No motion may be moved at a meeting unless it is on the agenda
- c. The Clerk may, before including a motion on the agenda received in accordance with standing order 9(b) above, correct obvious grammatical or typographical errors in the wording of the motion.
- d. If the Clerk considers the wording of a motion received in accordance with standing order 9(b) above is not clear in meaning, the motion shall be rejected until the mover of the motion resubmits it in writing to the Clerk so that it can be understood at least 7 clear days before the meeting inclusive of weekends and bank holidays.
- e. If the wording or subject of a proposed motion is considered improper, the Clerk shall consult with the chair of the forthcoming meeting or, as the case may be, the councillors who have convened the meeting, to consider whether the motion shall be included in the agenda or rejected.
- f. Subject to standing order 9(e) above, the decision of the Clerk as to whether or not to include the motion on the agenda shall be final.
- g. Motions received shall be recorded in a book (add) or electronic document for that purpose and numbered in the order that they are received.
- h. Motions rejected shall be recorded in a book (add) or electronic document for that purpose with an explanation by the Clerk for their rejection.

## **10. Motions at a meeting that do not require written notice**

- a. The following motions may be moved at a meeting without written notice to the Clerk;
- b. to correct an inaccuracy in the draft minutes of a meeting;
  - i. to move to a vote;
  - ii. to defer consideration of a motion;
  - iii. to refer a motion to a particular committee or sub-committee;
  - iv. to appoint a person to preside at a meeting;
  - v. to change the order of business on the agenda;
  - vi. to proceed to the next business on the agenda;
  - vii. to require a written report;

- viii. to appoint a committee or sub-committee and their members;
- ix. to extend the time limits for speaking;
- x. to exclude the press and public from a meeting in respect of confidential or sensitive information which is prejudicial to the public interest;
- xi. to not hear further from a councillor or a member of the public;
- xii. to exclude a councillor or member of the public for disorderly conduct;
- xiii. to temporarily suspend the meeting;
- xiv. to suspend a particular standing order (unless it reflects mandatory statutory requirements);
- xv. to adjourn the meeting; or
- xvi. to close a meeting.

## **11. Handling confidential or sensitive information**

- a. The agenda, papers that support the agenda and the minutes of a meeting shall not disclose or otherwise undermine confidential or sensitive information which for special reasons would not be in the public interest.
- b. Councillors and staff shall not disclose confidential or sensitive information which for special reasons would not be in the public interest.

## **12. Draft minutes**

- a. If the draft minutes of a preceding meeting have been served on councillors with the agenda to attend the meeting at which they are due to be approved for accuracy, they shall be taken as read.
- b. There shall be no discussion about the draft minutes of a preceding meeting except in relation to their accuracy. A motion to correct an inaccuracy in the draft minutes shall be moved in accordance with standing order 10(a)(i) above.
- c. The accuracy of draft minutes, including any amendment(s) made to them, shall be confirmed by resolution and shall be signed by the chair of the meeting and stand as an accurate record of the meeting to which the minutes relate.
- d. If the chair of the meeting does not consider the minutes to be an accurate record of the meeting to which they relate, he/she shall sign the minutes and include a paragraph in the following terms or to the same effect:

*"The chair of this meeting does not believe that the minutes of the meeting of the Aldcliffe with Stodday Aldcliffe with Stodday Parish Council held on (date) in respect of agenda item (insert agenda item number) were a correct record but his/her view was not upheld by the meeting and the minutes are confirmed as an accurate record of the proceedings."*

- e. Upon a resolution which confirms the accuracy of the minutes of a meeting, the draft minutes or recordings of the meeting for which approved minutes exist shall be destroyed.

### **13. Code of conduct and dispensations** *See also standing order 3(t) above.*

- a. All councillors and non-councillors with voting rights shall observe the code of conduct adopted by the council.
- b. Unless they have been granted a dispensation, a councillor or non-councillor with voting rights shall withdraw from a meeting when it is considering a matter in which they have a disclosable pecuniary interest. They may return to the meeting after it has considered the matter in which they had the interest.
- c. Unless he/she has been granted a dispensation, a councillor or non-councillor with voting rights shall withdraw from a meeting when it is considering a matter in which they have another interest if so required by the council's code of conduct. They may return to the meeting after it has considered the matter in which they had the interest.
- d. Dispensation requests shall be in writing and submitted to the Clerk as soon as possible before the meeting, or failing that, at the start of the meeting for which the dispensation is required.
- e. A decision as to whether to grant a dispensation shall be made by the Clerk and that decision is final.
- f. A dispensation request shall confirm:
  - i. the description and the nature of the disclosable pecuniary interest or other interest to which the request for the dispensation relates;
  - ii. whether the dispensation is required to participate at a meeting in a discussion only or a discussion and a vote;
  - iii. the date of the meeting or the period (not exceeding four years) for which the dispensation is sought; and
  - iv. an explanation as to why the dispensation is sought.
- g. Subject to standing orders 13(d) and (f) above, dispensations requests shall be considered by the Clerk at the beginning of the meeting of the council, or committee or a sub-committee for which the dispensation is required.
- h. A dispensation may be granted in accordance with standing order 13(e) above if having regard to all relevant circumstances the following applies:
  - i. without the dispensation the number of persons prohibited from participating in the particular business would be so great a proportion of the meeting transacting the business as to impede the transaction of the business; or
  - ii. granting the dispensation is in the interests of persons living in the council's area; or
  - iii. it is otherwise appropriate to grant a dispensation.

## 14. Code of conduct complaints

- a. Upon notification by the District Council that it is dealing with a complaint that a councillor or non-councillor with voting rights has breached the council's code of conduct, the Clerk shall, subject to standing order 11 above, report this to the council.
- b. Where the notification in standing order 14(a) above relates to a complaint made by the Clerk, the Clerk shall notify the Chair of Council of this fact, and the Chair shall nominate a councillor to assume the duties of the Clerk in relation to the complaint until it has been determined and the council has agreed what action, if any, to take in accordance with standing order 14(d) below.
- c. The council may:
  - i. provide information or evidence where such disclosure is necessary to progress an investigation of the complaint or is required by law;
  - ii. seek information relevant to the complaint from the person or body with statutory responsibility for investigation of the matter;
- d. Upon notification by the District Council that a councillor or non-councillor with voting rights has breached the council's code of conduct, the council shall consider what, if any, action to take against him/her. Such action excludes disqualification or suspension from office.

