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<https://shobnall-pc.gov.uk>

Our Ref: MD

11 May 2026

To: All Members of the Parish Council

Dear Councillor

You are hereby summoned to attend a Meeting of the Parish Council to be held at **Brook House, 18 Shobnall Road, Burton on Trent DE14 2BA** on **Monday 18 May 2026 commencing at 7pm** at which the business set out below will be transacted.

Yours sincerely

MDanby

Mary Danby
Clerk

Public Forum

A maximum of 15 minutes will be allocated prior to the commencement of the meeting when members of the public may put questions/comments on any matter in relation to which the Parish Council has powers or duties which affect the area.

AGENDA

- 1. Election of Chair**
- 2. Election of Vice Chair**
- 3. Apologies for absence**
- 4. Declarations of Interest and Dispensations**
- 5. To consider the Minutes of the meeting held on 20 April 2026 (Enclosure 1)**
- 6. To consider matters arising from the previous meeting**

7. Financial matters

7.1 Schedule of payments at 11 May

Payee	Payment Method	Gross £	VAT £	Transaction Detail
Microsoft	DD	138.24	23.04	MS365 licence renewal (paid 13/04/26)
Burton Caribbean Association	BACS	500.00	0.00	S137 Grant Aid (Min. No. 152, 20/04/26 refers)
Amazon	Debit Card	29.66	4.94	Disposable cups, stationery (paid 29/04/26)
Computer Lifeline	BACS	150.00	0.00	Annual email and website holding and redirection
Clerk	BACS	670.75	0.00	Salary and expenses
MW Cripwell	BACS	330.00	55.00	Defib inspections, 1no. defib call out
Currys	Debit Card	119.00	19.83	Android tablet to connect with SID (paid 01/05/26)
Total		1,937.65	102.81	

7.2 Bank reconciliation at 30 April 2026

	£
Current Account	91,674.32
HSBC Business Money Manager Account	31,886.41
	123,560.73

7.3 Earmarked Reserves (EMRs)

Earmarked Reserves	Opening 01/04/2026 £	Balance 30/04/2026 £
Elections	10,000	10,000
Bus shelter project	25,000	25,000
Community projects	15,000	15,000
Dallow Lock murals R&M	5,000	5,000
Replacement IT equipment	4,000	4,000
Speed Indicator Device	7,500	7,500
Benches & litter bins	3,000	3,000
	69,500	69,500

8. Income and expenditure at 30 April 2026 (Enclosure 2)

9. Internal Audit Report for the Year Ended 31 March 2026 (Enclosure 3)

10. Annual Governance and Accountability Return 2025/26 (AGAR) (Enclosure 4)

11. Appointment of Internal Auditor for the 2026/27 financial year (Enclosure 5)

12. Public Rights period for 2025/26 Accounts

The council is requested to confirm that the Date of Announcement and the Public Rights period when members of the public may inspect the accounts are as follows:

Date of Announcement	02 June 2026
Public Rights period	03 June – 14 July 2026 inclusive

13. To review the following policies and documents (no amendments or revisions are required for the policies and documents):

- Anti-Fraud and Corruption Policy (**Enclosure 6A**)
- Financial Regulations (**Enclosure 6B**)
- Information and Data Protection Policy (**Enclosure 6C**)
- Members and Officers Subsistence / Mileage Policy (**Enclosure 6D**)
- Privacy Impact Assessment Form (**Enclosure 6E**)
- Publication Scheme (**Enclosure 6F**)
- Risk Management Policy (**Enclosure 6G**)
- Standing Orders (**Enclosure 6H**)
- Statement of Internal Control and Annual Review of Effectiveness of Internal Control (**Enclosure 6I**)
- The Management of Transferable Data Policy (**Enclosure 6J**)

14. Planning matters

14.1 Planning applications

Application No.	Location	Proposal
P/2025/00043	284 Shobnall Street	Change of use of dwelling from 6-bedroom dwelling house (C3) to a 6-bedroom House of Multiple Occupancy (C4) (Revised application)
P/2026/00115	Community Centre and Mosque 7-10 York Street	Erection of first floor and part second floor extensions, front first floor and rear second floor balconies and the installation of roof mounted air conditioning units to the existing Mosque (Revised application)
P/2026/00357	188 Waterloo Street	Conversion of first floor office space to form 1 studio apartment and alterations to existing fenestration
P/2026/00373	27 Wellington Street	Erection of a single storey detached residential annexe
P/2026/00389	23 Rangemore Street	(TPO) Cutting back of hornbeams (G1 of TPO 366)

14.2 Planning decisions

Application No.	Location	Proposal	Decision
P/2025/00297	Land adjacent to B&Q Wellington Road	A mixed-use development comprising a single restaurant with drive-thru lane (Class E), 6no. retail units (Use Class E(a)) (food and non-food), 1no. leisure unit (Use Class E(d)), 1 no. Community Training Centre (Use Class F1(a)) with associated sports pitch (Use Class F2(c)) and vegetable garden with associated access, car parking, bin and cycle storage and landscaping	Permitted
P/2026/00089	24 Price Court	Erection of a part two storey part single storey rear extension, single storey front porch extension and installation of first floor side window	Permitted
P/2026/00174	38 Shobnall Street	Erection of a single storey rear extension	Refused
P/2026/00188	10 Allsopp Road	Conversion of existing integral garage to form additional living accommodation including associated external alterations	Permitted
P/2026/00227	87 Derby Street	Formation of a dropped kerb and driveway	Permitted

15. To receive questions/reports from Councillors

16. Correspondence and Circulars

16.1 Staffordshire Parish Councils' Association (SPCA)

The SPCA's monthly Bulletin has been circulated to all Councillors.

16.2 Membership with Support Staffordshire

Whilst looking into our records I noticed you are not members with Support Staffordshire. There are many benefits and support our members can receive which may be useful and your organisation would be entitled to, these cover the following:

- Free 1 hour advice - Ideal for parish councils managing community buildings or collaborating with local charities
- Free access to ACRE fact sheets & templates - <https://acre.org.uk/>
- Independent Advice on Affordable Housing Needs
- Member Rates for Training & Consultancy
- Advice and Support on Community Emergency Planning
- Parish Council Internal Audits
- Free Job & Event Listings
- Participation in Local Forums & Networks
- Regular News & Updates
- Stronger Partnership with Support Staffordshire

Membership is available to all parish and town councils for only **£25 per annum**. Please note this membership status does not convey any voting rights.

Date of next meeting

Monday 15 June 2026 commencing at 7pm at Brook House, 18 Shobnall Road, Burton on Trent DE14 2BA

**Minutes of a meeting of Shobnall Parish Council
held at Brook House, 18 Shobnall Road, Burton on Trent
on Monday 20 April 2026 commencing at 6.45pm**

Present

Councillor Pennicott (in the Chair)
Councillors Dittmer, Donlon, Hoare, Salt-Brown and Shilton

Also present

Mary Danby, Clerk

Public Forum

No members of the public were present at the meeting.

145. Apologies

None, all Councillors were present.

146. Declarations of Interest and receive written applications for dispensations under the Localism Act 2011

None were declared.

147. Minutes

Resolved That the Minutes of the meeting held on 16 March 2026 be approved as an accurate record.

148. Matters arising

Minute No. 134 Social media

The Clerk reported that the search had not identified a professional person to establish, maintain and update a social media presence.

Councillors Pennicott and Salt-Brown said that they would look at setting-up a Facebook page for the council and they asked that a separate email address be set-up to be associated with the FB page for people to contact the council.

The Clerk said she would provide information on setting-up a FB page to Councillors Pennicott and Salt-Brown and undertook to request a new email address from Parish Online.

Minute No. 141.2 re Kingfisher Trail

ESBC Open Spaces Team had confirmed that they would take a look at the issues raised.

Minute No. 141.3 re Price Court, Shobnall Road

The Clerk reported that she had raised the issue again with Trent and Dove Housing and they had confirmed that they have an agreement in place for ESBC to empty the bin and T&D will now proceed to install a litter bin by the bench.

Minute No. 141.4 re Litter on canal towpath adjacent to the Shobnall Leisure Centre (Minute No. 86.3 refers)

The Clerk reported that ESBC's Open Spaces Team had advised that they had contacted the Canal and Rivers Trust asking them to act on this issue, if it is still a problem ESBC will explore further options.

Minute No. 144.1 re Litter bin: Moor Street to Shobnall Road pedestrian route (Minute Nos. 86.2 and 120 refer)

The council's Contractor asked for confirmation as to whether a Permit to Dig was required to install the bin as he needed this information to be able to quote.

The Clerk had approached Staffordshire Highways asking if (a) the existing Licence to Plant (for the bench area) would cover the installation of the litter bin and (b) if a Permit to Dig was required to install the bin – they advised that SCC's Legal Team would be asked to advise accordingly. The Clerk had chased several times for a decision but this had yet to be received.

149. County and Borough Councillors reports

No reports had been received.

150. Financial matters

150.1 Schedule of payments

Payee	Transaction Detail	Payment Method	Gross £	VAT £
Staffordshire Search & Rescue Team	S137 Grant Aid (Minute No. 142.2 refers)	BACS (Pd17/03/26)	500.00	0.00
The Workplace Depot Ltd	Locker (Projector and screen storage)	Debit Card (Pd 26/03/26)	134.00	22.33
Dynamic Transport Planning	Shobnall Road traffic survey	BACS (Pd 31/03/26)	1,260.00	210.00
SPCA	2026/27 Membership fees: NALC £473.35 SPCA £600	BACS	1,073.34	0.00
SLCC	2026/27 Membership fee (pro rata)	BACS	118.50	0.00
Clerk	Salary and expenses	BACS	685.27	1.92
MW Cripwell	Defibrillator inspections (March)	BACS	252.00	42.00
Rialtas Business Solutions Ltd	Accounts software licence renewal	BACS	252.00	42.00
O2	Council mobile	DD	27.60	4.60
Amazon	Copy paper; printer cartridge	Debit Card (Pd 12/04/26)	61.59	10.26

Viking Office UK Ltd	Postage stamps; printer cartridge	BACS	186.57	9.43
Total			4,550.87	342.54

Resolved That the above payments be approved.

150.2 Bank reconciliation at 31 March 2026

Current Account	£ 71,201.95
HSBC Business Money Manager Account	£ 31,886.41
	£103,088.36

Resolved That the above was a true record.

150.3 Earmarked Reserves at 31 March 2026

Earmarked Reserves	Opening 01/04/2025	Year End EMRs 31/03/2026
Elections	£10,000	£10,000
Community projects	£30,000	£15,000
Dallow Lock murals R&M	£15,000	£ 5,000
Replacement IT equipment	£ 4,000	£ 4,000
Speed Indicator Device	£ 2,000	£ 7,500
Benches & litter bins	£ 5,000	£ 3,000
Bus shelter, etc project	£ 0	£25,000
	£66,000	£69,500

Resolved That the Earmarked Reserves be agreed.

151. Receipts and payments at 31 March 2026

Resolved That the report be noted.

152. Grant Aid application

Resolved That the application for grant aid in the sum of £500 by the Burton Caribbean Association towards the cost of the 2026 Burton Caribbean Carnival be approved.

153. Planning matters

153.1 Planning decisions

Resolved That the report be noted.

153.2 Planning applications

Resolved That following observations be submitted to ESBC:

Application No.	Location	Proposal	Comment
P/2026/00322	Shobnall Leisure Centre Shobnall Road	Erection of three Padel Court canopies 8.5m in height	No objection

154. Structural maintenance scheme, A5121 Derby Road, Burton Upon Trent Phase 3- May 2026

Staffordshire County Council had provided a copy of the residential/ business letter along with a copy of the diversion map detailing the upcoming works on the A5121 Derby Road, Burton Upon Trent. The letter detailed the works that will be undertaken during the scheme of works, along with details about the overnight road closures.

Resolved That the information be received and noted.

155. ESBC: Consultation Launch - Housing Allocations Policy (2026)

Councillors were advised that East Staffordshire Borough Council had launched a public consultation on proposed changes to its Housing Allocations Policy.

The proposed changes aim to ensure the policy remains fair, transparent and aligned with current housing needs, with a renewed focus on local connection and prioritising those in greatest housing need.

Resolved That the information be received without comment.

156. Traffic survey: Shobnall Road

Councillors received the results of the traffic survey undertaken on the pedestrian crossing installed on Shobnall Road during 2025 (National Cycle Network Route 54 scheme).

Agreed That the report and covering email from Dynamic Transport Planning be forwarded to Staffordshire County Council Councillors stressing the danger being experienced by pedestrians using the crossing and that the council is of the opinion that the crossing should have traffic lights installed to make it into either a pelican or puffin crossing and the Parish Council requests that these options be given serious consideration by Staffordshire Highways.

It was also agreed that the survey be forwarded to ESBC Councillors McKiernan and Walker asking and that this be shared with the appropriate ESBC Officers for comment.

157. SPCA: Neighbourhood Governance Campaign

The SPCA had contacted all local councils regarding the UK Government's emerging agenda on neighbourhood governance - set out through the English Devolution and Community Empowerment (EDCE) Bill – which signals a shift toward more localised,

community-level decision-making. However, despite new duties placed on unitary councils, the Government had not yet provided a clear, formal definition or detailed guidance on what neighbourhood governance should look like. There was yet to be any role for parish/town councils in these new structures.

Local councils were encouraged to write to their local MP with a request that an influential role for parish/town councils be ensured in neighbourhood governance through the EDCE Bill.

Resolved To call on Jacob Collier MP to press the Secretary of State for Housing, Communities and Local Government to:

- Ensure that parish and town councils are formally recognised as key partners within the emerging neighbourhood governance framework;
- Guarantee that the forthcoming regulations and guidance clearly set out how parish and town councils will be integrated into neighbourhood governance structures;
- Provide assurance that new neighbourhood governance arrangements will not duplicate functions or undermine the democratic legitimacy of parish and town councils.

158. St Aidan's Church, Shobnall Road

Councillor Pennicott had reported that St Aidan's Church, Shobnall Road was being vandalised and damaged. The building has been broken into/windows smashed in, twice in one week. He said that the Diocese has the building listed for sale and the price has been reduced due to lack of interest from potential purchasers. Councillor Pennicott asked the council to suggest any ideas or funding to help resolve this issue.

The Clerk reported that she had approached the Archdeacon, the Ven. Dr Megan Smith asking that arrangements be made for the building to be secured as soon as possible in an attempt to stop further vandalism/damage being done to the building. She had responded saying that the Diocesan property team were aware of the recent unfortunate vandalism and were responding accordingly.

Resolved That ESBC Councillor McKeirnan be asked if she could liaise with ESBC Officers to ascertain what, if anything ESBC could do to save/protect the building and whether a potential community use could be identified for the building.

159. Councillors questions/reports

- 159.1 A Councillor had noted that works had been done to a property on Shobnall Street which had seen the outer walls rebuilt but the original bay window had not been reinstated which had resulted in sufficient space having been created for a parking space at the front of the house. This report led to a significant discussion generally on parking issues in the Parish.