## 15. Clerk

- a. The Clerk shall be either (i) the clerk or (ii) volunteer (councillor) nominated by the council to undertake the work of the Clerk when the Clerk is absent.
- b. The Clerk shall:
  - i. at least three clear days before a meeting of the council, a committee and a sub-committee serve on councillors, by delivery or post at their residences, (add) or by electronic communication (e.g. email), a signed summons confirming the time, place and the agenda. *See standing order 3(b) above for the meaning of clear days for a meeting of a full council and standing order 3 (c) above for a meeting of a committee.*
  - ii. give public notice of the time, place and agenda at least three clear days before a meeting of the council or a meeting of a committee or a subcommittee (provided that the public notice with agenda of an extraordinary meeting of the council convened by councillors is signed by them); *See standing order 3(b) above for the meaning of clear days for a meeting of a full council and standing order 3(c) above for a meeting of a committee.*
  - iii. subject to standing order 9 above, include on the agenda all motions in the order received unless a councillor has given written notice at least 7 days before the meeting confirming his withdrawal of it;
  - iv. convene a meeting of full council for the election of a new Chair of the Council, occasioned by a casual vacancy in his office;

- v. facilitate inspection of the minute book by local government electors;
- vi. receive and retain copies of byelaws made by other local authorities;
- vii. retain acceptance of office forms from councillors; viii. retain a copy of every councillor's register of interests;
- viii. assist with responding to requests made under the Freedom of Information Act 2000 and Data Protection Act 1998, in accordance with and subject to the council's policies and procedures relating to the same;
- ix. receive and send general correspondence and notices on behalf of the council except where there is a resolution to the contrary;
- x. liaise with both District and County Councillors on behalf of the council members to ensure that actions identified within the minutes of the council are carried out;
- xi. manage the organisation, storage of, access to and destruction of information held by the council in paper and electronic form;
- xii. arrange for legal deeds to be executed; *See also standing order 22 below.*
- xiii. arrange or manage the prompt authorisation, approval, and instruction regarding any payments to be made by the council in accordance with the council's financial regulations;
- xiv. record every planning application notified to the council and the council's response to the local planning authority in a book (add) or electronic record for such purpose;
- xv. refer a planning application received by the council to the Chair or in his/her absence the Vice-Chair of the Council within two working days of receipt ~~(delete) to facilitate a meeting of the Planning Sub-Committee~~ (add) to consider whether the nature of a planning application requires consideration before the next ordinary meeting of the council.
- xvi. manage access to information about the council via the publication scheme; and
- xvii. retain custody of the seal of the council (if any) which shall not be used without a resolution to that effect.

*See also standing order 22 below.*

## **16. Responsible Financial Officer**

- a. The council shall appoint appropriate staff member(s) to undertake the work of the Responsible Financial Officer when the Responsible Financial Officer is absent.



## **17. Accounts and accounting statements**

- a. “Proper practices” in standing orders refer to the most recent version of Governance and Accountability for Local Councils – a Practitioners’ Guide.
- b. All payments by the council shall be authorised, approved and paid in accordance with the law, proper practices and the council’s financial regulations.
- c. The Responsible Financial Officer shall supply to each councillor as soon as practicable after 30 June, 30 September and 31 December in each year a statement to summarise:
  - i. the council’s receipts and payments for each quarter;
  - ii. the council’s aggregate receipts and payments for the year to date;
  - iii. the balances held at the end of the quarter being reported and which includes a comparison with the budget for the financial year and highlights any actual or potential overspends.
- d. As soon as possible after the financial year end at 31 March, the Responsible Financial Officer shall provide:
  - i. each councillor with a statement summarising the council’s receipts and payments for the last quarter and the full year for information; and
  - ii. to the full council the accounting statements for the year in the form of Section 2 of the Annual Governance and Accountability Return (AGAR), as required by proper practices, for consideration and approval.
- e. The year end accounting statements shall be prepared in accordance with proper practices and applying the form of accounts determined by the council (receipts and payments, or income and expenditure) for a year to 31 March. A completed draft annual return shall be presented to each councillor before the end of the following month of May. The annual return of the council, which is subject to external audit, including the annual governance statement, shall be presented to council for consideration and formal approval before 30 June.

## **18. Financial controls and procurement**

- a. The council shall consider and approve financial regulations drawn up by the Responsible Financial Officer, which shall include detailed arrangements in respect of the following:
  - i. the keeping of accounting records and systems of internal controls;
  - ii. the assessment and management of financial risks faced by the council;
  - iii. the work of the independent internal auditor in accordance with proper practices and the receipt of regular reports from the internal auditor, which shall be required at least annually;

- iv. the inspection and copying by councillors and local electors of the council's accounts and/or orders of payments; and
  - v. procurement policies (subject to standing order 18(c) below) including the setting of values for different procedures where a contract has an estimated value of less than £5,000.
- b. Financial regulations shall be reviewed regularly and at least annually for fitness of purpose.
- c. Financial regulations shall confirm that a proposed contract for the supply of goods, materials, services and the execution of works with an estimated value in excess of £5,000 shall be procured on the basis of a formal tender as summarised in standing order 18(d) below.
- d. Subject to additional requirements in the financial regulations of the council, the tender process for contracts for the supply of goods, materials, services or the execution of works shall include, as a minimum, the following steps:
  - i. a specification for the goods, materials, services or the execution of works shall be drawn up;
  - ii. an invitation to tender shall be drawn up to confirm the council's specification, the time, date and address for the submission of tenders, the date of the council's written response to the tender and the prohibition on prospective contractors contacting councillors or staff to encourage or support their tender outside the prescribed process;
  - iii. the invitation to tender shall be advertised in a local newspaper and in any other manner that is appropriate;
  - iv. tenders are to be submitted in writing in a sealed marked envelope addressed to the Clerk;
  - v. tenders shall be opened by the Clerk in the presence of at least one councillor after the deadline for submission of tenders has passed;
  - vi. tenders are to be reported to and considered by the appropriate meeting of the council or a committee or sub-committee with delegated responsibility.
- e. Neither the council, nor a committee or a sub-committee with delegated responsibility for considering tenders, is bound to accept the lowest value tender.
- f. Where the value of a contract is likely to exceed £138,893 (or other threshold specified by the Office of Government Commerce from time to time) the council must consider whether the Public Contracts Regulations 2006 (SI No. 5, as amended) and the Utilities Contracts Regulations 2006 (SI No. 6, as amended) apply to the contract and, if either of those Regulations apply, the council must comply with EU procurement rules.

## **19. Handling staff matters**

- a. A matter personal to a member of staff that is being considered by a meeting of council is subject to standing order 11 above.
- b. The Clerk shall notify the chair or, if he/she is not available, the vice-chair of any absence occasioned by illness or other reason and that person shall report such absence to council at its next meeting.
- c. The chair or in his/her absence, the vice-chair shall upon a resolution conduct a review of the performance and annual appraisal of the work of the Clerk. The reviews and appraisal shall be reported in writing and is subject to approval by resolution by the council.
- d. The Clerk shall contact the chair or in his/her absence, the vice-chair in respect of an informal or formal grievance matter, and this matter shall be progressed in line with the council's grievance procedure.
- e. If an informal or formal grievance matter raised by the Clerk relates to the chair or vice-chair of the council, this shall be communicated to another member of the council which shall be reported back and progressed in line with the council's grievance procedure.
- f. Any persons responsible for all or part of the management of the Clerk shall treat the written records of all meetings relating to their performance, capabilities, grievance or disciplinary matters as confidential and secure.
- g. The council shall keep all written records relating to the Clerk secure. All paper records shall be secured and locked and electronic records shall be password protected.
- h. Only persons with line management responsibilities shall have access to staff records referred to in standing orders 19(f) and (g) above if so justified.
- i. Access and means of access by keys and/or computer passwords to records of employment referred to in standing orders 19(f) and (g) above shall be provided only to the Clerk and the Chair of the Council.

## **20. Requests for information**

- a. Requests for information held by the council shall be handled in accordance with the council's policy in respect of handling requests under the Freedom of Information Act 2000 and the Data Protection Act 1998.
- b. Correspondence from, and notices served by, the Information Commissioner shall be referred by the Clerk to the chair of the council. The council has the power to do anything to facilitate compliance with the Freedom of Information Act 2000.

## **21. Relations with the press/media**

- a. Requests from the press or other media for an oral or written comment or statement from the Council, its councillors or staff shall be handled in accordance with the Council's policy in respect of dealing with the press and/or other media.

## **22. Execution and sealing of legal deeds**

*See also standing orders 15(b) (xii) and (xvii) above.*

- a. A legal deed shall not be executed on behalf of the council unless authorised by a resolution.
- b. Subject to standing order 22(a) above, any two councillors may sign, on behalf of the council, any deed required by law and the Clerk shall witness their signatures.

## **23. Communicating with District and County or Unitary councillors**

- a. An invitation to attend a meeting of the council shall be sent, together with the agenda, to the ward councillor(s) of Lancaster City Council and Lancashire County Council representing the area of the council.
- b. Unless the council determines otherwise, a copy of each letter sent to Lancaster City Council and Lancashire County Council shall be sent to the ward councillor(s) representing the area of the council.

## **24. Restrictions on councillor activities**

- a. Unless authorised by a resolution, no councillor shall:
  - i. inspect any land and/or premises which the council has a right or duty to inspect; or
  - ii. issue orders, instructions or directions.

## **25. Standing orders generally**

- a. All or part of a standing order, except one that incorporates mandatory statutory requirements, may be suspended by resolution in relation to the consideration of an item on the agenda for a meeting.
- b. A motion to add to or vary or revoke one or more of the council's standing orders, except one that incorporates mandatory statutory requirements, shall be proposed by a special motion, the written notice by at least 3 councillors to be given to the Clerk in accordance with standing order 9 above.
- c. The Clerk shall provide a copy of the council's standing orders to a councillor as soon as possible after he has delivered his acceptance of office form.
- d. The decision of the chair of a meeting as to the application of standing orders at the meeting shall be final.

**Approved: 5<sup>th</sup> June 2019**

**Review due: May 2020**

## FINANCIAL REGULATIONS

### 1. GENERAL

- 1.1 These financial regulations govern the conduct of financial management by the Council and may only be amended or varied by resolution of the Council. The council is responsible in law for ensuring that its financial management is adequate and effective and that the council has a sound system of financial control which facilitates the effective exercise of the council's functions, including arrangements for the management of risk and for the prevention and detection of fraud and corruption. These financial regulations are designed to demonstrate how the council meets these responsibilities.
- 1.2 The Responsible Financial Officer (RFO) is a statutory office and shall be appointed by the council. The Clerk has been appointed as RFO for this council and these regulations will apply accordingly. The RFO, acting under the policy direction of the Council, shall administer the Council's financial affairs in accordance with proper practices. The RFO shall determine on behalf of the council its accounting records, and accounting control systems. The RFO shall ensure that the accounting control systems are observed and that the accounting records of the council are maintained and kept up to date in accordance with proper practices.
- 1.3 The RFO shall produce financial management information as required by the council.
- 1.4 At least once a year, prior to approving the annual return, the council shall conduct a review of the effectiveness of its system of internal control which shall be in accordance with proper practices.
- 1.5 In these financial regulations, references to the Accounts and Audit Regulations shall mean the 2015 Regulations.
- 1.6 In these financial regulations the term 'proper practice' or 'proper practices' shall refer to guidance issued in Governance and Accountability in local Councils in England and Wales – a Practitioners' Guide which is published jointly by NALC and SLCC and updated from time to time.

### 2. ANNUAL ESTIMATES (BUDGET)

- 2.1 The Clerk shall formulate and submit proposals to the Council in respect of revenue and capital including the use of reserves and sources of funding for the following financial year not later than the end of December each year.
- 2.2 Detailed estimates of all receipts and payments including the use of reserves and all sources of funding for the year shall be prepared each year by the RFO in the form of a budget to be considered by the council.
- 2.3 The Council shall review the budget not later than the end of January each year and shall fix the Precept to be levied for the ensuing financial year. The RFO shall issue the precept to the billing authority and shall supply each member with a copy of the approved budget.

- 2.4 The annual budgets shall form the basis of financial control for the ensuing year.
- 2.5 The Council shall consider the need for and shall have regard to a three-year forecast of Revenue and Capital Receipts and Payments which may be prepared at the same time as the annual Budget.

### **3. BUDGETARY CONTROL**

- 3.1 Expenditure on revenue items may be incurred up to the amounts included for that class of expenditure in the approved budget.
- 3.2 No expenditure may be incurred that will exceed the amount provided in the revenue budget for that class of expenditure. During the budget year and with the approval of council having considered fully the implications for public services, unspent and available amounts may be moved to other budget headings or to an earmarked reserve as appropriate.
- 3.3 The RFO shall regularly provide the Council with a statement of receipts and payments to date under each head of the budgets, comparing actual expenditure to the appropriate date against that planned as shown in the budget. These statements are to be prepared at least at the end of each financial quarter.
- 3.4 The Clerk may incur expenditure on behalf of the Council which is necessary to carry out any repair replacement or other work which is of such extreme urgency that it must be done at once, whether or not there is any budgetary provision for the expenditure, subject to a limit of £500. The Clerk shall report the action to the Council as soon as practicable thereafter.
- 3.5 Unspent provisions in the revenue budget shall not be carried forward to a subsequent year unless placed in an earmarked reserve by resolution of the council.
- 3.6 No expenditure shall be incurred in relation to any capital project and no contract entered into or tender accepted involving capital expenditure unless the Council is satisfied that the necessary funds are available, or the requisite borrowing approval has been obtained.
- 3.7 All capital works shall be administered in accordance with the Council's standing orders and financial regulations relating to contracts.

### **4. ACCOUNTING AND AUDIT**

- 4.1 All accounting procedures and financial records of the Council shall be determined by the RFO in accordance with the Accounts and Audit Regulations and any subsequent amendments thereto.
- 4.2 The RFO shall complete the annual financial statements of the Council, including the council's annual return, as soon as practicable after the end of the financial year and shall submit them and report thereon to the Council.
- 4.3 The RFO shall complete the Accounts of the Council contained in the Annual Return (as supplied by the Auditor appointed from time to time by the Audit Commission) and shall submit the Annual Return for approval and authorisation by the Council within the timescales set by the Accounts and Audit Regulations or set by the Auditor.

- 4.4 The RFO shall ensure that there is adequate and effective system of internal audit of the Council's accounting, financial and other operations in accordance with Regulation 5 of the Accounts and Audit Regulations and any subsequent amendments thereto. Any officer or member of the Council shall, if the RFO or Internal Auditor requires, make available such documents of the Council which appear to the RFO or Internal Auditor to be necessary for the purpose of the internal audit and shall supply the RFO or Internal Auditor with such information and explanation as the RFO or Internal Auditor considers necessary for that purpose.
- 4.5 The Internal Auditor shall be appointed by and shall carry out the work required by the council in accordance with proper practices. The Internal Auditor, who shall be competent and independent of the operations of the Council, shall report to Council in writing, or in person, on a regular basis with a minimum of one annual written report in respect of each financial year. In order to demonstrate objectivity and independence, the internal auditor shall be free from any conflicts of interest and have no involvement in the financial decision making, management or control of the council.
- 4.6 The RFO shall make arrangements for the opportunity for inspection of the accounts, books, and vouchers and for the display or publication of any Notices and statements of account required by Audit Commission Act 1998 and the Accounts and Audit Regulations, and any subsequent amendments thereto.
- 4.7 The RFO shall, as soon as practicable, bring to the attention of all councillors any correspondence or report from the Internal or External Auditor, unless the correspondence is of a purely administrative matter.