Agreed That ESBC Councillor McKiernan be approached:

- Stating that parking issues had been raised again, and whilst accepting that this is an issue for the Town in general, Councillors urged ESBC to consider a solution(s) to address this problem in Shobnall Parish.
- Asking if the former Shobnall Social Club site could be used as a parking area, thus alleviating some of the parking issues in the area - would ESBC consider this option?

160. Correspondence and Circulars

160.1 Staffordshire Parish Councils' Association (SPCA)

The SPCA monthly bulletin had been circulated to all Councillors.

160.2 SPCA: Free planning advice service

Councillors were advised that the SPCA had partnered with ONH Planning for Good to offer a planning advice service free of charge to member councils.

Resolved That the information be noted and retained for future use.

160.3 Staffordshire Search & Rescue Team (SSART): Donation Request

It was noted that SSART had sent a thank you letter for the donation to the drone appeal.

The meeting closed at 8pm

Date of next meeting

Monday 18 May 2026 commencing at 7pm at Brook House, 18 Shobnall Road, Burton on Trent DE14 2BA.

Signed

Date

Detailed Receipts & Payments by Budget Heading 30/04/2026

Cost Centre Report

	Actual Year To Date	Current Annual Bud	Variance Annual Total	Committed Expenditure	Funds Available	% Spent	Transfer to/from EMR
<u>100 Income</u>							
1076 Precept	21,991	43,982	21,991			50.0%	
1077 Council Tax Support Grant	1,049	2,098	1,049			50.0%	
1090 Interest Received	0	400	400			0.0%	
Income :- Receipts	23,040	46,480	23,440			49.6%	0
Net Receipts	23,040	46,480	23,440				
<u>110 Employee Costs</u>							
4000 Clerk's Salary	659	15,488	14,829		14,829	4.3%	
4010 Employer's NI	0	1,573	1,573		1,573	0.0%	
4020 Clerk: Recruitment/equipment	0	2,100	2,100		2,100	0.0%	
4025 Staff Mileage & Benefits	2	100	98		98	2.5%	
4030 Use of Home as Office	11	218	207		207	5.1%	
Employee Costs :- Indirect Payments	673	19,479	18,806	0	18,806	3.5%	0
Net Payments	(673)	(19,479)	(18,806)				
<u>120 Annual Running Costs</u>							
4200 Highway Lighting: Maint. Costs	0	40	40		40	0.0%	
4210 Subscriptions & Memberships	1,192	950	(242)		(242)	125.5%	
4230 Computer Lifeline	0	150	150		150	0.0%	
4235 RBS Accounts support	0	210	210		210	0.0%	
4240 Website	0	490	490		490	0.0%	
4250 IT Software	325	450	125		125	72.3%	
4260 Insurance	0	650	650		650	0.0%	
4270 Audit Fees	0	480	480		480	0.0%	
4280 Payroll Services	0	120	120		120	0.0%	
4290 Data Protection fee	0	47	47		47	0.0%	
Annual Running Costs :- Indirect Payments	1,517	3,587	2,070	0	2,070	42.3%	0
Net Payments	(1,517)	(3,587)	(2,070)				
<u>130 Administration Expenses</u>							
4300 Printing & Stationery	117	400	283		283	29.2%	
4303 Council mobile	23	276	253		253	8.3%	
4305 Publications	0	200	200		200	0.0%	
4310 Postage	130	400	270		270	32.5%	
4320 Room Hire	0	288	288		288	0.0%	
4330 Refreshments	17	50	33		33	33.3%	
4340 Training & Conference	0	1,500	1,500		1,500	0.0%	

Enclosure 2

Detailed Receipts & Payments by Budget Heading 30/04/2026

Cost Centre Report

	Actual Year To Date	Current Annual Bud	Variance Annual Total	Committed Expenditure	Funds Available	% Spent	Transfer to/from EMR
4360 s137 Grant Aid	500	1,000	500		500	50.0%	
4990 Other Admin	0	200	200		200	0.0%	
Administration Expenses :- Indirect Payments	787	4,314	3,527	0	3,527	18.2%	0
Net Payments	(787)	(4,314)	(3,527)				
<u>145 Defibrillators</u>							
4456 Defibrillators - inspections	210	2,700	2,490		2,490	7.8%	
4457 Defibrillators - call outs	0	300	300		300	0.0%	
4458 Replacements pads/batteries	0	500	500		500	0.0%	
Defibrillators :- Indirect Payments	210	3,500	3,290	0	3,290	6.0%	0
Net Payments	(210)	(3,500)	(3,290)				
<u>147 Noticeboards</u>							
4500 Noticeboards: Cleaning	0	50	50		50	0.0%	
4505 Noticeboards R&M	0	150	150		150	0.0%	
Noticeboards :- Indirect Payments	0	200	200	0	200	0.0%	0
Net Payments	0	(200)	(200)				
<u>149 Dallow Lock mural</u>							
4600 Dallock Lock mural/noticeboard	0	200	200		200	0.0%	
Dallow Lock mural :- Indirect Payments	0	200	200	0	200	0.0%	0
Net Payments	0	(200)	(200)				
<u>150 Projects</u>							
4703 Replacement bleed control kits	0	200	200		200	0.0%	
4995 Contingency	0	5,000	5,000		5,000	0.0%	
5400 Project Work	0	10,000	10,000		10,000	0.0%	
Projects :- Indirect Payments	0	15,200	15,200	0	15,200	0.0%	0
Net Payments	0	(15,200)	(15,200)				
<u>999 VAT Data</u>							
515 VAT on Payments	(619)	0	619		619	0.0%	
VAT Data :- Indirect Payments	(619)	0	619	0	619		0
Net Payments	619	0	(619)				

Enclosure 2

Detailed Receipts & Payments by Budget Heading 30/04/2026

Cost Centre Report

	Actual Year To Date	Current Annual Bud	Variance Annual Total	Committed Expenditure	Funds Available	% Spent	Transfer to/from EMR
Grand Totals:- Receipts	23,040	46,480	23,440			49.6%	
Payments	2,568	46,480	43,912	0	43,912	5.5%	
Net Receipts over Payments	<u>20,472</u>	<u>0</u>	<u>(20,472)</u>				
Movement to/(from) Gen Reserve	<u>20,472</u>	<u>0</u>	<u>(20,472)</u>				

Enclosure 2

Kim Squires Internal Audit Services

52 HANDSACRE COURT
CANON LANE
RUGELEY
STAFFORDSHIRE
WS15 1PQ

The Chairman,
Shobnall Parish Council,
32, Hillcrest Rise,
Burntwood.
WS7 4SH

8 May 2026

Dear Councillor

Conclusion of Internal Audit of your Parish Council for the year ended 31st March 2026

Following the completion of my work for the above year we are writing to inform the Council that having carried out the year-end review I have been able to sign the Annual Governance and Accountability Return Form 3 (AGAR) without any qualification.

The independent internal examination of the Councils governance, financial affairs and certification of the 2025/26 AGAR to the External Auditor was carried out in accordance with the standards laid out in the Accounts and Audit Regulations, 2015 and embodied in the Smaller Authorities Proper Practices Panel Practitioners Guide March 2025.

In summary, we covered the following areas in our examination:

- Proper Bookkeeping
- Financial Regulations, Standing Orders and Payment Controls
- Risk Management and Insurance arrangements
- Budgetary Controls
- Income Controls
- Payroll Controls
- Asset Control
- Bank Accounts and Reconciliation
- Year End Procedures
- Digital and Data compliance
- Charitable Trusts (when appropriate)

We have carried out a review of your web site to evaluate its conformance to the Local Government Transparency Code 2015 which is to be viewed as a minimum standard. We confirm your web site meets this requirement.

We carried out two reviews during the fiscal year and were accorded with full co-operation by your Clerk. Any issues which we raised with the Clerk during the conduct of our work have either been satisfactorily rectified or are noted below. As in previous

years, we commend the Council for the high quality of organisation and book-keeping demonstrated during our inspections.

A copy of our Annual Internal Audit certification (page 3 of the AGAR) for 2025/26 is attached.

It is your Council's responsibility to consider the attached report and the comments below during a council meeting and to consider, if necessary, what actions should be taken to remedy any points raised in the report.

We wish to draw your council's attention to the following:

1. We note that your general reserves cover (after the exclusion of properly voted earmarked funds of £69,500) is 0.79 years. We consider this to be a comfortable level of general reserves balance at the year end. You will appreciate I am not allowed to instruct you on this matter but also draw your attention to page 38 of the Practitioners Guide 2025 which in para 5.34 gives guidance on General Reserves;
2. The Publication Requirements on page 1 of the AGAR.

In respect of the new Council year we make the following additional observations and recommendations for your consideration:

1. During the fiscal year your council must review the Risk Assessment to ensure that it still reflects the current environment. Your council should then minute its ratification;
2. During the fiscal year your council should review your Standing Orders and Financial Regulations to ensure that they still reflect the current environment. Your council should then minute that ratification. Please note that it is important that your Financial Regulations meet the standard set by those published by the National Association of Local Councils (NALC) April 2025. We shall base our future internal audit plans on the version of the regulations ratified by your council. As the External Auditor will always base their audit on the version considered extant by NALC it is important that you are always closely in line with the NALC template;
3. Copies of your current Standing Orders, Financial Regulations, Risk Assessment and Publication Scheme should be displayed on your councils website and must show the latest date of revision and ratification;
4. You are reminded that when the council discusses, amends or ratifies significant documents copies should be made available on your web site for members of the public to view. These documents should be either appendices to published minutes and agenda papers or as separate documents on the web site (preferably with a hypertext link to facilitate ease of searching);
5. You must discuss the appointment of your internal auditor and ratify and minute the appointment during the current financial year. We were pleased to have been your internal auditor during 2025/26 and offer ourselves for re-appointment. You may use either our company name (Kim Squires Internal Audit Services) or refer to Kim Squires by name in the minutes;

6. If your council wishes to carry forward earmarked funds at the year-end these must have been ratified by your council. This is best done at the time you draw up the next budget or at final meeting of the fiscal year.

We would take this opportunity to remind you that when the AGAR comes back from the External Auditor you do have a duty to display the accompanying notice of Completion of Audit on each of your usual notice boards and on your council's website.

The complete AGAR and any auditor's comments or qualifications should also be displayed on your website to allow electors to see the complete form and read the External Auditors comments if they wish to do so.

In accordance with Regulation 13 (of the Audit and Accounts Regulations), after the conclusion of the period for the exercise of public rights), the authority must publish (including on its website) the annual governance statements, statement of accounts, and the external auditor's certificate and report – Sections 1, 2 and 3 of the Annual Governance and Accountability Return. Authorities must keep copies of these documents for purchase by a person at a reasonable sum and ensure that they remain available for public access for 5 years

Please do remember to retain a copy of the notice on file as proof that you have followed the requirements of the Local Government Act. You should also minute the External Auditors approval of the AGAR and any qualification or comments made and resolve to take action where necessary.

We will make our next visit in October/November but please do not hesitate to contact me should you require advice in the meantime.

Yours sincerely,

Annual Internal Audit Report 2025/26

Shobnall Parish Council

ENTER PUBLICLY <https://shobnall-pc.gov.uk> PAGE ADDRESS

During the financial year ended 31 March 2026, 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 2025/26 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**
A. Appropriate accounting records have been properly kept throughout the financial year.	✓		
B. This authority complied with its financial regulations, payments were supported by invoices, all expenditure was approved and VAT was appropriately accounted for.	✓		
C. This authority assessed the significant risks to achieving its objectives and reviewed the adequacy of arrangements to manage these.	✓		
D. The precept or rates requirement resulted from an adequate budgetary process; progress against the budget was regularly monitored; and reserves were appropriate.	✓		
E. Expected income was fully received, based on correct prices, properly recorded and promptly banked; and VAT was appropriately accounted for.	✓		
F. Cash payments were properly supported by receipts, all cash expenditure was approved and VAT appropriately accounted for.	No CASH KEPT?		✓
G. Salaries to employees and allowances to members were paid in accordance with this authority's approvals, and PAYE and NI requirements were properly applied.	✓		
H. Asset and investments registers were complete and accurate and properly maintained.	✓		
I. Periodic bank account reconciliations were properly carried out during the year.	✓		
J. Accounting statements prepared during the year were prepared on the correct accounting basis (receipts and payments or income and expenditure), agreed to the cash book, supported by an adequate audit trail from underlying records and where appropriate debtors and creditors were properly recorded.	✓		
K. If the authority certified itself as exempt from a limited assurance review in 2024/25, it met the exemption criteria and correctly declared itself exempt. (If the authority had a limited assurance review of its 2024/25 AGAR tick "not covered")			✓
L. The authority published the required information on a website/webpage up to date at the time of the internal audit in accordance with the relevant legislation.	✓		
M. In the year covered by this AGAR, the authority correctly provided for a period for the exercise of public rights as required by the Accounts and Audit Regulations (during the 2025/26 AGAR period, were public rights in relation to the 2024-25 AGAR evidenced by a notice on the website and/or authority approved minutes confirming the dates set).	✓		
N. The authority has complied with the publication requirements for 2024/25 AGAR (see AGAR Page 1 Guidance Notes).	✓		
O. The authority has complied with laws, regulations & proper practices relating to digital and data compliance.	✓		
P. (For local councils only) 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

05/11/2025

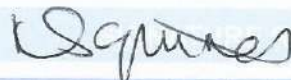
08/05/2026

DD/MM/YYYY

Kim Squires

NAME OF INTERNAL AUDITOR

Signature of person who carried out the internal audit



Date

08/05/2026

*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 2025/26

We acknowledge as the members of:

SHOBNALL PARISH COUNCIL

our responsibility for ensuring that there is a sound system of internal control, including arrangements for the preparation of the Accounting Statements. We confirm, to the best of our knowledge and belief, with respect to the Accounting Statements for the year ended 31 March 2026, that:

	Agreed		'Yes' means that this authority:
	Yes	No*	
1. We have put in place arrangements for effective financial management during the year, and for the preparation of the accounting statements.			<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 have assured 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
10. We have put in place arrangements for the effective IT and data management in accordance with proper practices during the year under review.			<i>has made suitable arrangements for its IT and data management and has complied with proper practices in doing so.</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/YYYY

and recorded as minute reference:

MINUTE REFERENCE

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

Chair

SIGNATURE REQUIRED

Clerk

SIGNATURE REQUIRED

<https://shobnall-pc.gov.uk> PUBLICLY AVAILABLE WEBSITE/WEBPAGE ADDRESS

Section 2 – Accounting Statements 2025/26 for

SHOBNALL PARISH COUNCIL

	Year ending		Notes and guidance
	31 March 2025 £	31 March 2026 £	
			<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	98,853	98,734	<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	39,445	42,701	<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	10,422	5,377	<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	12,574	14,409	<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	0	0	<i>Total expenditure or payments of capital and interest made during the year on the authority's borrowings (if any).</i>
6. (-) All other payments	37,412	29,315	<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	98,734	103,088	<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	98,734	103,088	<i>The sum of all current and deposit bank accounts, cash holdings and short term investments held as at 31 March – To agree with bank reconciliation.</i>
9. Total fixed assets plus long term investments and assets	33,072	34,738	<i>The value of all the property the authority owns – it is made up of all its fixed assets and long term investments as at 31 March.</i>
10. Total borrowings	0	0	<i>The outstanding capital balance as at 31 March of all loans from third parties (including PWLB).</i>

For Local Councils Only	Yes	No	
11 Do the figures in the accounting statements above exclude any trust transactions?	✓		<i>For guidance refer to the Practitioners' Guide sections 2.31 to 2.33.</i>

I certify that for the year ended 31 March 2026 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/YYYY

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

DD/MM/YYYY

as recorded in minute reference:

MINUTE REFERENCE

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

SIGNATURE REQUIRED

Kim Squires Internal Audit Services

52 HANDSACRE COURT
CANON LANE
RUGELEY
STAFFORDSHIRE
WS15 1PQ

17 April 2026

Dear Councillor,

Proposal to provide Independent Internal Audit Services to Shobnall Parish Council.