## **5. BANKING ARRANGEMENTS AND CHEQUES**

- 5.1 The Council's banking arrangements, including the Bank Mandate, shall be made by the RFO and approved by the Council. They shall be regularly reviewed for efficiency.
- 5.2 A schedule of the payments required, forming part of the Agenda for the Meeting shall be prepared by the RFO and, together with the relevant invoices, be presented to Council. If the schedule is in order it shall be authorised by a resolution of the Council and shall be initialled by the Chairman of the Meeting. If more appropriate the detail may be shown in the Minutes of the Meeting.
- 5.3 Cheques drawn on the bank account in accordance with the schedule referred to in paragraph 5.2 or in accordance with paragraph 6.4, shall be signed by two members of Council. (add) Similarly, any electronic banking arrangements must ensure that all payments or transfers are approved by two members of Council.
- 5.4 To indicate agreement of the details shown on the cheque or order for payment with the counterfoil and the invoice or similar documentation, the signatories shall each also initial the cheque counterfoil and the invoice if applicable.



## **6. PAYMENT OF ACCOUNTS**

- 6.1 All payments shall be effected by (add) electronic funds transfer (BACS), cheque or other order drawn on the Council's bankers.
- 6.2 All invoices for payment shall be examined, verified and certified by the Clerk. The Clerk shall satisfy him/herself that the work, goods or services to which the invoice relates shall have been received, carried out, examined and approved.
- 6.3 The RFO shall examine invoices in relation to arithmetic accuracy and shall analyse them to the appropriate expenditure heading. The Clerk shall take all steps to settle all invoices submitted, and which are in order, at the next available Council Meeting.
- 6.4 If a payment is necessary to avoid a charge to interest under the Late Payment of Commercial Debts (Interest) Act 1998, and the due date for payment is before the next scheduled Meeting of Council, where the Clerk and RFO certify that there is no dispute or other reason to delay payment, the Clerk may (notwithstanding para 6.3) take all steps necessary to settle such invoices provided that a list of such payments shall be submitted to the next appropriate meeting of Council.
- 6.5 The Council will not maintain any form of cash float. All cash received must be banked intact. Any payments made in cash by the Clerk or RFO (for example for postage or minor stationery items) shall be refunded on a regular basis, at least quarterly.

## **7. PAYMENT OF SALARIES**

- 7.1 As an employer, the council shall make arrangements to meet fully the statutory requirements placed on all employers by PAYE and National Insurance legislation. The payment of all salaries shall be made in accordance with payroll records and the rules of PAYE and National Insurance currently operating, and salaries shall be as agreed by Council.
- 7.2 Payment of salaries and payment of deductions from salary such as may be made for tax, national insurance and pension contributions, may be made in accordance with the payroll records and on the appropriate dates stipulated in employment contracts, provided that each payment is reported to and ratified by the next available Council Meeting.

## **8. LOANS AND INVESTMENTS**

- 8.1 All loans and investments shall be negotiated in the name of the Council and shall be for a set period in accordance with Council policy.
- 8.2 The council shall consider the need for an Investment Policy which, if drawn up, shall be in accordance with relevant regulations, proper practices and guidance. Any Policy shall be reviewed at least annually.
- 8.3 All investments of money under the control of the Council shall be in the name of the Council.



- 8.4 All borrowings shall be effected in the name of the Council, after obtaining any necessary borrowing approval. Any application for borrowing approval shall be approved by Council as to terms and purpose. The terms and conditions of borrowings shall be reviewed at least annually.
- 8.5 All investment certificates and other documents relating thereto shall be retained in the custody of the RFO.

## **9. INCOME**

- 9.1 The collection of all sums due to the Council shall be the responsibility of and under the supervision of the RFO.
- 9.2 Particulars of all charges to be made for work done, services rendered or goods supplied shall be agreed annually by the Council, notified to the RFO and the RFO shall be responsible for the collection of all accounts due to the Council.
- 9.3 The Council will review all fees and charges annually, following a report of the Clerk.
- 9.4 Any sums found to be irrecoverable and any bad debts shall be reported to the Council and shall be written off in the year.
- 9.5 All sums received on behalf of the Council shall be banked intact as directed by the RFO. In all cases, all receipts shall be deposited with the Council's bankers with such frequency as the RFO considers necessary.
- 9.6 The origin of each receipt shall be entered on the paying-in slip.
- 9.7 Personal cheques shall not be cashed out of money held on behalf of the Council.
- 9.8 The RFO shall promptly complete any VAT Return that is required. Any claim for repayment due in accordance with VAT Act 1994 section 33 shall be made at least annually coinciding with the financial year end.
- 9.9 Where any significant sums of cash are regularly received by the Council, the RFO shall take such steps as are agreed by the Council to 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 such as ticket issues, and that appropriate care is taken in the security and safety of individuals banking such cash.

## **10. ORDERS FOR WORK, GOODS AND SERVICES**

- 10.1 An official order, letter or email shall be issued for all work, goods and services unless a formal contract is to be prepared or an official order would be inappropriate. Copies of orders shall be retained.
- 10.2 Order books shall be controlled by the RFO.
- 10.3 All members and Officers are responsible for obtaining value for money at all times. An officer issuing an official order shall ensure as far as reasonable and practicable that the best available terms are obtained in respect of each transaction, usually by obtaining three or more quotations or estimates from appropriate suppliers, subject to any de minimis provisions in Regulation 11.1 below.

- 10.4 The RFO shall verify the lawful nature of any proposed purchase before the issue of any order, and in the case of new or infrequent purchases or payments, the RFO shall ensure that the statutory authority shall be reported to the meeting at which the order is approved so that the Minutes can record the power being used.

## 11. **CONTRACTS**

11.1 Procedures as to contracts are laid down as follows:

- (a) Every contract shall comply with these financial regulations, and no exceptions shall be made otherwise than in an emergency provided that these regulations shall not apply to contracts which relate to items (i) to (vi) below:
  - (i) for the supply of gas, electricity, water, sewerage and telephone services;
  - (ii) for specialist services such as are provided by solicitors, accountants, surveyors and planning consultants;
  - (iii) for work to be executed or goods or materials to be supplied which consist of repairs to or parts for existing machinery or equipment or plant;
  - (iv) for work to be executed or goods or materials to be supplied which constitute an extension of an existing contract by the Council;
  - (v) for additional audit work of the external Auditor up to an estimated value of £250 (in excess of this sum the Clerk and RFO shall act after consultation with the Chairman and Vice Chairman of Council);
  - (vi) for goods or materials proposed to be purchased which are proprietary articles and/or are only sold at a fixed price.
- (b) Where it is intended to enter into a contract exceeding £5,000 in value for the supply of goods or materials or for the execution of works or specialist services other than such goods, materials, works or specialist services as are excepted as set out in paragraph (a) the Clerk shall invite tenders from at least three firms in accordance with Standing Orders (para 18(d)).
- (c) When applications are made to waive financial regulations relating to contracts to enable a price to be negotiated without competition the reason shall be embodied in a recommendation to the Council.
- (d) Such invitation to tender shall state the general nature of the intended contract and the Clerk shall obtain the necessary technical assistance to prepare a specification in appropriate cases. The invitation shall in addition state that tenders must be addressed to the Clerk in the ordinary course of post. 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.
- (e) All sealed tenders shall be opened at the same time on the prescribed date by the Clerk in the presence of at least one member of Council.
- (f) If less than three tenders are received for contracts above £5,000 or if all the tenders are identical the Council may make such arrangements as it thinks fit for procuring the goods or materials or executing the works.