We will carry out an independent examination of the 2026/27 Annual Return to the Audit Commission in accordance with the standards laid out in the Accounts and Audit Regulations, 2020 and embodied in the Smaller Authorities Proper Practices Panel (SAPPP) Practitioners Guide (England) March 2026. We consider these standards to be the minimum requirements and always attempt to exceed them in our examination.

In summary, we would expect to cover the following areas in our examination:

- Proper Bookkeeping
- Financial Regulations, Standing Orders and Payment Controls (including VAT)
- Risk Management and Insurance arrangements
- Budgetary Controls
- Income Controls
- Petty Cash Procedures (where applicable)
- Payroll Controls
- Assets Control
- Bank Accounts and Reconciliation
- Year End Procedure
- Data and Digital Compliance
- Transparency Code and website compliance in line with current legislation to include Assertion 10

We will also offer advice where we identify working practices that can be improved.

Our work will be carried out by myself but we do reserve the right to seek technical advice elsewhere if there is a need. In cases where a need arises, our questions will be in confidence and any costs will be within the fees we agree or notified and agreed with you in advance.

You will be aware that we already carry out similar services for a number of varied councils ranging from those with turnover of less than £10,000 to those with turnover in excess of £200,000. I am a full member of the Internal Auditors' Forum (IAF), a professional body that works to create the highest standards of Internal Audit and works closely with both National Association of Local Councils (NALC) and SAPPP. I have previous experience as a Parish Clerk to a medium sized Parish Council and further 'locum' work trouble-shooting for a number of Councils. I have almost twenty years of experience in Local Government following a 25 year teaching career.

In carrying out the audit work, I will normally make at least two visits to your offices during the audit year (this being the minimum requirement under the SAPPP regulations). An interim visit, usually made around October/November, to carry out a detailed examination of your procedures and do sample checks on transactions based on your current risk

assessment and to verify the veracity of your precept calculations. This visit also satisfies the SAPPP recommendation to collect data during the year.

A final examination visit would then sign off the Annual Return having first verified the accounts and supporting schedules. An annual report letter is sent to your Council following the final examination. Any issues that are identified during the interim visit(s) would immediately be documented and communicated to the Clerk/RFO, for action prior to the final examination.

For the work likely to be involved in clearing the Annual Return this fiscal year, we undertake that our normal fee will not exceed £184.00 plus any travel and out of pocket expenses (see below). This estimate is based on our understanding of the 2025/26 expenditure and precept and on the understanding that there are no major issues carried over from the current or last year. It also assumes that you will have balanced and fully reconciled the accounts before we undertake the final examination and that you will be making a Form 3 Annual Governance and Accountability Return. Please bear in mind that you will not be billed for this work until after the start of the 2027/28 fiscal year.

Expenses will only be charged as incurred and any car mileage will be at the recommended HM Revenue and Customs rate.

If accepted by the Council, the above proposal constitutes an ongoing contract, renewable by resolution of the Council each year. If the Council seeks advice relating to the current year before extending the contract, it will be assumed that the Council intends to renew the contract. If the Council does not resolve to extend the contract, a commensurate fee will be charged for work arising from any advice sought. Fees will increase in line with the RPI, and rounded to the nearest 50p, at 1st July annually.

We trust the above will meet with your Council's approval and remind you that must discuss the appointment of your internal auditor and ratify and minute the appointment during the current financial year.

Yours sincerely

Kim Squires

**Shobnall Parish Council
Anti-Fraud and Corruption Policy**

1. Statement of Intent

- 1.1 In carrying out its functions and responsibilities Shobnall Parish Council (“SPC”) will promote a culture of honesty, openness and fairness and requires elected members and employees at all levels to conduct themselves in accordance with the principles contained in The Relevant Authorities (General Principles) Order 2001 throughout their term of office or employment with SPC. The principles contained in the Order are detailed in Appendix A.

Consequently, SPC recognises and accepts the need for an Anti-Fraud and Corruption Policy.

SPC will not tolerate fraud and corruption in the administration of its responsibilities and will deal equally with offenders whether from inside or outside SPC.

- 1.2 Fraud and corruption are defined as follows:

- Fraud is the intentional distortion of financial statements, accounts or other records by persons internal or external to the authority which is carried out to conceal the misappropriation of assets or otherwise for gain or to mislead or misrepresent.
- Corruption is the offering, giving, soliciting or acceptance of an inducement or reward which may influence the action of any person to act against the interests of an organisation.

In addition, corruption is hereby defined to also include the deliberate failure to disclose an interest in order to obtain a financial or other pecuniary gain for oneself or another.

This policy identifies a series of measures designed to frustrate any attempted fraudulent or corrupt acts and the steps to be taken if such action occurs. The policy is presented in six areas as follows:

Section 2: Culture

Section 3: Prevention

Section 4: Deterrence

Section 5: Detection and Investigation

Section 6: Awareness and Training

2. Culture

- 2.1 SPC promotes a culture of honesty, openness and fairness which supports its opposition to fraud and corruption. The prevention and detection of fraud and corruption and the protection of the public purse are the responsibility of everyone. The elected members and employees play an important role in creating and

maintaining this culture. All are positively encouraged to raise concerns regarding fraud and corruption in the knowledge that such concerns will wherever possible be treated in confidence.

- 2.2 SPC will ensure that any allegations received will be taken seriously and investigated in an appropriate manner. Those who defraud SPC or who are corrupt or who instigate financial malpractice will be dealt with firmly. There is however a need to ensure that any investigation process is not misused and, therefore, any abuse may, where appropriate, be dealt with as a disciplinary matter.
- 2.3 Where fraud and corruption has occurred due to a breakdown in systems or procedures, arrangements will be made to ensure that the appropriate improvements in systems of control are implemented to prevent a re-occurrence.

3. Prevention

3.1 Role of Elected Members

As elected representatives all Members of the Council have a duty on behalf of their electorate to protect SPC from all forms of fraud and corruption. This is reflected through the adoption of this Policy and compliance with the Code of Conduct for elected Members, SPC's Standing Orders and Financial Regulations and other relevant legislation.

When they take office elected Members are required to sign to the effect that they have read and understood the Code of Conduct. The Code requires elected Members, inter alia, to declare and register interests and to register receipt of gifts and hospitality. In addition, elected members are given the opportunity to attend periodic update sessions on matters of conduct and standards provided by the Borough Council's Monitoring Officer.

3.2 Role of Officers and Employees

3.2.1 Officers

Officers are responsible for the communication and implementation of this Policy in their respective work areas. They are also responsible for ensuring that employees are aware of SPC's Financial Regulations and Standing Orders and that the relevant requirements of each are being met in the day to day conduct of Council business.

Officers are expected to strive to create an environment in which employees feel able to approach them with any concerns they may have regarding suspected irregularities. All such concerns must be communicated to the Clerk.

Special arrangements will apply where employees are responsible for cash handling or are responsible for financial systems and systems that generate payments. Checks are carried out on a regular basis to ensure that proper procedures are being followed.

SPC recognises that a key preventative measure in dealing with fraud and corruption is ensuring that effective steps are taken at the recruitment stage to establish, as far

as possible, the honesty and integrity of potential employees whether for permanent, temporary or casual posts. SPC has a recruitment procedure which contains appropriate safeguards on matters such as written references and verification of qualifications held. In addition, where appropriate, the relevant DBS checks will be undertaken for employees who will be required to work with children or vulnerable people.

3.2.2 Employees

The work of employees is governed by SPC's Standing Orders and Financial Regulations and other relevant policies, i.e. Health and Safety etc.

In addition to the above employees are responsible for ensuring that they follow the instructions given to them by their line manager particularly regarding the safekeeping of SPC's assets.

Employees are expected to be aware of the possibility that fraud, corruption and theft may occur in the workplace. Concerns must be raised through use of SPC's Whistle Blowing Policy.

3.3 Conflicts of Interest

Elected Members must act as laid down in the Code of Conduct and employees must act in accordance with parish policies to ensure that they avoid situations where there is a potential for a conflict of interests. Effective role separation will ensure that decisions made are seen to be based on impartial advice and therefore avoid questions regarding improper disclosure of confidential information.

3.4 Role of Internal Audit

The Clerk is responsible for ensuring that there is an adequate and effective system of internal audit of SPC's accounting, financial and other systems in accordance with the provisions of the relevant Accounts and Audit Regulations. Internal audit plays a significant preventative role in ensuring that the relevant systems deter fraud and corruption and will work with management to identify the procedural changes necessary to prevent SPC from exposure to losses. Internal audit will also investigate cases of suspected irregularity or fraud.

3.5 Role of External Audit

The external auditor has a responsibility to review SPC's arrangements for preventing and detecting fraud and irregularities and arrangements designed to limit the opportunity for corrupt practices. This responsibility is satisfied by undertaking a number of specific reviews and tests of the adequacy of the relevant financial systems and other arrangements for the prevention and detection of fraud. The outcome of these reviews and tests are reported each year in the Annual Return which is presented to elected Members for approval at Council.

4. Deterrence

- 4.1 Fraud, corruption and theft are considered to be serious offences against SPC, and employees will face a disciplinary investigation if there is an allegation that they have

been involved in any of these activities. Where necessary, disciplinary action will be taken in addition to, or instead of, criminal proceedings depending on the circumstances of each individual case in a consistent manner.

- 4.2 Similarly, any elected Member will face appropriate action under this policy if it is shown that they have been involved in fraud, corruption or theft against SPC or have otherwise acted illegally.
- 4.3 SPC will not seek to cover up cases of fraud and corruption but conversely will try to ensure that the results of any action taken, including prosecutions, are notified to the media.
- 4.4 In all proven cases where financial loss has occurred, and it is in the public's interest to do so SPC will seek to recover such loss and will consider publicising the fact.
- 4.5 All anti-fraud and corruption activities, including the adoption of this policy, will be publicised to make employees and the public aware of SPC's commitment to taking appropriate action on fraud and corruption when it occurs.

5. Detection and Investigation

- 5.1 Systems of internal control have been established together with Financial Regulations and Standing Orders to deter fraud and corruption. These are complemented by the work undertaken by Internal Audit in the review of systems and financial controls.
- 5.2 In addition, it is often the vigilance of employees and members of the public that aids detection. Employees are to be encouraged to raise their concerns without the fear of recrimination and SPC's Whistle Blowing procedure has been designed specifically to address this matter.
- 5.3 Frauds are, in some cases, discovered by chance or 'tip-off' and arrangements are in place to enable such information to be properly dealt with.
- 5.4 All suspected irregularities should be reported directly, or via an intermediary, to the Clerk. This is essential to ensure the consistent treatment of information regarding fraud and corruption and will facilitate a proper and thorough investigation.
- 5.5 Investigations will normally be conducted by the Clerk and reported to the Chairman who will determine whether referral to the Police is appropriate. The outcome of all investigations where loss has been suffered will be reported to SPC's external auditor.
- 5.6 Following the completion of an investigation, the circumstances will be assessed to determine the need for procedural and system changes to ensure that future risks are eliminated.
- 5.7 Where necessary, following the investigation, SPC's disciplinary procedures will be

applied to any employee found to be guilty of improper behaviour.

6. Awareness and Training

6.1 SPC recognises that the sustained success of this policy and its general credibility will depend upon the effectiveness of its training programmes and awareness on the part of elected members and employees throughout the organisation.

6.2 Employees will be made aware of their responsibilities and the procedures to be followed for the safekeeping of SPC's assets and will be advised that failure to adhere to the specified procedures may lead to disciplinary action being taken.

7. Conclusion

SPC has in place a network of systems and procedures to assist in the prevention and detection of fraud and corruption. SPC is determined to ensure that these arrangements will keep pace with future developments in prevention and detection techniques regarding fraudulent or corrupt activity that may affect its operations.

The Clerk has day to day responsibility for the successful operation of the relevant systems supported by internal and external audit and will ensure that this policy is reviewed annually to be satisfied that SPC's exposure to potential fraud and corruption is minimised and that the results of this review are reported to the Council.

Adopted: 15 April 2019

Reviewed: May annually

Next Review date: May 2027

APPENDIX A THE GENERAL PRINCIPLES

Selflessness

Members should only serve the public interest and should never improperly confer an advantage or disadvantage on any person.

Honesty and Integrity

Members should not place themselves in situations where their honesty and integrity may be questioned, should not behave improperly and should on all occasions avoid the appearance of such behaviour.

Objectivity

Members should make decisions on merit, including when making appointments, awarding contracts or recommending individuals for rewards or benefits.

Accountability

Members should be accountable to the public for their actions and the manner in which they carry out their responsibilities and should co-operate fully and honestly with any scrutiny appropriate to their particular office.

Openness

Members should be as open as possible about their actions and those of their authority and should be prepared to give reasons for those actions.

Personal Judgement

Members should take account of the views of others, including their political groups, but should reach their own conclusions on the issues before them and act in accordance with those conclusions.

Respect for Others

Members should promote equality by not discriminating unlawfully against any person, and by treating people with respect, regardless of their race, age, religion, gender, sexual orientation or gender disability. They should respect the impartiality and integrity of the authority's statutory officers and its other employees.

Duty to Uphold the Law

Members should uphold the law and, on all occasions, act in accordance with the trust that the public is entitled to place in them.

Stewardship

Members should do whatever they are able to do to ensure that their authorities use their resources prudently and in accordance with the law.

Leadership

Members should promote and support these principles by leadership, and by example, and should act in a way that secures or preserves public confidence.



**SHOBNALL PARISH COUNCIL
FINANCIAL REGULATIONS**

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These Financial Regulations were adopted by the council at its meeting held on 17 June 2024.

Reviewed 18 May 2026.

1. General

1.1 These Financial Regulations govern the financial management of the council and may only be amended or varied by resolution of the council. They are one of the council's governing documents and shall be observed in conjunction with the council's Standing Orders.

1.2 Councillors are expected to follow these Regulations and not to entice employees to breach them. Failure to follow these Regulations brings the office of councillor into disrepute.

1.3 Wilful breach of these Regulations by an employee may result in disciplinary proceedings.

1.4 In these Financial Regulations:

- 'Accounts and Audit Regulations' means the Regulations issued under Sections 32, 43(2) and 46 of the Local Audit and Accountability Act 2014, or any superseding legislation, and then in force, unless otherwise specified.
- "Approve" refers to an online action, allowing an electronic transaction to take place.
- "Authorise" refers to a decision by the council, or a committee or an officer, to allow something to happen.
- 'Proper practices' means those set out in *The Practitioners' Guide*.
- *Practitioners' Guide* refers to the guide issued by the Joint Panel on Accountability and Governance (JPAG) and published by NALC in England or Governance and Accountability for Local Councils in Wales – A Practitioners Guide jointly published by One Voice Wales and the Society of Local Council Clerks in Wales.
- 'Must' and **bold text** refer to a statutory obligation the council cannot change.
- 'Shall' refers to a non-statutory instruction by the council to its councillors and staff.

1.5 The Responsible Financial Officer (RFO) holds a statutory office, appointed by the council. The Clerk has been appointed as RFO and these Regulations apply accordingly. The RFO:

- acts under the policy direction of the council;
- administers the council's financial affairs in accordance with all Acts, Regulations and proper practices;
- determines on behalf of the council its accounting records and control systems;
- ensures the accounting control systems are observed;
- ensures the accounting records are kept up to date;
- seeks economy, efficiency and effectiveness in the use of council resources; and
- produces financial management information as required by the council.

1.6 The council must not delegate any decision regarding:

- **setting the final budget or the precept (council tax requirement);**
- **the outcome of a review of the effectiveness of its internal controls**
- **approving accounting statements;**
- **approving an annual governance statement;**
- **borrowing;**
- **declaring eligibility for the General Power of Competence; and**
- **addressing recommendations from the internal or external auditors**

1.7 In addition, the council shall:

- **determine and regularly review the bank mandate for all council bank accounts;**
- **authorise any grant or single commitment in excess of £1,000; and**
- **in respect of the annual salary for any employee have regard to recommendations about annual salaries of employees.**

2. Risk management and internal control

2.1 The council must ensure that it has a sound system of internal control, which delivers effective financial, operational and risk management.

2.2 The Clerk shall prepare, for approval by the council, a risk management policy covering all activities of the council. This policy and consequential risk management arrangements shall be reviewed by the council at least annually.

2.3 When considering any new activity, the Clerk shall prepare a draft risk assessment including risk management proposals for consideration by the council.

2.4 At least once a year, the council must review the effectiveness of its system of internal control, before approving the Annual Governance Statement.

2.5 The accounting control systems determined by the RFO must include measures to:

- **ensure that risk is appropriately managed;**
- **ensure the prompt, accurate recording of financial transactions;**
- **prevent and detect inaccuracy or fraud; and**
- **allow the reconstitution of any lost records;**
- **identify the duties of officers dealing with transactions and**
- **ensure division of responsibilities.**

- 2.6 At least once in each quarter, and at each financial year end, a member other than the Chair or a cheque signatory shall be appointed to verify bank reconciliations (for all accounts) produced by the RFO. The member shall sign and date the reconciliations and the original bank statements (or similar document) as evidence of this. This activity, including any exceptions, shall be reported to and noted by the council.
- 2.7 Regular back-up copies shall be made of the records on any council computer and stored either online or in a separate location from the computer. The council shall put measures in place to ensure that the ability to access any council computer is not lost if an employee leaves or is incapacitated for any reason.

3. Accounts and audit

- 3.1 All accounting procedures and financial records of the council shall be determined by the RFO in accordance with the Accounts and Audit Regulations.
- 3.2 **The accounting records determined by the RFO must be sufficient to explain the council's transactions and to disclose its financial position with reasonable accuracy at any time. In particular, they must contain:**
- **day-to-day entries of all sums of money received and expended by the council and the matters to which they relate;**
 - **a record of the assets and liabilities of the council**
- 3.3 The accounting records shall be designed to facilitate the efficient preparation of the accounting statements in the Annual Governance and Accountability Return.
- 3.4 The RFO shall complete and certify the annual Accounting Statements of the council contained in the Annual Governance and Accountability Return in accordance with proper practices, as soon as practicable after the end of the financial year. Having certified the Accounting Statements, the RFO shall submit them (with any related documents) to the council, within the timescales required by the Accounts and Audit Regulations.
- 3.5 **The council must ensure that there is an adequate and effective system of internal audit of its accounting records and internal control system in accordance with proper practices.**
- 3.6 **Any officer or member of the council must make available such documents and records as the internal or external auditor consider necessary for the purpose of the audit** and shall, as directed by the council, supply the RFO, internal auditor, or external auditor with such information and explanation as the council considers necessary.

3.7 The internal auditor shall be appointed by the council and shall carry out their work to evaluate the effectiveness of the council's risk management, control and governance processes in accordance with proper practices specified in the Practitioners' Guide.

3.8 The council shall ensure that the internal auditor:

- is competent and independent of the financial operations of the council;
- reports to council in writing, or in person, on a regular basis with a minimum of one written report during each financial year;
- can demonstrate competence, objectivity and independence, free from any actual or perceived conflicts of interest, including those arising from family relationships; and
- has no involvement in the management or control of the council

3.9 Internal or external auditors may not under any circumstances:

- perform any operational duties for the council;
- initiate or approve accounting transactions;
- provide financial, legal or other advice including in relation to any future transactions; or
- direct the activities of any council employee, except to the extent that such employees have been appropriately assigned to assist the internal auditor.

3.10 For the avoidance of doubt, in relation to internal audit the terms 'independent' and 'independence' shall have the same meaning as described in The Practitioners Guide.

3.11 The RFO shall make arrangements for the exercise of electors' rights in relation to the accounts, including the opportunity to inspect the accounts, books, and vouchers and display or publish any notices and documents required by the Local Audit and Accountability Act 2014, or any superseding legislation, and the Accounts and Audit Regulations.

3.12 The RFO shall, without undue delay, bring to the attention of all councillors any correspondence or report from internal or external auditors.

4. Budget and precept

4.1 **Before setting a precept, the council must calculate its council tax England requirement for each financial year by preparing and approving a budget, in accordance with The Local Government Finance Act 1992 or succeeding legislation.**

4.2 Budgets for salaries and wages, including employer contributions shall be reviewed by the council at least annually in December for the following financial year and the final

version shall be evidenced by a hard copy schedule signed by the Clerk and the Chair of the Council.

- 4.3 No later than December each year, the RFO shall prepare a draft budget with detailed estimates of all receipts and payments for the following financial year taking account of the lifespan of assets and cost implications of repair or replacement.
- 4.4 Unspent budgets for completed projects shall not be carried forward to a subsequent year. Unspent funds for partially completed projects may only be carried forward (by placing them in an earmarked reserve) with the formal approval of the full council.
- 4.5 The draft budget, including any recommendations for the use or accumulation of reserves, shall be considered by the council.
- 4.6 Having considered the proposed budget, the council shall determine its council tax requirement by setting a budget. The council shall set a precept for this amount no later than the end of January for the ensuing financial year.
- 4.7 **Any member with council tax unpaid for more than two months is prohibited from voting on the budget or precept by Section 106 of the Local Government Finance Act 1992 and must disclose at the start of the meeting that Section 106 applies to them.**
- 4.8 The RFO shall **issue the precept to the billing authority no later than the end of January** and supply each member with a copy of the agreed annual budget.
- 4.9 The agreed budget provides a basis for monitoring progress during the year by comparing actual spending and income against what was planned.
- 4.10 Any addition to, or withdrawal from, any earmarked reserve shall be agreed by the council.

5. Procurement

Members and officers are responsible for obtaining value for money at all times. Any officer procuring goods, services or works should ensure, as far as practicable, that the best available terms are obtained, usually by obtaining prices from several suppliers.

The RFO should verify the lawful nature of any proposed purchase before it is made and in the case of new or infrequent purchases, should ensure that the legal power being used is reported to the meeting at which the order is authorised and also recorded in the minutes.

Every contract shall comply with the council's Standing Orders and these Financial Regulations and no exceptions shall be made, except in an emergency.

For a contract for the supply of goods, services or works where the estimated value will exceed the thresholds set by Parliament, the full requirements of The Procurement Act 2023 and The Procurement Regulations 2024 or any superseding legislation ("the Legislation"), must be followed in respect of the tendering, award and notification of that contract.

Where the estimated value is below the Government threshold, the council shall (with the exception of items listed in paragraph 5.12) obtain prices as follows:

For contracts estimated to exceed £30,000 including VAT, the Clerk shall seek formal tenders from at least three suppliers agreed by the council OR advertise an open invitation for tenders in compliance with any relevant provisions of the Legislation. Tenders shall be invited in accordance with Appendix 1.

For contracts estimated to be over £30,000 including VAT, the council must comply with any requirements of the Legislation regarding the publication of invitations and notices.

For contracts greater than £1,000 excluding VAT the Clerk shall seek at least three fixed-price quotes; where the value is between £500 and £1,000 excluding VAT, the Clerk shall try to obtain three estimates which might include evidence of online prices, or recent prices from regular suppliers.

For smaller purchases, the Clerk shall seek to achieve value for money.

Contracts must not be split to avoid compliance with these rules.

The requirement to obtain competitive prices in these regulations need not apply to contracts that relate to items (i) to (iv) below:

- i. specialist services, such as legal professionals acting in disputes;
- ii. repairs to, or parts for, existing machinery or equipment;
- iii. works, goods or services that constitute an extension of an existing contract;
- iv. goods or services that are only available from one supplier or are sold at a fixed price.

When applications are made to waive this financial regulation to enable a price to be negotiated without competition, the reason should be set out in a recommendation to the council {or relevant committee}. Avoidance of competition is not a valid reason.

The council shall not be obliged to accept the lowest or any tender, quote or estimate.

Individual purchases within an agreed budget for that type of expenditure may be authorised by:

- the Clerk, under delegated authority, for any items below £1,000 excluding VAT.
- the Clerk, in consultation with the Chair of the Council, for any items below £2,000 excluding VAT.
- the council for all items over £2,000 excluding VAT;

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

No individual member, or informal group of members may issue an official order unless instructed to do so in advance by a resolution of the council or make any contract on behalf of the council.

No expenditure may be authorised that will exceed the budget for that type of expenditure other than by resolution of the council except in an emergency.

In cases of serious risk to the delivery of council services or to public safety on council premises, the Chair or the Clerk may authorise expenditure of up to £1,000 excluding VAT on repair, replacement or other work that in their judgement is necessary, whether or not there is any budget for such expenditure. The Clerk shall report such action to the Chair as soon as possible and to the council as soon as practicable thereafter.

No expenditure shall be authorised, no contract entered into or tender accepted in relation to any major project, unless [the council] is satisfied that the necessary funds are available and that where a loan is required, Government borrowing approval has been obtained first.

An official order or letter 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.

Any ordering system can be misused and access to them shall be controlled by the Clerk.

6. Banking and payments

- 6.1 The council's banking arrangements, including the bank mandate, shall be made by the RFO and authorised by the council. The council has resolved to bank with HSBC. The arrangements shall be reviewed for security and efficiency.
- 6.2 The council must have safe and efficient arrangements for making payments, to safeguard against the possibility of fraud or error.
- 6.3 Following authorisation the council or, if so delegated, the Clerk or RFO shall give instruction that a payment shall be made.
- 6.4 All invoices for payment should be examined for arithmetical accuracy, analysed to the appropriate expenditure heading and verified to confirm that the work, goods or services were received, checked and represent expenditure previously authorised by the council before being certified by the RFO.
- 6.5 Personal payments (including salaries, wages, expenses and any payment made in relation to the termination of employment) may be summarised to avoid disclosing any personal information.
- 6.6 All payments shall be made by online banking/cheque, in accordance with a resolution of the council or a delegated decision by an officer, unless the council resolves to use a different payment method.
- 6.7 The Clerk and RFO shall have delegated authority to authorise payments in the following circumstances:
 - i. Any payments of up to £500 excluding VAT, within an agreed budget.
 - ii. Payments of up to £500 excluding VAT in cases of serious risk to the delivery of council services or to public safety on council premises.
 - iii. Any payment necessary to avoid a charge under the Late Payment of Commercial Debts (Interest) Act 1998 or to comply with contractual terms, where the due date for payment is before the next scheduled meeting of the council, where the Clerk certify that there is no dispute or other reason to delay payment, provided that a list of such payments shall be submitted to the next appropriate meeting of council.
 - iv. Fund transfers within the council's banking arrangements up to the sum of £10,000, provided that a list of such payments shall be submitted to the next appropriate meeting of council.
- 6.8 The RFO shall present a schedule of payments requiring authorisation, forming part of the agenda for the meeting, together with the relevant invoices, to the council . The

council shall review the schedule for compliance and, having satisfied itself, shall authorise payment by resolution. The authorised schedule shall be initialled immediately below the last item by the person chairing the meeting. A detailed list of all payments shall be disclosed within or as an attachment to the minutes of that meeting.

7. Electronic payments

- 7.1 Where internet banking arrangements are made with any bank, the Clerk shall be appointed as the Service Administrator. The bank mandate agreed by the council shall identify a minimum of two councillors who will be authorised to approve transactions on those accounts.
- 7.2 No employee or councillor shall disclose any PIN or password, relevant to the council or its banking, to anyone not authorised in writing by the council.
- 7.3 At least one councillor shall check the payment details against the invoices before approving each payment to be made using the online banking system.
- 7.4 A full list of all payments made in a month shall be provided to the next council meeting and included in the minutes.
- 7.5 With the approval of the council in each case, regular payments (such as gas, electricity, telephone, broadband, water, National Non-Domestic Rates, refuse collection, pension contributions and HMRC payments) may be made by variable direct debit, provided that the instructions are signed by two authorised councillors. The approval of the use of each variable direct debit shall be reviewed by the council at least every two years.
- 7.6 Payment may be made by BACS or CHAPS by resolution of the council provided that each payment is approved online by two authorised bank signatories, evidence is retained and any payments are reported to the council at the next meeting. The approval of the use of BACS or CHAPS shall be renewed by resolution of the council at least every two years.
- 7.7 If thought appropriate by the council, regular payments of fixed sums may be made by banker's standing order, provided that the instructions are signed by two councillors, evidence of this is retained and any payments are reported to council when made. The approval of the use of a banker's standing order shall be reviewed by the council at least every two years.
- 7.8 Account details for suppliers may only be changed upon written notification by the supplier verified by the Clerk. This is a potential area for fraud and the individuals

involved should ensure that any change is genuine. Data held should be checked with suppliers every two years.

- 7.9 Members and officers shall ensure that any computer used for the council's financial business has adequate security, with anti-virus, anti-spyware and firewall software installed and regularly updated.
- 7.10 Remembered password facilities should not be used on any computer used for council banking.