- (g) When it is to enter into a contract less than £5,000 in value for the supply of goods or materials or for the execution of works or specialist services other than such goods, materials, works or specialist services as are excepted as set out in paragraph (a) the RFO shall obtain 3 quotations (priced descriptions of the proposed supply); where the value is below £1,000 and above £100 the RFO shall strive to obtain 3 estimates. Otherwise, Regulation 10.3 above shall apply.
- (h) The Council shall not be obliged to accept the lowest or any tender, quote or estimate and will, in normal circumstances accept the most advantageous tender based on quality and price.

## **12. PAYMENTS UNDER CONTRACTS FOR BUILDING OR OTHER CONSTRUCTION WORKS**

- 12.1 Payments on account of the contract sum shall be made within the time specified in the contract by the RFO upon authorised certificates of the architect or other consultants engaged to supervise the contract (subject to any percentage withholding as may be agreed in the particular contract).
- 12.2 Where contracts provide for payment by instalments the RFO shall maintain a record of all such payments. In any case where it is estimated that the total cost of work carried out under a contract, excluding agreed variations, will exceed the contract sum of 5% or more a report shall be submitted to the Council.
- 12.3 Any variation to a contract or addition to or omission from a contract must be approved by the Council and Clerk to the Contractor in writing, the Council being informed where the final cost is likely to exceed the financial provision.

## **13. ASSETS, PROPERTIES AND ESTATES**

- 13.1 The RFO shall ensure that an appropriate and accurate Register of Assets and Investments is kept up to date. 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.
- 13.2 No property shall be sold, leased or otherwise disposed of without the authority of the Council, together with any other consents required by law, save where the estimated value of any one item of tangible movable property does not exceed £50.

## **14. INSURANCE**

- 14.1 Following the annual risk assessment (per Financial Regulation 15), the Clerk shall effect all insurances and negotiate all claims on the Council's insurers.
- 14.2 The RFO shall give prompt notification to insurers of all new risks, properties or vehicles which require to be insured and of any alterations affecting existing insurances.
- 14.3 The RFO shall keep a record of all insurances effected by the Council and the property and risks covered thereby and annually review it.
- 14.4 The RFO shall be notified of any loss liability or damage or of any event likely to lead to a claim, and shall report these to Council at the next available meeting.

- 14.5 The RFO and any other appropriate employees of the Council shall be included in a suitable fidelity guarantee insurance which shall cover the maximum risk exposure as determined by the Council.

## **15. RISK MANAGEMENT**

- 15.1 The RFO shall prepare and promote risk management policy statements in respect of all activities of the Council.
- 15.2 When considering any new activity the RFO shall prepare a draft Risk Management policy for the activity and shall bring a draft addressing the legal and financial liabilities and Risk Management issues that arise to Council for consideration and, if thought appropriate, adoption.
- 15.3 The Council shall carry out a Risk Assessment on an annual basis in accordance with the Accounts and Audit Regulations and any subsequent amendments thereto. The minutes shall record such review of the Council's financial and other risks.

## **16. REVISION OF FINANCIAL REGULATIONS**

- 16.1 It shall be the duty of the Council to review the Financial Regulations of the Council from time to time. The Clerk shall make arrangements to monitor changes in legislation or proper practices and shall advise the council of any requirement for a consequential amendment to these financial regulations.

\* \* \* \*

Clerk D. Whiteway

Date 5<sup>th</sup> June 2019

Chairman N. Webster

Date 5<sup>th</sup> June 2019

## Information Management and Data Protection Policy

### 1. Introduction

To conduct its business, services and duties, Aldcliffe with Stodday Parish Council (the Council) processes a wide range of data, relating to its own operations and some which it handles on behalf of partners. In broad terms, this data can be classified as:

- Data shared in the public arena about the services it offers, its mode of operations and other information it is required to make available to the public;
- Confidential information and data not yet in the public arena such as ideas or policies that are being worked up;
- Confidential information about other organisations because of commercial sensitivity;
- Personal data concerning its current, past and potential employees, Councillors, and volunteers;
- Personal data concerning individuals who contact it for information, to access its services or facilities or to make a complaint.

The Council will adopt procedures and manage responsibly all data which it handles and will respect the confidentiality of its own data; data belonging to partner organisations it works with and data belonging to members of the public. In some cases, we will have contractual obligations governing confidential data, but in addition we will have specific legal responsibilities for personal and sensitive information under data protection legislation.

The Council will periodically review and revise this policy in the light of experience, comments from data subjects and guidance from the Information Commissioners Office.

The Council will be as transparent as possible about its operations and will work closely with public, community and voluntary organisations. In being transparent about our activities and functions, for all information which is not personal or confidential, we will be prepared to make it available to partners and local communities. Details of information which is routinely available is contained in the Council's Publication Scheme, which is based on the statutory model publication scheme for local councils.

### 2. Protecting Confidential or Sensitive Information

The Council recognises it must at times, keep and process sensitive and personal information about both employees and the public. We have, therefore, adopted this policy not only to meet our legal obligations but also to ensure high standards.

The General Data Protection Regulation (GDPR), which became law on 25<sup>th</sup> May 2018, sets out the responsibilities of organisations and how they can strike a balance between the rights of individuals and the, sometimes competing, interests of those, such as the Council, with legitimate reasons for using personal information.

# Information Management and Data Protection Policy

## 3. Personal Data

This policy is based on the principles that personal data must be:

- Processed fairly, lawfully and in a transparent manner in relation to the data subject;
- Collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes;
- Adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed;
- Accurate and, where necessary, kept up to date;
- Kept in a form that permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed;
- Processed in a manner that ensures appropriate security of the personal data including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures.

The Council processes personal data to:

- fulfil its duties as an employer by complying with the terms of contracts of employment, safeguarding the employee and maintaining information required by law;
- pursue the legitimate interests of its business and its duties as a public body, by fulfilling contractual terms with other organisations, and maintaining information required by law;
- monitor its activities including the equality and diversity of its activities;
- fulfil its duties in operating the business premises including security;
- assist regulatory and law enforcement agencies;
- process information including the recording and updating details about its Councillors, employees, partners and volunteers;
- process information including the recording and updating of details about individuals who contact it for information, or to access a service, or make a complaint;
- undertake surveys, censuses and questionnaires to fulfil the objectives and purposes of the Council;
- undertake research, audit and quality improvement work to fulfil its objects and purposes; and
- carry out Council administration.

Where appropriate, and governed by necessary safeguards, we may carry out the above processing jointly with other appropriate bodies from time to time.

# Information Management and Data Protection Policy

The Council will ensure that **at least one of the following conditions is met for personal information to be considered fairly processed:**

- The individual has consented to the processing;
- Processing is necessary for the performance of a contract or agreement with the individual;
- Processing is required under a legal obligation;
- Processing is necessary to protect the vital interests of the individual;
- Processing is necessary to carry out public functions;
- Processing is necessary to pursue the legitimate interests of the Council or third parties.

Particular attention is paid to the processing of any **sensitive personal information** and the Council will ensure that **at least one of the following conditions is met:**

- Explicit consent of the individual;
- Required by law to process the data for employment purposes;
- A requirement to protect the vital interests of the individual or another person

## 4. Diversity Monitoring

The Council monitors the diversity of its employees, and Councillors, in order to ensure that there is no inappropriate or unlawful discrimination in the way it conducts its activities. It undertakes similar data handling in respect of prospective employees. This data will always be treated as confidential. It will only be accessed by authorised individuals within the Council and will not be disclosed to any other bodies or individuals. Diversity information will never be used as selection criteria and will not be made available to others involved in the recruitment process. Anonymised data derived from diversity monitoring will be used for monitoring purposes and may be published and passed to other bodies.

The Council will always give guidance on personnel data to employees, Councillors, partners and volunteers through a Privacy Notice and ensure that individuals on whom personal information is kept are aware of their rights and have easy access to that information on request.

Appropriate technical and organisational measures will be taken against unauthorised or unlawful processing of personal data and against accidental loss or destruction of, or damage to, personal data.

Personal data **shall not** be transferred to a country or territory outside the European Economic Areas unless that country or territory ensures an adequate level of protection for the rights and freedoms of data subjects in relation to the processing of personal data.

## 5. Information provided to us

The information provided (personal information such as name, address, email address, phone number) will be processed and stored so that it is possible for us to contact,



# Information Management and Data Protection Policy

respond to or conduct the transaction requested by the individual. By transacting with the Council, individuals are deemed to be giving consent for their personal data provided to be used and transferred in accordance with this policy, however, wherever possible specific written consent will be sought. It is the responsibility of those individuals to ensure that the Council is able to keep their personal data accurate and up to date. The personal information will be not shared or provided to any other third party or be used for any purpose other than that for which it was provided.

## 6. The Council's Right to Process Information

The Council's right to process information is set out in the General Data Protection Regulations (and Data Protection Act) Article 6 (1) (a) (b) and (e), provided that:

- Processing is with consent of the data subject; or
- Processing is necessary for compliance with a legal obligation; or
- Processing is necessary for the legitimate interests of the Council.

## 7. Information Security

The Council takes care to ensure the security of personal data. We make sure that your information is protected from unauthorised access, loss, manipulation, falsification, destruction or unauthorised disclosure. This is done through appropriate technical measures and appropriate policies. We will only keep your data for the purpose for which it was collected, and only for as long as is necessary, after which it will be deleted.

## 8. Children

The Parish Council does not anticipate a need to process children's information. If this does become necessary, we will not process any data relating to a child (defined as under 18) without the express consent of the child's parent or guardian.

## 9. Rights of a Data Subject

**Access to Information:** An individual has the right to request access to the information we have on them. They can do this by contacting our Parish Clerk: The Council will ensure that individuals on whom personal information is kept are aware of their rights and have easy access to that information on request.

**Information Correction:** If an individual believes that the information we have about them is incorrect, they may contact us so that we can update it and keep their data accurate. Please contact the Parish Clerk.

**Information Deletion:** If the individual wishes the Council to delete the information about them, they can request this by contacting the Parish Clerk.

**Right to Object:** If an individual believes their data is not being processed for the purpose it has been collected for, they may object by contacting the Parish Clerk.



# Information Management and Data Protection Policy

**Complaints:** If an individual has a complaint regarding the way their personal data has been processed, they may make a complaint to the Parish Clerk or the Information Commissioners Office [casework@ico.org.uk](mailto:casework@ico.org.uk) Tel: 0303 123 1113.

## 10. Making Information Available

The **Publication Scheme** is a means by which the Council can make a significant amount of information available routinely, without waiting for someone to specifically request it. The scheme is intended to encourage local people to take an interest in the work of the Council and its role within the community. In accordance with the provisions of the Freedom of Information Act 2000, this Scheme specifies the classes of information which the Council publishes or intends to publish.

All formal meetings of Council and its committees are subject to statutory notice being given on notice boards and the Website. All formal meetings are open to the public and press and reports to those meetings and relevant background papers are available for the public to see. The Council welcomes public participation and has a public participation session on each Council and committee meeting. Details can be seen in the Council's Standing Orders, which are available on its Website or from the Parish Clerk.

Occasionally, Council or committees may need to consider matters in private - examples of this are matters involving personal details of staff, or a member of the public, or where details of commercial/contractual sensitivity are to be discussed. This will only happen after a formal resolution has been passed to exclude the press and public and reasons for the decision are stated. Minutes from all formal meetings, including the confidential parts are public documents.

The Openness of Local Government Bodies Regulations 2014 requires written records to be made of certain decisions taken by officers under delegated powers. These are not routine operational and administrative decisions, such as giving instructions to the workforce or paying an invoice approved by Council but would include urgent action taken after consultation with the Chairman, such as responding to a planning application in advance of Council. In other words, decisions which would have been made by Council or committee had the delegation not been in place.

The 2014 Regulations also amend the Public Bodies (Admission to Meetings) Act 1960 to allow the public or press to film, photograph or make an audio recording of council and committee meetings normally open to the public. The Council will where possible facilitate such recording unless it is being disruptive. It will also take steps to ensure that children, the vulnerable and members of the public who object to being filmed are protected without undermining the broader purpose of the meeting.

The Council will be pleased to make special arrangements on request for persons who do not have English as their first language or those with hearing or sight difficulties.

## 11. Disclosure Information

The Council will as necessary undertake checks on both staff and Members with the Disclosure and Barring Service and will comply with their Code of Conduct relating to the

# Information Management and Data Protection Policy

secure storage, handling, use, retention and disposal of Disclosures and Disclosure Information

## 12. Data Transparency

Government has issued a Code of Recommended Practice on Transparency, compliance with which is compulsory for Parish Councils with turnover (gross income or gross expenditure) not exceeding £25,000 per annum. Aldcliffe with Stodday Parish Council falls into this category and will therefore ensure the following information is published on its Website, for ease of access:

- All transactions above £100.
- End of year accounts
- Annual Governance Statements
- Internal Audit Reports
- List of Councillor or Member responsibilities
- Details of public land and building assets
- Draft minutes of Council and committees within one month
- Agendas and associated papers no later than three clear days before the meeting.

# Information Management and Data Protection Policy

## Glossary of Data Protection Terminology

**Data subject** - means the person whose personal data is being processed. This may be an employee, prospective employee, associate or prospective associate of Aldcliffe with Stodday Parish Council or someone transacting with it in some way, or an employee, Member or volunteer with one of our clients.

**Personal data** - means any information relating to person or data subject that can be used directly or indirectly to identify the person. It can be anything from a name, a photo, and an address, date of birth, an email address, bank details, and posts on social networking sites or a computer IP address.

**Sensitive personal data** - includes information about racial or ethnic origin, political opinions, and religious or other beliefs, trade union membership, medical information, sexual orientation, genetic and biometric data or information related to offences or alleged offences where it is used to uniquely identify an individual.

**Data controller** - means a person who (either alone or jointly or in common with other persons) determines the purposes for which, and the way in which any personal data is to be processed. Parish Councils are exempt from appointing a data controller, but our data will be administered and managed by the Parish Clerk on the Council's behalf.

**Data processor** - in relation to personal data, means any person (other than an employee of the data controller) who processes the data on behalf of the data controller.