8. Cheque payments

- 8.1 Cheques or orders for payment in accordance in accordance with a resolution or delegated decision shall be signed by two councillors.
- 8.2 A signatory having a family or business relationship with the beneficiary of a payment shall not, under normal circumstances, be a signatory to that payment.
- 8.3 To indicate agreement of the details on the cheque with the counterfoil and the invoice or similar documentation, the signatories shall also initial the cheque counterfoil and invoice.
- 8.4 Cheques or orders for payment shall not normally be presented for signature other than at, or immediately before or after a council meeting. Any signatures obtained away from council meetings shall be reported to the council at the next convenient meeting.

9. Payment of salaries and allowances

- 9.1 **As an employer, the council must make arrangements to comply with the statutory requirements of PAYE legislation.**
- 9.2 **Councillors allowances (where paid) are also liable to deduction of tax under PAYE rules and must be taxed correctly before payment.**
- 9.3 Salary rates shall be agreed by the council. No changes shall be made to any employee's gross pay, emoluments, or terms and conditions of employment without the prior consent of the council .
- 9.4 Payment of salaries shall be made, after deduction of tax, national insurance, pension contributions and any similar statutory or discretionary deductions, on the dates stipulated in employment contracts.

- 9.5 Deductions from salary shall be paid to the relevant bodies within the required timescales, provided that each payment is reported, as set out in these Regulations above.
- 9.6 Each payment to employees of net salary and to the appropriate creditor of the statutory and discretionary deductions shall be recorded in a payroll control account or other separate confidential record, with the total of such payments each calendar month reported in the cashbook. Payroll reports will be reviewed by [the finance committee] to ensure that the correct payments have been made.
- 9.7 Any termination payments shall be supported by a report to the council, setting out a clear business case. Termination payments shall only be authorised by the full council.
- 9.8 Before employing interim staff, the council must consider a full business case.

10. Loans and investments

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

11. Income

- 11.1 The collection of all sums due to the council shall be the responsibility of and under the supervision of the RFO.
- 11.2 The council will review all fees and charges for work done, services provided, or goods sold at least annually as part of the budget-setting process. The RFO shall be responsible for the collection of all amounts due to the council.
- 11.3 Any sums found to be irrecoverable and any bad debts shall be reported to the council by the RFO and shall be written off in the year. The council's approval shall be shown in the accounting records.
- 11.4 All sums received on behalf of the council shall be deposited intact with the council's bankers, with such frequency as the RFO considers necessary. The origin of each receipt shall clearly be recorded on the paying-in slip or other record.
- 11.5 Personal cheques shall not be cashed out of money held on behalf of the council.
- 11.6 Any repayment claim under section 33 of the VAT Act 1994 shall be made quarterly where the claim exceeds £100 and at least annually at the end of the financial year.

12. Payments under contracts for building or other construction works

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

13. Assets, properties and estates

- 13.1 The Clerk shall make arrangements for the safe custody of all title deeds and Land Registry Certificates of properties held by the council.
- 13.2 The RFO shall ensure that an appropriate and accurate Register of Assets and Investments is kept up to date, with a record of all properties held by the council, their location, extent, plan, reference, purchase details, nature of the interest, tenancies granted, rents payable and purpose for which held, in accordance with Accounts and Audit Regulations.

- 13.3 The continued existence of tangible assets shown in the Register shall be verified at least annually, possibly in conjunction with a health and safety inspection of assets.
- 13.4 No interest in land shall be purchased or otherwise acquired, sold, leased or otherwise disposed of without the authority of the council, together with any other consents required by law. In each case a written report shall be provided to council in respect of valuation and surveyed condition of the property (including matters such as planning permissions and covenants) together with a proper business case (including an adequate level of consultation with the electorate where required by law).
- 14.5 No tangible moveable property shall be purchased or otherwise acquired, sold, leased or otherwise disposed of, without the authority of the council, together with any other consents required by law, except where the estimated value of any one item does not exceed £100. In each case a written report shall be provided to council with a full business case.

14. Insurance

- 14.1 Following the annual risk assessment (per Regulation 2.2) the RFO shall keep a record of all insurances effected by the council and the property and risks covered, reviewing these annually before the renewal date in conjunction with the council's review of risk management.
- 14.2 The Clerk shall give prompt notification of all new risks, properties or vehicles which require to be insured and of any alterations affecting existing insurances.
- 14.3 The RFO shall be notified of any loss, liability, damage or event likely to lead to a claim, and shall report these to the council at the next available meeting. The RFO shall negotiate all claims on the council's insurers.
- 14.4 All appropriate councillors and employees of the council shall be included in a suitable form of security or fidelity guarantee insurance which shall cover the maximum risk exposure as determined annually by the council.

15. Suspension and revision of Financial Regulations

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

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

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

Appendix 1 - Tender process

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

Shobnall Parish Council Information & Data Protection Policy

Introduction

In order to conduct its business, services and duties, Shobnall Parish 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.

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

The Parish 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. Therefore, in the case of all information which is not personal or confidential, it will be prepared to make it available to partners and members of the Parish's 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.

Protecting Confidential or Sensitive Information

Shobnall Parish Council recognises it must at times, keep and process sensitive and personal information about both employees and the public, it has therefore adopted this policy not only to meet its legal obligations but to ensure high standards.

The General Data Protection Regulation (GDPR) which become law on 25 May 2018 and will, like the the Data Protection Act 1998 before them, seek to strike a balance between the rights of individuals and the sometimes, competing interests of those such as the Parish Council with legitimate reasons for using personal information.

The policy is based on the premise 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.

Data Protection Terminology

Data subject - means the person whose personal data is being processed.

That may be an employee, prospective employee, associate or prospective associate of BTC or someone transacting with it in some way, or an employee, Member or volunteer with one of our clients, or persons transacting or contracting with one of our clients when we process data for them.

Personal data - means any information relating to a natural 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) (e.g. Parish Council, employer, council) determines the purposes for which and the manner in which any personal data is to be processed.

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.

Shobnall Parish Council processes **personal data** in order 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 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.
- carry out Council administration.

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

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 in order to pursue the legitimate interests of the data controller or third parties.

Particular attention is paid to the processing of any **sensitive personal information** and the Parish 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 in order to protect the vital interests of the individual or another person

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@shobnall-pc.gov.uk
- Phone: 07521 022738
- Correspondence: The Parish Clerk, c/o 32 Hillcrest Rise, Burntwood WS7 4SH

Diversity Monitoring

Shobnall Parish 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.

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, respond to or conduct the transaction requested by the individual. By transacting with Shobnall Parish 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 Parish 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.

The Councils Right to Process Information

General Data Protection Regulations (and Data Protection Act) Article 6 (1) (a) (b) and (e)
Processing is with consent of the data subject, or
Processing is necessary for compliance with a legal obligation.
Processing is necessary for the legitimate interests of the Council.

Information Security

The Parish Council cares 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 it was collected for and only for as long as is necessary, after which it will be deleted.

Children

We will not process any data relating to a child (under 13) without the express parental/ guardian consent of the child concerned.

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 or Data Protection Officer.

Information Correction: If they believe 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: Parish Clerk.

Information Deletion: If the individual wishes the Parish Council to delete the information about them, they can do so 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 or Data Protection Officer.

The Parish Council does not use automated decision making or profiling of individual personal data.

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, Data Protection Officer or the Information Commissioners Office casework@ico.org.uk Tel: 0303 123 1113.

The Council will always give guidance on personnel data to employees through the Employee handbook.

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.

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. It is supplemented with an Information Guide which will give greater detail of what the Council will make available and hopefully make it easier for people to access it.

All formal meetings of Council and its committees are subject to statutory notice being given on notice boards, the Website and sent to the local media. The Council publishes an annual programme in May each year. 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 at its Offices.

Occasionally, Council or committees may need to consider matters in private. Examples of this are matters involving personal details of staff, or a particular 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.

Disclosure Information

The Council will as necessary undertake checks on both staff and Members with the the Disclosure and Barring Service and will comply with their Code of Conduct relating to the secure storage, handling, use, retention and disposal of Disclosures and Disclosure Information. It will include an appropriate operating procedure in its integrated quality management system.

Data Transparency

The Council has resolved to act in accordance with the Code of Recommended Practice for Local Authorities on Data Transparency (September 2011). This sets out the key principles for local authorities in creating greater transparency through the publication of public data and is intended to help them meet obligations of the legislative framework concerning information.

“Public data” means the objective, factual data on which policy decisions are based and on which public services are assessed, or which is collected or generated in the course of public service delivery.

The Code will therefore underpin the Council’s decisions on the release of public data and ensure it is proactive in pursuing higher standards and responding to best practice as it develops.

The principles of the Code are:

Demand led: new technologies and publication of data should support transparency and accountability.

Open: the provision of public data will be integral to the Council's engagement with residents so that it drives accountability to them.

Timely: data will be published as soon as possible following production.

Government has also issued a further Code of Recommended Practice on Transparency, compliance of which is compulsory for parish councils with turnover (gross income or gross expenditure) not exceeding £25,000 per annum. These councils will be exempt from the requirement to have an external audit from April 2017. Shobnall Parish Council exceeds this turnover but will nevertheless ensure the following information is published on its website for ease of access:

- End of year accounts
- Annual Governance Statements
- Internal Audit Reports
- Draft minutes of Council within one month
- Agendas and associated papers no later than three clear days before the meeting

Reviewed May annually

Next Review Date: May 2027

**SHOBNALL PARISH COUNCIL
MEMBERS AND OFFICERS SUBSISTENCE/MILEAGE POLICY 2026/27**

1. Subsistence/Mileage Rates:

Motor Mileage Rates[#]	
All cars and vans	45p per mile (first 10,000 miles) 25p per mile (over 10,000 miles)
Motorbikes	24p per mile
Cycles	20p per mile
Subsistence Rates*	
Allowance Period	Maximum Payable
Breakfast (before 11am)**	£5.00
Lunch (between 12 noon and 2pm)	£7.50
Tea (between 3pm and 6pm)	£3.50
Evening Meal (after 7pm)	£15.00
Conference allowance to cover out of pocket expenses (per 24 hour period)	£25.00
Public Transport	
Reimbursement of public transport fares (2 nd class or economy class only)	

[#]HMRC Approved Mileage Allowance Payments

*The subsistence rates quoted are for periods of four hours or more away from home and cannot be claimed where a meal has been provided free of charge by another authority or body. Receipts should be produced in respect of all claims wherever possible.

**May only be claimed where an overnight stay is required and breakfast is not included in the accommodation charge.

2. Approved Duties

Members

- Attending conferences, e.g. National Association of Local Councils (NALC)
- Attending training courses
- Attending meetings at East Staffordshire Borough Council and Staffordshire County Council
- Representing the council at other events/meetings outside the parish boundary as approved by the parish council from time to time

Officers

- Mileage will be paid for all duties undertaken within and outside the parish boundary (except for attendance at scheduled parish council meetings)
- Attendance at conferences, e.g. SLCC, NALC
- Attending approved training courses
- Attending meetings at East Staffordshire Borough Council and Staffordshire County Council
- Representing the Council at other events/meetings within and outside the parish boundary as appropriate to fulfilment of duties and/or as approved by the parish council from time to time

Privacy Impact Assessment (PIA)

As part of the PIA process organisations should describe how information is collected, stored, used and deleted.

Project Name	
What is the Project's Outcome?	
Information to be obtained	
What is the information to be used for?	
Who will obtain it?	
Who will have access to the information?	
Any other Information?	
Identify Possible Privacy Risks, Risks to individuals, Corporate Risks, Compliance Risks, Associated Organisation/Corporate Risk	

Identify how to mitigate these Risks Risk, Solution, Result and Evaluation	
Evaluate costs involved	
Resources required for the project	
Review Process Who will action the review? When will it be reviewed? Action to be take Date for completion Responsibility for action Lessons learnt	

What to think about when preparing the Privacy Impact Assessment

This form is to be used in conjunction with *Conducting Privacy Impact Assessments Code of Practice* published by the ICO. It can be integrated with consultation or planning processes.

Effective consultation internally within the Council is an important part of any Privacy Impact Assessment (PIA). Data protection risks are more likely to remain unmitigated on projects which have not involved discussions with the people building a system or carrying out procedures.

Screening questions to help you decide whether a Privacy Impact Assessment is required

- Will the project involve the collection of new information about individuals?
- Will the project compel individuals to provide information about themselves?
- Will information about individuals be disclosed to Organisations or people who have not previously had routine access to the information?
- Are you using information about individuals for a purpose it is not currently used for, or in a way it is not currently used?
- Does the project involve you using new technology which might be perceived as being privacy intrusive? For example, the use of biometrics or facial recognition.
- Will the project result in you making decisions or taking action against individuals in ways which can have a significant impact on them?
- Is the information about individuals of a kind particularly likely to raise privacy concerns or expectations? For example, health records, criminal records or other information that people would consider to be particularly private.
- Will the project require you to contact individuals in ways which they may find intrusive?

When preparing your Privacy Impact Assessment you need to identify the possible Stakeholders (see below)

- **Project management team**
The team responsible for the overall implementation of a project will play a central role in the PIA process.
- **Data protection officer**
If an organisation has a dedicated DPO, they are likely to have a close link to a PIA. Even if project managers are responsible for individual PIAs, the DPO will be able to provide specialist knowledge on privacy issues,
- **Engineers, developers and designers**
The people who will be building a product need to have a clear understanding of how to approach privacy issues. They will also be able to suggest workable privacy solutions to the risks which have been identified.
- **Information technology (IT)**
Will be able to advise on security risks and solutions. The role of IT is limited to security and might also include discussions on the usability of any software.
- **Procurement**
If the project will require systems or services to be procured, the needs of the project need to be established before procurement takes place.

- Potential suppliers and data processors
If some of the project will be outsourced to a third party, early engagement will help to understand which options are available.
- Communications
A PIA can become a useful part of a project's communication strategy. For example, involving communications colleagues in the PIA can help to establish a clear message to the public about a project.
- Customer-facing roles
It is important to consult with the people who will have to use a new system or put a policy into practice. They will be able to advise on whether the system will work as intended.
- Corporate governance/compliance
Colleagues who work on risk management for an organisation should be able to integrate PIAs into their work. Other areas of compliance can be included in the PIA process.
- Researchers, analysts, and statisticians
Information gathered by a new project may be used to analysing customer behaviour or for other statistical purposes. Where relevant, consulting with researchers can lead to more effective safeguards such as anonymisation.
- Senior management
It will be important to involve those with responsibility for signing off or approving a project.

External Consultation

External consultation means seeking the views of the people who will be affected by the project. This may be members of the public but can also mean people within an organisation (for example staff who will be affected by a new online HR system). Consultation with the people who will be affected is an important part of the PIA process. There are two main aims. Firstly, it enables an organisation to understand the concerns of those individuals. The consultation will also improve transparency by making people aware of how information about them is being used.

A thorough assessment of privacy risks is only possible if an organisation fully understands how information is being used in a project. An incomplete understanding of how

information is used can be a significant privacy risk – for example; data might be used for unfair purposes or disclosed inappropriately.