**Processing information or data** - means obtaining, recording or holding the information or data or carrying out any operation or set of operations on the information or data, including:

- organising, adapting or altering it;
- retrieving, consulting or using the information or data;
- disclosing the information or data by transmission, dissemination or otherwise making it available;
- aligning, combining, blocking, erasing or destroying the information or data. regardless of the technology used.

## Who is responsible for protecting a person's personal data?

The Parish Council as a corporate body has ultimate responsibility for ensuring compliance with the Data Protection legislation. The Council has delegated this responsibility day to day to the Parish Clerk.

Email: [clerk@aldcliffewithstoddaypc.org](mailto:clerk@aldcliffewithstoddaypc.org)

Phone: 01524 64908

*Version 1.01 Review*

*Version 1.0 Adopted by the Parish Council: 18<sup>th</sup> December 2018*

*Review Date: 27/04/21*

## Privacy Notice

**When you contact us :** The information you provide (personal information such as name, address, email address, phone number, organisation) will be processed and stored by Aldcliffe with Stodday Parish Council (the Council) to enable us to contact you and respond to your correspondence, provide information and/or allow you access to our facilities and services. Your personal information will be not shared or provided to any other third party.

**The Council's Right to Process Information:** The Council's right to process information is set out in the General Data Protection Regulations Article 6 (1) (a) (b) and (e). The Council will only process information where:

- Processing is with consent of the data subject; or
- Processing is necessary for compliance with a legal obligation; or
- Processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.

**Information Security:** The Council has a duty to ensure the security of personal data. We make sure that your information is protected from unauthorised access, loss, manipulation, falsification, destruction or unauthorised disclosure. This is done through appropriate technical measures and appropriate policies. Copies of these policies can be requested.

We will only keep your data for the purpose for which it was collected, and only for as long as is necessary. Once this period elapses, the data will be deleted. You may request the deletion of your data held by the Council at any time.

**Children:** The Parish Council does not anticipate a need to process children's information. If this does become necessary, we will not process any data relating to a child (defined as under 18) without the express consent of the child's parent or guardian.

**Access to Information:** You have the right to request access to the information the Parish Council holds on you. You can do this by contacting the Parish Clerk using the contact details provided below.

**Information Correction:** If you believe that the information we hold about you is incorrect, you may contact us so that we can update it and keep your data accurate. Please contact the Parish Clerk to request this.

**Information Deletion:** If you wish the Council to delete the information about you please contact the Parish Clerk to request this.

**Right to Object:** If you believe that your data is not being processed for the purpose it has been collected for, you may object. Please contact the Parish Clerk to object.

# Privacy Notice

**Rights Related to Automated Decision Making and Profiling:** The Council does not use any form of automated decision making or the profiling of individual personal data.

**Conclusion:** In accordance with the law, we only collect a limited amount of information about you that is necessary for correspondence, information and service provision. We do not use profiling, we do not sell or pass your data to third parties. We do not use your data for purposes other than those specified. We make sure your data is stored securely. We delete all information deemed to be no longer necessary. We constantly review our Privacy Policies to keep it up to date in protecting your data. You can request a copy of our policies at any time.

**Complaints:** If you have a complaint regarding the way your personal data has been processed you may make a complaint to the Parish Council by following our Complaints Procedure, available on the Council's Website, or by contacting the Information Commissioners Office, email: [casework@ico.org.uk](mailto:casework@ico.org.uk) or tel: 0303 123 1113

## Aldcliffe with Stodday Parish Council

Contact:

Derek Whiteway, Parish Clerk

Email: [clerk@aldcliffewithstoddaypc.org](mailto:clerk@aldcliffewithstoddaypc.org)

Telephone: 01524 64908

*Version 1.01 (review)*

*Version 1.0 Approved by Parish Council on 18<sup>th</sup> December 2018*

## PUBLICATION SCHEME

Class 1 Who we are and what we do - organisational information, locations and contacts		
Information to be published	How the information can be obtained	Cost
Who's who on the Council	<ul style="list-style-type: none"> <li>Parish Council Website – "About Us"</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free Free
Roles and Responsibilities	<ul style="list-style-type: none"> <li>Parish Council Website – "About Us"</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free Free

Class 2 What we spend and how we spend it - Financial Information relating to projected and actual income and expenditure, procurement, contracts and financial audit (Current and previous financial year as a minimum)		
Information to be published	How the information can be obtained	Cost
Annual Governance and Accountability Return and Auditor's Report	<ul style="list-style-type: none"> <li>Parish Council Website – "Council Business"</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free Free
Finalised Budget and Precept	<ul style="list-style-type: none"> <li>Parish Council Website – "Council Business" and minutes of Budget/Precept Setting meeting</li> </ul>	Free Free
Statement of Accounts	<ul style="list-style-type: none"> <li>Parish Council Website – "Council Business"</li> <li>Hard Copy of Statement of Accounts - Contact Parish Clerk</li> </ul>	Free Free
Financial Standing Orders and Regulations	<ul style="list-style-type: none"> <li>Parish Council Website – "Policies"</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free Free
List of current contracts awarded and value of contract	<ul style="list-style-type: none"> <li>Parish Council Website – "Council Business".</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free Free
Members allowances and expenses	<ul style="list-style-type: none"> <li>Parish Council Website – "Council Business".</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free Free

# PUBLICATION SCHEME

Class 3 What our priorities are and how we are doing - Strategies and plans; performance indicators and reviews		
Information to be published	How the information can be obtained	Cost
Parish Plan *	<ul style="list-style-type: none"> <li>Parish Council Website</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free Free
Neighbourhood Plan	<ul style="list-style-type: none"> <li>Parish Council Website – “Neighbourhood Plan”</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free Free
Annual Report (current and previous year as a minimum)	<ul style="list-style-type: none"> <li>Parish Council Website</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free Free

\* AwS doesn't currently have a Parish Plan (delete) and hasn't yet produced an Annual Report

Class 4 How we make decisions - Decision making processes and records of decisions (Current and previous council year as a minimum)		
Information to be published	How the information can be obtained	Cost
Procedural Standing Orders	<ul style="list-style-type: none"> <li>Parish Council Website – “Policies”</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free Free
Timetable of Parish Council Meetings	<ul style="list-style-type: none"> <li>Parish Council Website – “Council Business”</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free Free
Agendas of Parish Council Meetings	<ul style="list-style-type: none"> <li>Parish Council Website – “Council Business”</li> <li>Hard Copy – posted on the Parish Council noticeboard</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free Free Free
Minutes of Meetings – NB this will exclude information that is properly regarded as confidential	<ul style="list-style-type: none"> <li>Parish Council Website – “Council Business”</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free Free
Reports presented to meetings – NB this will exclude information that is properly regarded as confidential	<ul style="list-style-type: none"> <li>Parish Council Website (as necessary)</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free Free
Responses to consultation papers	<ul style="list-style-type: none"> <li>Parish Council Website – “Council Business”</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free Free

# PUBLICATION SCHEME

Class 5 Our policies and procedures - Current written protocols, policies and procedures for delivering our services and responsibilities (Current information only)		
Information to be published	How the information can be obtained	Cost
Policies and procedures for the conduct of council business: Standing orders; Code of Conduct and Policy Statements	<ul style="list-style-type: none"> <li>Parish Council Website – “Policies”</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free Free
Policies and procedures for the provision of services, employment of staff, management of information, etc; Complaints Procedure	<ul style="list-style-type: none"> <li>Parish Council Website – “Policies”</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free Free