You must have regard when linking to the Privacy Impact Assessment to the 8 Data Protection principals below:

Principle 1

Personal data shall be processed fairly and lawfully and, in particular, shall not be processed unless:

- a) at least one of the conditions in Schedule 2 is met, and
- b) in the case of sensitive personal data, at least one of the conditions in Schedule 3 is also met.

- Have you identified the purpose of the project?
- How will individuals be told about the use of their personal data?
- Do you need to amend your privacy notices?
- Have you established which conditions for processing apply?
- If you are relying on consent to process personal data, how will this be collected and what will you do if it is withheld or withdrawn?
- If your organisation is subject to the Human Rights Act, you also need to consider:
- Will your actions interfere with the right to privacy under Article 8?
- Have you identified the social need and aims of the project?
- Are your actions a proportionate response to the social need?

Principle 2

Personal data shall be obtained only for one or more specified and lawful purposes, and shall not be further processed in any manner incompatible with that purpose or those purposes

- Does your project plan cover all of the purposes for processing personal data?
- Have potential new purposes been identified as the scope of the project expands?

Principle 3

Personal data shall be adequate, relevant and not excessive in relation to the purpose or purposes for which they are processed

- Is the information you are using of good enough quality for the purposes it is used for?
- Which personal data could you not use, without compromising the needs of the project?

Principle 4

Personal data shall be accurate and, where necessary, kept up to date

- If you are procuring new software does it allow you to amend data when necessary?
- How are you ensuring that personal data obtained from individuals or other organisations is accurate?

Principle 5

Personal data processed for any purpose or purposes shall not be kept for longer than necessary for that purpose or those purposes

- What retention periods are suitable for the personal data you will be processing?
- Are you procuring software which will allow you to delete information in line with your retention periods?

Principle 6

Personal data shall be processed in accordance with the rights of data subjects under this Act

- Will the systems you are putting in place allow you to respond to subject access requests more easily?
- If the project involves marketing, have you got a procedure for individuals to opt out of their information being used for that purpose?

Principle 7

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

- Do any new systems provide protection against the security risks you have identified?
- What training and instructions are necessary to ensure that staff know how to operate a new system securely?

Principle 8

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

- Will the project require you to transfer data outside of the EEA?
- If you will be making transfers, how will you ensure that the data is adequately protected?

This policy was approved and adopted at the Shobnall Parish Council meeting on 21 May 2018.

Reviewed: 19 May 2025

Next review date: May 2027

Information available from Shobnall Parish Council under the model publication scheme

Information to be published	How the information can be obtained	Cost
Class 1 - Who we are and what we do (Organisational information, structures, locations and contacts) This will be current information only.	Hard copy, email or website	See cost schedule below
Who's who on the Council and its Committees	Hard copy, email or website	See cost schedule below
Contact details for Parish Clerk and Council members	Hard copy, email or website	See cost schedule below
Location of main Council office and accessibility details	Hard copy, email or website	See cost schedule below
Staffing structure	Hard copy, email or website	See cost schedule below
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	Hard copy, email or website	See cost schedule below
Annual return form and report by auditor	Hard copy, email or website	See cost schedule below
Finalised budget	Hard copy, email or website	See cost schedule below
Precept	Minutes	See cost schedule below
Financial Standing Orders and Regulations	Hard copy, email or website	See cost schedule below
Grants given and received	Hard copy, email or website	See cost schedule below
List of current contracts awarded and value of contract	Hard copy, email or website	See cost schedule below
Members' allowances and expenses	Not applicable	
Class 3 – What our priorities are and how we are doing (Strategies and plans, performance indicators, audits, inspections and reviews) Current and previous year as a minimum	Hard copy, email or website	See cost schedule below

Information to be published	How the information can be obtained	Cost
Annual Report to Parish or Community Meeting (current and previous year as a minimum)	Hard copy, email or website	See cost schedule below
Local charters drawn up in accordance with DCLG guidelines	Not applicable	
Class 4 – How we make decisions (Decision making processes and records of decisions) Current and previous council year as a minimum	Minutes (Hard copy, email or website)	See cost schedule below
Timetable of meetings (Council and any committee/sub-committee meetings and parish meetings)	Hard copy, email or website	See cost schedule below
Agendas of meetings (as above)	Hard copy, email, noticeboards or website	See cost schedule below
Minutes of meetings (as above) NB: This will exclude information that is properly regarded as private to the meeting.	Hard copy, email or website	See cost schedule below
Reports presented to council meetings NB: This will exclude information that is properly regarded as private to the meeting.	Minutes (Hard copy, email or website)	See cost schedule below
Responses to consultation papers	Minutes (Hard copy, email or website)	See cost schedule below
Responses to planning applications	Minutes (Hard copy, email or website)	See cost schedule below
Bye-laws	Not applicable	See cost schedule below
Class 5 – Our policies and procedures (Current written protocols, policies and procedures for delivering our services and responsibilities) Current information only	Hard copy, email or website	See cost schedule below

Information to be published	How the information can be obtained	Cost
Policies and procedures for the conduct of council business: Procedural standing orders Financial Regulations Committee and sub-committee terms of reference Delegated authority in respect of officers Code of Conduct Policy statements	Hard copy, email or website	See cost schedule below
Policies and procedures for the provision of services and about the employment of staff: Equality and diversity policy Health and safety policy Recruitment policies (including current vacancies) Policies and procedures for handling requests for information Complaints procedures (including those covering requests for information and operating the publication scheme)	Hard copy, email or website	See cost schedule below
Information security policy	Hard copy, email or website	See cost schedule below
Records management policies (records retention, destruction and archive)	Hard copy, email or website	See cost schedule below
Data protection policies	Hard copy, email or website	See cost schedule below
Schedule of charges (for the publication of information)	Hard copy, email or website	See cost schedule below

Information to be published	How the information can be obtained	Cost
Class 6 – Lists and Registers Currently maintained lists and registers only	(hard copy or website; some information may only be available by inspection)	See cost schedule below
Assets register	Hard copy or email	See cost schedule below
Register of members' interests	East Staffordshire Borough Council website: www.eaststaffsbc.gov.uk/council-democracy/parish-councils/shobnall-parish-council	
Register of gifts and hospitality	Hard copy, email or website	See cost schedule below
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	(hard copy or website; some information may only be available by inspection)	See cost schedule below
The Link Park	Hard copy or email	See cost schedule below
Seating, litter bins and lighting	Hard copy or email	See cost schedule below
Bus shelters	Not applicable	
Agency agreements	Not applicable	
Services for which the council is entitled to recover a fee, together with those fees (e.g. burial fees)	Not applicable	

Contact details:

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SCHEDULE OF CHARGES

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

TYPE OF CHARGE	DESCRIPTION	BASIS OF CHARGE
Disbursement cost	Photocopying @ 10p per sheet (black & white)	Actual cost*
	Photocopying @ 50p per sheet (colour)	Actual cost*
	Postage	Actual cost of Royal Mail standard 2 nd class
Statutory Fee		Not applicable
Other		Not applicable

* the actual cost incurred by the public authority

The Publication Scheme was approved at a meeting of Shobnall Parish Council on 21 May 2018
The Publication Scheme will be reviewed and amended as necessary in May annually.

**SHOBNALL PARISH COUNCIL
RISK MANAGEMENT POLICY**

1. PURPOSE AND SCOPE

Shobnall Parish Council ("SPC") recognises that it has a responsibility to manage risks effectively in order to protect its employees, assets, liabilities, and community against potential losses but acknowledges that risk cannot be totally eliminated. SPC will work to minimise uncertainty in achieving its goals and objectives and to maximise the opportunities to achieve its vision and will put in place a structure to manage risk.

Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.

Risks can be classified into various types but it is important to recognise that for all categories the direct financial losses may have less impact than the indirect costs such as disruption of normal working.

Risk management will:

- a) strengthen the ability of SPC to achieve its objectives and enhance the value of services provided
- b) help to ensure that SPC has an understanding of "risk"
- c) help to ensure that SPC adopts a uniform approach to identifying and prioritising risks.

2. KEY OBJECTIVES

The key objectives of SPC's risk management strategy are to:

- a) integrate risk management into the culture of SPC
- b) manage risk in accordance with best practice
- c) anticipate and respond to changing social, environmental and legislative requirements
- d) prevent loss, disruption, damage and injury and reduce the cost of risk thereby maximising resources
- e) inform policy and operational decisions by identifying risks and their likely impact

3. PROCEDURE

SPC will seek to achieve the key objectives by:

- a) establishing clear roles, responsibilities and reporting lines within SPC
- b) providing opportunities for shared learning on risk management across SPC and promoting opportunities for training
- c) incorporating risk management considerations into SPC's management processes, e.g. project management
- d) effective communication with and the active involvement of employees
- e) monitoring risk management arrangements on an ongoing basis
- f) councillors and employees to have regards for risk in carrying out their duties including adhering to relevant risk assessments

4. RESPONSIBILITY FOR RISK MANAGEMENT

It is the responsibility of all councillors, volunteers who work for SPC and employees whether full time part-time, temporary or casual to have regard for risk in carrying out their duties.

The co-operation and commitment of all SPC councillors and employees is required to ensure that SPC resources are not wasted as a result of uncontrolled risk.

Adopted: 08 April 2019

Reviewed: May annually

Next review date: May 2027



STANDING ORDERS
Adopted 21 May 2018
Reviewed 18 May 2026

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INTRODUCTION

These model standing orders update the National Association of Local Council (NALC) model standing orders contained in “Local Councils Explained” by Meera Tharmarajah (© 2013 NALC). This publication contains new model standing orders which reference new legislation introduced after 2013 when the last model standing orders were published.

HOW TO USE MODEL STANDING ORDERS

Standing orders are the written rules of a local council. Standing orders are essential to regulate the proceedings of a meeting. A council may also use standing orders to confirm or refer to various internal organisational and administrative arrangements. The standing orders of a council are not the same as the policies of a council but standing orders may refer to them.

Local councils operate within a wide statutory framework. NALC model standing orders incorporate and reference many statutory requirements to which councils are subject. It is not possible for the model standing orders to contain or reference all the statutory or legal requirements which apply to local councils. For example, it is not practical for model standing orders to document all obligations under data protection legislation. The statutory requirements to which a council is subject apply whether or not they are incorporated in a council’s standing orders.

The model standing orders do not include model financial regulations. Financial regulations are standing orders to regulate and control the financial affairs and accounting procedures of a local council. The financial regulations, as opposed to the standing orders of a council, include most of the requirements relevant to the council’s Responsible Financial Officer. Model financial regulations are available to councils in membership of NALC.

DRAFTING NOTES

Model standing orders that are in bold type contain legal and statutory requirements. It is recommended that councils adopt them without changing them or their meaning. Model standing orders not in bold are designed to help councils operate effectively but they do not contain statutory requirements so they may be adopted as drafted or amended to suit a council’s needs. It is NALC’s view that all model standing orders will generally be suitable for councils.

For convenience, the word “councillor” is used in model standing orders and, unless the context suggests otherwise, includes a non-councillor with or without voting rights.

A model standing order that includes brackets like this ‘()’ requires information to be inserted by a council. A model standing order that includes brackets like this ‘[]’ and the term ‘OR’ provides alternative options for a council to choose from when determining standing orders.

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 chairman 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 chairman of the meeting as withdrawn.
- d If a motion (including an amendment) has been seconded, it may be withdrawn by the proposer only with the consent of the seconder and the meeting.
- e An amendment is a proposal to remove or add words to a motion. It shall not negate the motion.
- f If an amendment to the original motion is carried, the original motion (as amended) becomes the substantive motion upon which further amendment(s) may be moved.
- g An amendment shall not be considered unless early verbal notice of it is given at the meeting and, if requested by the chairman of the meeting, is expressed in writing to the chairman.
- h A councillor may move an amendment to his own motion if agreed by the meeting. If a motion has already been seconded, the amendment shall be with the consent of the seconder and the meeting.
- i If there is more than one amendment to an original or substantive motion, the amendments shall be moved in the order directed by the chairman of the meeting.
- j Subject to standing order 1(k), only one amendment shall be moved and debated at a time, the order of which shall be directed by the chairman of the meeting.
- k One or more amendments may be discussed together if the chairman of the meeting considers this expedient but each amendment shall be voted upon separately.
- l A councillor may not move more than one amendment to an original or substantive motion.
- m The mover of an amendment has no right of reply at the end of debate on it.
- n Where a series of amendments to an original motion are carried, the mover of the original motion shall have a right of reply either at the end of debate on the first amendment or at the very end of debate on the final substantive motion immediately before it is put to the vote.
- o Unless permitted by the chairman of the meeting, a councillor may speak once in the

debate on a motion except:

- i. to speak on an amendment moved by another councillor;
 - ii. to move or speak on another amendment if the motion has been amended since he last spoke;
 - iii. to make a point of order;
 - iv. to give a personal explanation; or
 - v. to exercise a right of reply.
- p During the debate on a motion, a councillor may interrupt only on a point of order or a personal explanation and the councillor who was interrupted shall stop speaking. A councillor raising a point of order shall identify the standing order which he considers has been breached or specify the other irregularity in the proceedings of the meeting he is concerned by.
- q A point of order shall be decided by the chairman of the meeting and his decision shall be final.
- r When a motion is under debate, no other motion shall be moved except:
- i. to amend the motion;
 - ii. to proceed to the next business;
 - iii. to adjourn the debate;
 - iv. to put the motion to a vote;
 - v. to ask a person to be no longer heard or to leave the meeting;
 - vi. to refer a motion to a committee or sub-committee for consideration;
 - vii. to exclude the public and press;
 - viii. to adjourn the meeting; or
 - ix. to suspend particular standing order(s) excepting those which reflect mandatory statutory or legal requirements.
- s Before an original or substantive motion is put to the vote, the chairman of the meeting shall be satisfied that the motion has been sufficiently debated and that the mover of the motion under debate has exercised or waived his right of reply.
- t Excluding motions moved under standing order 1(r), the contributions or speeches by a councillor shall relate only to the motion under discussion and shall not exceed five minutes without the consent of the chairman of the meeting.

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 chairman of the meeting shall request such person(s) to moderate or improve their conduct.
- b If person(s) disregard the request of the chairman of the meeting to moderate or improve their conduct, any councillor or the chairman of the meeting may move that the person be no longer heard or be 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) is ignored, the chairman 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

Full Council meetings	●
Committee meetings	●
Sub-committee meetings	●

- 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.**
- b **The minimum three clear days for notice of a meeting 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 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 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) shall not exceed 15 minutes unless directed by the chairman of the meeting.
- g Subject to standing order 3(f), a member of the public shall not speak for more than three minutes.
- h In accordance with standing order 3(e), a question shall not require a response at the meeting nor start a debate on the question. The chairman of the meeting may direct that a written or oral response be given.
- i A person who speaks at a meeting shall direct his comments to the chairman of the meeting.