Class 6 – Lists and Registers - Currently maintained lists and registers only		
Information to be published	How the information can be obtained	Cost
Register of Electors – Copy of the principal authority’s electoral register	<ul style="list-style-type: none"> <li>Visual Inspection – Contact Parish Clerk</li> </ul>	Free
Asset Register	<ul style="list-style-type: none"> <li>Parish Council Website – “Council Business”</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free
Register of Members’ Interests	<ul style="list-style-type: none"> <li>Parish Council Website – “About Us”</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free Free
Register of Gifts and Hospitality	<ul style="list-style-type: none"> <li>Parish Council Website – “About Us”</li> <li>Hard Copy – Contact Parish Clerk</li> </ul>	Free Free



# PUBLICATION SCHEME

Class 7 – The Services we offer – Information about the services we offer, including leaflets, guidance and newsletters produced for the public and businesses (Current Information Only)		
Information to be published	How the information can be obtained	Cost
Lengthsman	<ul style="list-style-type: none"> <li>Parish Council Website – “About Us”</li> <li>Update reports in meeting Agendas and Minutes</li> </ul>	Free Free
Allotments	<ul style="list-style-type: none"> <li>There are currently no allotments within the Parish</li> </ul>	N/A
Burial grounds and closed churchyards	<ul style="list-style-type: none"> <li>The Parish Council is currently not responsible for any burial grounds or closed churchyards</li> </ul>	N/A
Community Centres and Village Halls	<ul style="list-style-type: none"> <li>There are currently no Community Centres or Village Halls within the Parish</li> </ul>	N/A
Parks, playing fields and recreational facilities	<ul style="list-style-type: none"> <li>Currently no responsibility for facilities</li> </ul>	N/A
Seating, litter bins, clocks, memorials and lighting	<ul style="list-style-type: none"> <li>Currently no direct responsibility for litter bins, clocks, memorials and lighting</li> </ul>	N/A
Bus shelters	<ul style="list-style-type: none"> <li>There are no bus shelters within the Parish</li> </ul>	N/A
Markets	<ul style="list-style-type: none"> <li>There are no markets operating within the Parish</li> </ul>	N/A
Public Conveniences	<ul style="list-style-type: none"> <li>There are no public conveniences within the Parish</li> </ul>	N/A
Services for which the council is entitled to recover a fee (e.g. burial fees)	<ul style="list-style-type: none"> <li>Not currently applicable</li> </ul>	N/A
Newsletter	<ul style="list-style-type: none"> <li>Parish Council Website – “Community News &amp; Events”</li> <li>Hard Copy – delivered to all households</li> </ul>	Free Free

## HOW TO COMPLAIN TO ALDCLIFFE WITH STODDAY PARISH COUNCIL

**Objective:** The object of this complaints procedure is to put things right when they go wrong and ensure that mistakes do not recur in the future.

### What constitutes a complaint?

A complaint is an expression of dissatisfaction by one or more members of the public about the parish council's action or lack of action or about the standard of a service delivered by the council. The complaint may relate to an action taken or a service provided by the council itself or a person or body acting on behalf of the council.

### What is not a complaint?

If a member of the public reports an issue or matter of concern within the Parish, this will not normally be regarded as a complaint, but as a **'Request for Service'**. Such matters, for example a fly-tipping incident or an obstruction of a Public Right of Way, will normally be dealt with directly by the Clerk without any need for a formal response.

### What is a complaints procedure?

The way the council manages any report of a problem with the service you are getting or trying to get from the council, or a problem with things that the council does or doesn't do, is via a complaints procedure.

### What can be expected?

The aims of a complaints procedure are to ensure the process is:

- well documented and publicised;
- easy to understand and use;
- helpful and receptive, not adversarial;
- objective and based on clear procedures;
- capable of putting things right where necessary;
- sensitive to the needs and circumstances of the complainant;
- adequately resourced and fully supported by parish councillors and the Clerk; and
- regularly analysed to spot patterns of complaint and lessons for service improvement.

## How do I complain?

**Requests for Service:** These should be made to the Clerk of the council and can be made by any means; phone call, email, letter or in person. You may make a request to a Councillor, but under the legislation governing parish councils, a Councillor has no authority to act as an individual and must refer the matter to the Clerk.

**Formal complaint:** To register a formal complaint please obtain and complete a copy of the council's **complaint form** with any other information you wish to provide to support your complaint and then return it to the Clerk's address. If the complaint directly concerns the Clerk, it should be sent to the Chair of the Council, clearly marked "**Council Chairman -Private and Confidential**". Formal complaints are for matters of a serious nature and once resolved will be recorded in the council's minutes. However certain types of employee related, or other sensitive issues may, under certain parts of legislation, be exempt from publication. You may also send a letter or email of complaint, but the council may ask you to complete their **complaints form** as this allows the council to keep a consistent record of communications on complaints.

## Nature of a complaint

Before making a complaint, it is important to contact the council to ensure it is the **Responsible Body** to handle the complaint. It is also important to clearly identify and document the details of the complaint. The way in which a complaint is handled will depend on the nature of the complaint.

The following table summarises how different types of written complaint may be handled by the council.

Nature of the complaint	How to complain	Who to complain to	Who will deal with your complaint
Parish council processes, procedures and services	The Clerk will provide you with a Complaint Form  Complete the form and add any other relevant evidence to support your complaint	The Clerk	You will receive a written reply from the Clerk  The matter may have been debated by the council at a council meeting and if so the Clerk's response will be based on the decision of the council

Nature of the complaint	How to complain	Who to complain to	Who will deal with your complaint
Financial irregularity	<p>The Clerk will provide you with a Complaint Form.</p> <p>Complete the form and add any other relevant evidence to support your complaint</p>	The Clerk/Responsible Financial Officer of the council.	<p>The Clerk of the council will endeavour to provide an explanation.</p> <p>If you are not satisfied you can report the matter to the External Auditor</p>
Conduct of an employee	The Clerk will provide you with a Complaint Form. Complete the form and add any other relevant evidence to support your complaint	The Clerk, unless the complaint is about the Clerk. If this is the case the complaint should be sent to the Chair of the Council and be sealed and marked "private & confidential"	<p>The complaint may be resolved or escalated and be treated as an internal disciplinary matter to be dealt with under the Parish council's employee disciplinary procedure</p> <p>In the event that the matter escalates the Parish council will provide a copy of the disciplinary procedure on request</p>
Criminal activity	In writing, including any relevant evidence to support your concern	The police	<p>The police</p> <p>Depending on severity, the matter may go to court</p>

Nature of the complaint	How to complain	Who to complain to	Who will deal with your complaint
Conduct of a Councillor	This type of complaint needs to be referred in writing to the principal authority, Lancaster City Council. The Parish Council has no power to investigate the conduct of one of its own elected Members	The Monitoring Officer at the principal authority, Lancaster City Council	<p>The Monitoring Officer.</p> <p>Matters may be lengthy if an investigation is undertaken.</p> <p>The matter may be referred for consideration by the Local Standards Committee</p>

A Complaint form is available by email from the Parish Clerk to accompany this guide.

*Version 1.01 Review – 27/04/21*

*Version 1.0 Approved by Parish Council on 18<sup>th</sup> December 2018*