- j Only one person is permitted to speak at a time. If more than one person wants to speak, the chairman of the meeting shall direct the order of speaking.
- k **Subject to standing order 3(m), a person who attends a meeting is permitted to report on the meeting whilst the meeting is open to the public. To “report” means to film, photograph, make an audio recording of meeting proceedings, use any other means for enabling persons not present to see or hear the meeting as it takes place or later or to report or to provide oral or written commentary about the meeting so that the report or commentary is available as the meeting takes place or later to persons not present.**
- l **A person present at a meeting may not provide an oral report or oral commentary about a meeting as it takes place without permission.**
- m **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.**
- n **Subject to standing orders which indicate otherwise, anything authorised or required to be done by, to or before the Chairman of the Council may in his absence be done by, to or before the Vice Chairman of the Council (if there is one).**
- o **The Chairman of the Council, if present, shall preside at a meeting. If the Chairman is absent from a meeting, the Vice Chairman of the Council (if there is one) if present, shall preside. If both the Chairman and the Vice Chairman are absent from a meeting, a councillor as chosen by the councillors present at the meeting shall preside at the meeting.**
- p **Subject to a meeting being quorate, all questions at a meeting shall be decided by a majority of the councillors and non-councillors with voting rights present and voting.**
- q **The chairman 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 casting vote whether or not he gave an original vote.**
See standing orders 5(h) and (i) for the different rules that apply in the election of the Chairman of the Council at the annual meeting of the Council.
- r **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 his vote for or against that question. Such a request shall be made before moving on to the next item of business on the agenda.**
- s 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 who are present and the names of councillors

- iii. who are absent;
 - iv. interests that have been declared by councillors and non-councillors with voting rights;
 - v. the grant of dispensations (if any) to councillors and non-councillors with voting rights;
 - vi. whether a councillor or non-councillor with voting rights left the meeting when matters that they held interests in were being considered;
 - vii. if there was a public participation session; and
 - viii. the resolutions made.
- t **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 right to participate and vote on that matter.**
 - u **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) for the quorum of a committee or sub-committee meeting.
 - v **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.

4. COMMITTEES AND SUB-COMMITTEES

- a **Unless the Council determines otherwise, a committee may appoint a sub-committee whose terms of reference and 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 their terms of reference;
 - ii. shall determine the number and time of the ordinary meetings of a standing committee up until the date of the next annual meeting of the Council;
 - iii. shall permit a committee, other than in respect of the ordinary meetings of a committee, to determine the number and time of its meetings;
 - iv. shall, subject to standing orders 4(b) and (c), appoint and determine the terms of office of members of such a committee;

- v. may, subject to standing orders 4(b) and (c), 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 if the ordinary members of the committee confirm to the Proper Officer two days before the meeting that they are unable to attend;
- vi. shall, after it has appointed the members of a standing committee, appoint the chairman of the standing committee;
- vii. shall permit a committee other than a standing committee, to appoint its own chairman at the first meeting of the committee;
- viii. shall determine the place, notice requirements and quorum for a meeting of a committee and a sub-committee which, in both cases, shall be no less than three;
- ix. shall determine if the public may participate at a meeting of a committee;
- x. shall determine if the public and press are permitted to attend the meetings of a sub-committee and also the advance public notice requirements, if any, required for the meetings of a sub-committee;
- xi. shall determine if the public may participate at a meeting of a sub-committee that they are permitted to attend; and
- xii. may dissolve a committee or a sub-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 councillors elected take office.**
- b **In a year which is not an election year, the annual meeting of the Council shall be held on such day in May as the Council decides.**
- c **If no other time is fixed, the annual meeting of the Council shall take place at 6pm.**
- 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 decides.**
- e **The first business conducted at the annual meeting of the Council shall be the election of the Chairman and Vice Chairman (if there is one) of the Council.**
- f **The Chairman of the Council, unless he has resigned or becomes disqualified, shall continue in office and preside at the annual meeting until his successor is elected at the next annual meeting of the Council.**
- g **The Vice Chairman of the Council, if there is one, unless he resigns or becomes disqualified, shall hold office until immediately after the election of the Chairman of the Council at the next annual meeting of the Council.**
- g **In an election year, if the current Chairman of the Council has not been re-elected as a member of the Council, he shall preside at the annual meeting until a successor Chairman of the Council has been elected. The current Chairman of the Council shall not have an original vote in respect of the election of the new Chairman of the Council but shall give a casting vote in the case of an equality of votes.**

- h **In an election year, if the current Chairman of the Council has been re-elected as a member of the Council, he shall preside at the annual meeting until a new Chairman of the Council has been elected. He may exercise an original vote in respect of the election of the new Chairman of the Council and shall give a casting vote in the case of an equality of votes.**
- i Following the election of the Chairman of the Council and Vice Chairman (if there is one) of the Council at the annual meeting, the business shall include:
- i. **In an election year, delivery by the Chairman 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 Chairman of the Council of his 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;
 - ix. Review and adoption of appropriate standing orders and financial regulations;
 - x. Review of arrangements (including legal agreements) with other local authorities, not-for-profit bodies and businesses.
 - 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 other assets including buildings and office equipment;
 - xiv. Confirmation of arrangements for insurance cover in respect of all insurable 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 policies, procedures and practices in respect of its obligations under freedom of information and data protection legislation (*see also standing orders 11, 20 and 21*);
 - xviii. Review of the Council's policy for dealing with the press/media;
 - xix. Review of the Council's employment policies and procedures;
 - xx. Review of the Council's expenditure incurred under s.137 of the Local Government Act 1972 or the general power of competence.
 - xxi. Determining the time and place of ordinary meetings of the Council up to and including the next annual meeting of the Council.

6. EXTRAORDINARY MEETINGS OF THE COUNCIL, COMMITTEES AND SUB-COMMITTEES

- a **The Chairman of the Council may convene an extraordinary meeting of the Council at any time.**
- b **If the Chairman of the Council does not 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 shall be signed by the two councillors.**
- c The chairman of a committee may convene an extraordinary meeting of the committee at any time.
- d If the chairman of a committee does not call an extraordinary meeting within seven days of having been requested to do so by two members of the committee, any two members of the committee may convene an extraordinary meeting of the 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 three councillors to be given to the Proper Officer in accordance with standing order 9, 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) has been disposed of, no similar motion may be moved for 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 chairman of the meeting.

9. MOTIONS FOR A MEETING THAT REQUIRE WRITTEN NOTICE TO BE GIVEN TO THE PROPER OFFICER

- a A motion shall relate to the responsibilities of the meeting for which it is tabled 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 and the mover has given written notice of its wording to the Proper Officer at least seven clear days before the meeting. Clear days do not include the day of the notice or the day of the meeting.

- c The Proper Officer may, before including a motion on the agenda received in accordance with standing order 9(b), correct obvious grammatical or typographical errors in the wording of the motion.
- d If the Proper Officer considers the wording of a motion received in accordance with standing order 9(b) is not clear in meaning, the motion shall be rejected until the mover of the motion resubmits it, so that it can be understood, in writing, to the Proper Officer at least four clear days before the meeting.
- e If the wording or subject of a proposed motion is considered improper, the Proper Officer shall consult with the chairman 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 The decision of the Proper Officer as to whether or not to include the motion on the agenda shall be final.
- g Motions received shall be recorded and numbered in the order that they are received.
- h Motions rejected shall be recorded with an explanation by the Proper Officer of the reason for 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 Proper Officer:
 - i. to correct an inaccuracy in the draft minutes of a meeting;
 - ii. to move to a vote;
 - iii. to defer consideration of a motion;
 - iv. to refer a motion to a particular committee or sub-committee;
 - v. to appoint a person to preside at a meeting;
 - vi. to change the order of business on the agenda;
 - vii. to proceed to the next business on the agenda;
 - viii. to require a written report;
 - ix. to appoint a committee or sub-committee and their members;
 - x. to extend the time limits for speaking;
 - xi. to exclude the press and public from a meeting in respect of confidential or other information which is prejudicial to the public interest;
 - xii. to not hear further from a councillor or a member of the public;
 - xiii. to exclude a councillor or member of the public for disorderly conduct;
 - xiv. to temporarily suspend the meeting;
 - xv. to suspend a particular standing order (unless it reflects mandatory statutory or legal requirements);
 - xvi. to adjourn the meeting; or
 - xvii. to close the meeting.

11. **MANAGEMENT OF INFORMATION**

See also standing order 20.

- a **The Council shall have in place and keep under review, technical and organisational measures to keep secure information (including personal data) which it holds in paper and electronic form. Such arrangements shall include deciding who has access to personal data and encryption of personal data.**
- b **The Council shall have in place, and keep under review, policies for the retention and safe destruction of all information (including personal data) which it holds in paper and electronic form. The Council's retention policy shall confirm the period for which information (including personal data) shall be retained or if this is not possible the criteria used to determine that period (e.g. the Limitation Act 1980).**
- c **The agenda, papers that support the agenda and the minutes of a meeting shall not disclose or otherwise undermine confidential information or personal data without legal justification.**
- d **Councillors, staff, the Council's contractors and agents shall not disclose confidential information or personal data without legal justification.**

12. **DRAFT MINUTES**

Full Council meetings	●
Committee meetings	●
Sub-committee meetings	●

- 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).
- c The accuracy of draft minutes, including any amendment(s) made to them, shall be confirmed by resolution and shall be signed by the chairman of the meeting and stand as an accurate record of the meeting to which the minutes relate.
- d If the chairman of the meeting does not consider the minutes to be an accurate record of the meeting to which they relate, he shall sign the minutes and include a paragraph in the following terms or to the same effect:

"The chairman of this meeting does not believe that the minutes of the meeting of the () held on [date] in respect of () were a correct record but his view was not upheld by the meeting and the minutes are confirmed as an accurate record of the proceedings."

- e **If the Council's gross annual income or expenditure (whichever is higher) does not exceed £25,000, it shall publish draft minutes on a website which is publicly accessible and free of charge not later than one month after the meeting has taken place.**
- f Subject to the publication of draft minutes in accordance with standing order 12(e) and standing order 21(a) and following 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(u).

- a All councillors and non-councillors with voting rights shall observe the code of conduct adopted by the Council.
- b Unless he 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 he has a disclosable pecuniary interest. He may return to the meeting after it has considered the matter in which he had the interest.
- c Unless he 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 he has another interest if so required by the Council's code of conduct. He may return to the meeting after it has considered the matter in which he had the interest.
- d **Dispensation requests shall be in writing and submitted to the Proper Officer** 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 a meeting of the council or committee for which the dispensation is required 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), a dispensation request shall be considered at the beginning of the meeting of the council, or committee or sub-committee for which the dispensation is required.

- h** A dispensation may be granted in accordance with standing order 13(e) if having regard to all relevant circumstances any of the following apply:
- 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;
 - 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 or Unitary 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. Such action excludes disqualification or suspension from office.

15. PROPER OFFICER

- a** The Proper Officer shall be the clerk or an elected member(s) nominated by the council to undertake the work of the Proper Officer when the Proper Officer is absent.

- b** The Proper Officer shall:

- i.** at least three clear days before a meeting of the council, a committee or a sub-committee,
 - serve on councillors by delivery or post at their residences or by email authenticated in such manner as the Proper Officer thinks fit, a signed summons confirming the time, place and the agenda (provided the councillor has consented to service by email), and
 - Provide, in a conspicuous place, public notice of the time, place and agenda (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) for the meaning of clear days for a meeting of a full council and standing order 3(c) for the meaning of clear days for a meeting of a committee;

- ii.** subject to standing order 9, include on the agenda all motions in the order received unless a councillor has given written notice at least four days before the meeting confirming his withdrawal of it;
- iii.** convene a meeting of the council for the election of a new Chairman of the Council, occasioned by a casual vacancy in his office;
- iv.** facilitate inspection of the minute book by local government electors;
- v.** receive and retain copies of byelaws made by other local authorities;
- vi.** hold acceptance of office forms from councillors;
- vii.** ensure that every councillor's register of interests is supplied to the Borough Council;
- viii.** assist with responding to requests made under freedom of information legislation

and rights exercisable under data protection legislation, in accordance with the council's relevant policies and procedures;

- ix. liaise, as appropriate, with the council's Data Protection Officer (where one has been appointed);
- x. receive and send general correspondence and notices on behalf of the council except where there is a resolution to the contrary;
- xi. assist in the organisation of, storage of, access to, security of and destruction of information held by the council in paper and electronic form subject to the requirements of data protection and freedom of information legislation and other legitimate requirements (e.g. the Limitation Act 1980);
- xii. arrange for legal deeds to be executed;
(see also standing order 24);
- xiii. arrange or manage the prompt authorisation, approval, and instruction regarding any payments to be made by the council in accordance with its financial regulations;
- xiv. record every planning application notified to the council and the council's response to the local planning authority in a book for such purpose;
- xv. refer a planning application received by the council to the council within three working days of receipt to facilitate an extraordinary meeting if 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

16. RESPONSIBLE FINANCIAL OFFICER

The Clerk will act as the Responsible Financial Officer or be responsible for managing a Finance Officer or other employees of the council.

17. DELEGATION OF AUTHORITY

The council delegate authority to the Clerk in consultation with the Chair and Vice Chair (or other councillors should one or the other be indisposed) to take any actions necessary with associated expenditure to protect the interests of the community and ensure council business continuity during the period of an emergency situation, informed by consultation with members of the council. All decisions to be minuted appropriately. Delegated authority to cease upon the first face-to-face meeting of the council (see also Financial Regulation No. 4.5).

18. 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 at every meeting of the council a statement to summarise:
 - i. the council's receipts and payments (or income and expenditure) for each

- quarter;
 - ii. the council's aggregate receipts and payments (or income and expenditure) 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 (or income and expenditure) for the last quarter and the year to date for information; and
 - ii. to the council the accounting statements for the year in the form of Section 2 of the annual governance and accountability return, as required by proper practices, for consideration and approval.
- e The year-end accounting statements shall be prepared in accordance with proper practices and apply the form of accounts determined by the council (receipts and payments, or income and expenditure) for the year to 31 March. A completed draft annual governance and accountability return shall be presented to all councillors at least seven days prior to anticipated approval by the council. The annual governance and accountability return of the council, which is subject to external audit, including the annual governance statement, shall be presented to the council for consideration and formal approval before 30 June.

19. 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. whether contracts with an estimated value below **£25,000** due to special circumstances are exempt from a tendering process or procurement exercise.
- b. Financial regulations shall be reviewed regularly and at least annually for fitness of purpose.
- c. 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 (i) the Council's specification (ii) the time, date and address for the submission of tenders (iii) the date of the Council's written response to the tender and (iv) the prohibition on prospective contractors contacting councillors or staff to encourage or support their tender outside the prescribed process;
 - iii. tenders are to be submitted in writing in a sealed marked envelope addressed to the Proper Officer;
 - iv. tenders shall be opened by the Proper Officer in the presence of at least one councillor after the deadline for submission of tenders has passed;
 - v. tenders are to be reported to and considered by the appropriate meeting of the Council or a committee or sub-committee with delegated responsibility.
- d. Neither the Council, nor a committee or a sub-committee with delegated responsibility for considering tenders, is bound to accept the lowest value tender.
- e. **Where the value of a contract is likely to exceed the threshold specified by the Government from time to time, the Council must consider whether the contract is subject to the requirements of the current procurement legislation and, if so, the Council must comply with procurement rules. NALC's procurement guidance contains further details.**

20. HANDLING STAFF MATTERS

- a. A matter personal to a member of staff that is being considered by a meeting of council OR the Finance committee is subject to standing order 11.
- b. Subject to the council's policy regarding absences from work, the council's most senior member of staff shall notify the chairman of or, if he is not available, the vice chairman (if there is one) of the council of absence occasioned by illness or other reason and that person shall report such absence to council at its next meeting.
- c. The chairman of the council, or in his absence the vice chairman, 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 are subject to approval by resolution by the council.
- d. Subject to the council's policy regarding the handling of grievance matters, the council's most senior member of staff (or other members of staff) shall contact the chairman of the council, or in his absence, the vice chairman of council in respect of an informal or formal grievance matter, and this matter shall be reported back and progressed by resolution of council.

- e Subject to the council's policy regarding the handling of grievance matters, if an informal or formal grievance matter raised by the Clerk relates to the chairman or vice chairman of the council, this shall be communicated to another member of the council, which shall be reported back and progressed by resolution of the council.
- f Any persons responsible for all or part of the management of staff shall treat as confidential the written records of all meetings relating to their performance, capabilities, grievance or disciplinary matters.
- g In accordance with standing order 11(a), persons with line management responsibilities shall have access to staff records referred to in standing order 20(f).

21. RESPONSIBILITIES TO PROVIDE INFORMATION

See also standing order 21.

In accordance with freedom of information legislation, the council shall publish information in accordance with its publication scheme and respond to requests for information held by the council.

22. RESPONSIBILITIES UNDER DATA PROTECTION LEGISLATION

(Below is not an exclusive list).

See also standing order 11.

- a **The council may appoint a Data Protection Officer.**
- b **The council shall have policies and procedures in place to respond to an individual exercising statutory rights concerning his personal data.**
- c **The council shall have a written policy in place for responding to and managing a personal data breach.**
- d **The council shall keep a record of all personal data breaches comprising the facts relating to the personal data breach, its effects and the remedial action taken.**
- e **The council shall ensure that information communicated in its privacy notice(s) is in an easily accessible and available form and kept up to date.**
- f **The council shall maintain a written record of its processing activities.**

23. RELATIONS WITH THE PRESS/MEDIA

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.

24. EXECUTION AND SEALING OF LEGAL DEEDS

See also standing order 15(b)(xii).

- a A legal deed shall not be executed on behalf of the council unless authorised by a resolution.
- b **Subject to standing order 23(a), any two councillors may sign on behalf of the council, any deed required by law and the Proper Officer shall witness their signatures.**
The above is applicable to a council without a common seal.

25. COMMUNICATING WITH DISTRICT AND COUNTY COUNCILLORS

An invitation to attend a meeting of the council shall be sent, together with the agenda, to the ward councillor(s) of the District and County Council representing the area of the council.

26. RESTRICTIONS ON COUNCILLOR ACTIVITIES

- a Unless duly authorised 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.

27. STANDING ORDERS GENERALLY

- a All or part of a standing order, except one that incorporates mandatory statutory or legal 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 or legal requirements, shall be proposed by a special motion, the written notice by at least three councillors to be given to the Proper Officer in accordance with standing order 9.
- c The Proper Officer shall provide a copy of the council's standing orders to a councillor as soon as possible.
- d The decision of the chairman of a meeting as to the application of standing orders at the meeting shall be final.

DOCUMENT HISTORY

Detailed History of Changes

Rev. No.	Date	Description of Changes
1	21/05/2018	Original document adopted
1.1	17/09/2018	Minor amendments issued by NALC were implemented with immediate effect.
1.2	18/05/2020	New Standing Order 17 (Delegation of Authority) added and remaining SO's renumbered.
1.3	21/06/2021	Minor text changes throughout the document
	16/05/2022	Reviewed, no changes
	14/08/2023	Reviewed, no changes
	20/05/2024	Reviewed, no changes
1.4	19/05/2025	Amendments to SO's 14 (Code of Conduct) and 19 (Financial Controls and Procurement), as advised by NALC
	178/05/26	Reviewed, no changes

**Shobnall Parish Council
Statement of Internal Control and Annual Review of Effectiveness of Internal Control**

1. Overview

- 1.1 Local councils are required to conduct an annual review of the effectiveness of its system of internal control. The council is required to sign the Annual Governance Statement (on the Annual Return submitted to the external auditor) to evidence that this review has been undertaken.
- 1.2 In order for the Council to review the effectiveness of the Internal Control System there needs to be clarity on the internal controls in place.
- 1.3 Some internal controls are listed in the Financial Regulations document but the system of controls goes beyond this. A Statement of Internal Controls has been prepared and is appended to this report.

2. Recommendation

- 2.1 That the Council consider the attached Statement of Internal Controls and consider whether the controls currently in place are effective.

Shobnall Parish Council
Statement of Internal Control

Cash Book/Bank Reconciliations	<ul style="list-style-type: none"> ▪ The Cash Books are kept up to date from original documents (paying-in books, invoices). ▪ The Cash Books are reconciled to the bank statements on a monthly basis.
Financial Regulations	<ul style="list-style-type: none"> ▪ A document listing the Council's Financial Regulations, based on the model version prepared by NALC/SLCC, is maintained. The Regulations are reviewed for continued relevance and amended where necessary by the Responsible Financial Officer (RFO) with any proposed amendments subject to approval by the Council.
Order/Tender Controls	<ul style="list-style-type: none"> ▪ The Financial Regulations list the number of estimates, quotations or full tenders that must be invited depending on the value and nature of the work. ▪ Official letters/emails/Purchase Orders are sent to suppliers for services which are not regular in nature.
Legal Powers	<ul style="list-style-type: none"> ▪ A proper legal power is identified in advance of any expenditure.
Payment Controls	<ul style="list-style-type: none"> ▪ Purchase Orders/letters/emails ordering the work are matched to purchase invoices where applicable. ▪ A Schedule of Payments is presented to every ordinary meeting of the Council for approval (such approval is recorded in the Minutes). ▪ All financial documents are signed by two authorised signatories. ▪ All Faster Payments/BACS transactions are authorised by two authorised signatories. ▪ Original invoices are provided to the councillors authorising BACS payments.

<p>The Free Resource, i.e. LGA 1972, s.137</p>	<ul style="list-style-type: none"> ▪ A separate s.137 account is maintained where necessary. ▪ The RFO calculates the maximum amount of s.137 expenditure able to be made each year and ensures that it is not exceeded. ▪ The proper minute authorising expenditure from s.137 is prepared on each occasion.
<p>The General Power of Competence</p>	<ul style="list-style-type: none"> ▪ Not currently adopted by the council.
<p>VAT Repayment Claims</p>	<ul style="list-style-type: none"> ▪ The RFO ensures that all invoices are addressed to the Council. ▪ The RFO ensures that proper VAT invoices are received where VAT is payable. ▪ The RFO maintains a VAT account to show that the correct amount of VAT is reclaimed in the year.
<p>Income Controls</p>	<ul style="list-style-type: none"> ▪ The RFO ensures that the Precept decision is declared to East Staffordshire Borough Council on time. ▪ The RFO ensures that the amount of Precept received is correct in accordance with the Precept request submitted to the Borough Council. ▪ The RFO ensures that the Precept instalments are received when due. ▪ The RFO ensures that all other receipts are received when due and correctly calculated. ▪ Income is banked promptly.
<p>Financial Reporting</p>	<ul style="list-style-type: none"> ▪ The performance to date and latest year end forecast against the agreed annual Budget are presented to each ordinary meeting of the Council.

Budgetary Controls	<ul style="list-style-type: none"> ▪ The budget is prepared in consultation with the Council. ▪ The Precept is set on the basis of the budget by the deadline set by the Borough Council.
Payroll Controls	<ul style="list-style-type: none"> ▪ All staff are paid under PAYE. ▪ All staff salaries are set by the Council and a minute is prepared to show the agreed salaries. ▪ The council has engaged Bradley Accountancy & Taxation Services to administer its payroll. ▪ Salaries are paid via Faster Payment direct into employees Bank accounts; all payments are approved by two authorised signatories. ▪ The RFO will ensure that all the necessary payroll returns are made to HMRC and will retain evidence that this has been done.
Asset Control	<ul style="list-style-type: none"> ▪ The RFO maintains a full Asset Register. ▪ The existence and condition of assets is checked on an annual basis. ▪ The adequacy of insurance of the Council’s assets is considered annually in advance of the insurance renewal.

Prepared by:

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The Management of Transferable Data Policy

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1. Purpose

- 1.1 This policy supports the controlled storage and transfer of information by Councillors and all employees, temporary staff and agents (contractors, consultants and others working on behalf of the council) who have access to and use of computing equipment that is owned or leased by Shobnall Parish Council.
- 1.2 Information is used throughout the council and is sometimes shared with external organisations and applicants. The use of removable media may result in the loss of the ability to access information, or interference with the integrity of information, which could have a significant effect on the efficient operation of the council and may result in financial loss and an inability to provide services to the public.
- 1.3 It is therefore essential for the continued operation of the council that the availability, integrity and confidentiality of all storage devices are maintained at a level which is appropriate to the council's needs.
- 1.4 The aims of the policy are to ensure that the use of removable storage devices is accomplished with due regard to:
 - 1.4.1 Enabling the correct data to be made available where it is required
 - 1.4.2 Maintaining the integrity of the data
 - 1.4.3 Preventing unintended consequences to the stability of the computer network
 - 1.4.4 Building confidence and trust in data that is being shared between systems
 - 1.4.5 Maintaining high standards of care towards data and information about individual parishioners, staff or information that is exempt from disclosure
 - 1.4.6 Compliance with legislation, policies or good practice requirements

2. Principals

- 2.1 This policy sets out the principles that will be adopted by the council in order for material to be safely stored on removable media so that the risk of loss or corruption to work data is low.
- 2.2 Removable media includes but is not limited to:

USB memory sticks, memory cards, portable memory devices, CD/DVDs, diskettes and any other device that transfers data between systems or stores electronic data separately from email or other applications.
- 2.4 Any person who intends to store council data on removable media must abide by this Policy. This requirement devolves to Councillors, employees and agents of the council, who may be held personally liable for any breach of the requirements of this policy.

2.5 Failure to comply with this policy could result in disciplinary action.

3. Advice and Assistance

3.1 The Clerk will ensure that everyone that is authorised to access the council's information systems is aware of their obligations arising from this policy.

3.2 A competent person should be consulted over any hardware or system issues. Advice and guidance on using software packages should be also sort from a competent person.

4. Responsibilities

4.1 Clerks are responsible for enforcing this policy and for having arrangements in place to identify the location of all data used in connection with council business.

4.2 Users of removable media must have adequate Records Management/Information Security training so that relevant policies are implemented.

5. Incident Management

5.1 It is the duty of all employees and agents of the council to not allow storage media to be compromised in any way whilst in their care or under their control. There must be immediate reporting of any misuse or irresponsible actions that affect work data or information, any loss of material, or actual, or suspected breaches in information security to the Clerk.

5.2 It is the duty of all Councillors/Employees to report any actual or suspected breaches in information security to the Clerk.

6. Data Administration

6.1 Removable media should not be the only place where data created or obtained for work purposes is held, as data that is only held in one place and in one format is at much higher risk of being unavailable through loss, destruction or malfunction of equipment, than data which is routinely backed up.

6.2 Where removable media is used to transfer material between systems then copies of the data should also remain on the source system or computer, until the data is successfully transferred to another computer or system.

6.3 Where there is a business requirement to distribute information to third parties, then removable media must only be used when the file cannot be sent or is too large to be sent by email or other secure electronic means.

6.4 Transferring material to removable media is a snapshot of the data at the time it was saved to the media. Adequate labelling must be undertaken so as to easily identify the version of the data, as well as its content.

6.5 Files must be deleted from removable media, or the removable media destroyed, when the operational use of the material has been completed. The council's

retention and disposition schedule must be implemented by Councillors, employees, contractors and agents for all removable media.

7. Security

- 7.1 All storage media must be kept in an appropriately secure and safe environment that avoids physical risk, loss or electrical corruption of the business asset. Due to their small size there is a high risk of the removable media being mislaid lost or damaged, therefore special care is required to physically protect the device and the data. Anyone using removable media to transfer data must consider the most appropriate way to transport the device and be able to demonstrate that they took reasonable care to avoid damage or loss.
- 7.2 Virus Infections must be prevented from damaging the council's network and computers. Virus and malware checking software approved by the council, must be operational on both the machine from which the data is taken and the machine on to which the data is to be loaded. The data must be scanned by the virus checking software, before the media is loaded on to the receiving machine.
- 7.3 Any memory stick used in connection with council equipment or to store council material should usually be council owned. However, work related data from external sources can be transferred to the council network using memory sticks that are from trusted sources and have been checked using current anti-virus software.
- 7.4 The council will not provide support or administrator access for any non-council memory stick.

8. Use of removable media

- 8.1 Care must be taken over what data or information is transferred onto removable media. Only the data that is authorised and necessary to be transferred should be saved on to the device.
- 8.3 Council material belongs to the council and any equipment on which it is held should be under the control of the council and not available to be used for other purposes that may compromise the data.
- 8.4 All data transferred to removable media should be in accordance with an agreed process established by the council so that material can be traced.
- 8.5 The person arranging the transfer of data must be authorised to make use of, or process that particular data.
- 8.6 Whilst in transit or storage the data must be given appropriate security according to the type of data and its sensitivity.
- 8.7 Encryption must be applied to the data file unless there is no risk to the council, other organisations or individuals from the data being lost whilst in transit or storage. If encryption is not available, password control must be applied if removable media must be used for the business purpose.

9. Faulty or Unneeded Storage Devices

- 9.1 Damaged or faulty media must not be used. The Clerk must be consulted over any damaged equipment, peripherals or media.
- 9.2 All unneeded or faulty storage devices must be dealt with securely to remove the data before reallocating or disposing of the device.

10. Breach procedures

- 10.1 Users who do not adhere to this policy will be dealt with through the council's disciplinary process.
- 10.2 Where external service providers, agents or contractors breach the policy, this should be addressed through contract arrangements.

11. Review and Revision

- 11.1 This policy will be reviewed annually by the council and revised according to developments in legislation, guidance, accepted good practice and operational use.

12. Employees Guide in Brief

- 12.1 Data and information are valuable and must be protected.
- 12.2 Only transfer data onto removable media, if you have the authority to do so.
- 12.4 All transfer arrangements carry a risk to the data.
- 12.5 Run the virus checking programme on the removable media each time it is connected to a computer.
- 12.6 Only use approved products for council data.
- 12.7 Activate encryption on removable media wherever it is available and password protection if not available
- 12.8 Data should be available for automatic back up and not solely saved to removable media.
- 12.9 Delete files from removable media, or destroy the media, after the material has been used for its purpose.

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