

RATTLESDEN PARISH COUNCIL

Internal Controls Review Checklist 2020

System of Control	Purpose/Process	Position	Action Plan
Standing Orders	To establish and document procedures and processes for the conduct and transaction of business by the Council.	Fully-revised standing orders were adopted April 2014; updated September 2019.	<i>No further action required currently.</i>
Financial Regulations	To establish and document regulations governing the financial management of the Council.	Updated regulations adopted April 2014; revised September 2019.	<i>No further action required currently.</i>
Minutes and Accounts - Arrangements for Inspection by Local Residents	Draft and approved minutes on village website plus authorised expenditure (to comply with the Government transparency code); minutes and accounts on request from the Clerk; accounts also available via the statutory audit process; minutes and accounts obtainable via requests under the Freedom of Information Act 2000.	Position last reviewed February 2019. Effective arrangements deemed to be in place.	<i>No further action required currently.</i>
Councillors' Code of Conduct	Suffolk Local Code of Conduct adopted by the Council; councillors complete declarations of office and register all/any interests.	Revised Suffolk Local Code of Conduct adopted July 2014.	<i>No further action required currently.</i>
Freedom of Information Act 2000 - Arrangements	To provide for Council compliance with statutory duties regarding the holding and processing of information - including the provision of a Publication Scheme and access, upon request, to information.	Publication Scheme approved March 2016 and published; updated February 2019.	<i>No further action required currently.</i>
General Data Protection Regulation/Data Protection Act 2018 - Arrangements	To ensure Council compliance with statutory duties relating to the holding and processing of information about living persons - including the provision of access, upon request, to such personal data.	Council fully compliant; registered as a data controller in April 2018 with the Information Commissioner's Office.	<i>No further action required currently.</i>
Environmental Information	To ensure the Council complies with statutory	Relevant information	<i>No further action</i>

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Regulations 2004 - Arrangements	duties regarding the holding and processing of environmental information - including the provision of access, upon request, to information.	included in Publication Scheme.	<i>required currently.</i>
Handling Complaints - Arrangements	To provide an effective and efficient procedure for dealing with any complaints both about the Council and individual councillors.	Fully-revised complaints procedure adopted September 2014; minor update February 2019.	<i>No further action required currently.</i>
Regular Financial Reports	To ensure councillors are kept fully up-to-date with Council finances and able to question and manage income and expenditure..	Monthly reports to Council including payment and income schedules.	<i>No further action required currently.</i>
Budgetary Control and Monitoring Procedures	Budget and finances monitored by the Clerk/Responsible Financial Officer with scheduled reports to the Council - including identification of variances, any problems and/or possible out-turn issues.	Quarterly reports to Council of performance against the annual budget.	<i>No further action required currently.</i>
Independent Internal Audit	To assist the Council in fulfilling its responsibility to have and maintain proper arrangements for the prevention and detection of fraud, error or mistake. To test the Council's internal controls sufficient for the proper completion of an annual internal audit report.	2018-2019 internal and external audit reports reviewed and action taken to implement findings as appropriate.	<i>No further action required currently.</i>
Bank Reconciliation	Scheduled reports to Council comparing and reconciling detailed figures from the accounting records with those shown on bank statements.	Monthly and quarterly reports to Council.	<i>No further action required currently.</i>
Identification, Evaluation and Management of Operational and Financial	To establish, document and assess all risks faced by the Council; and to enable those risks to be mitigated and/or managed.	Fully-revised Risk Register adopted in September 2014;	<i>No further action required currently.</i>

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Risks		monitored monthly; last updated January 2020..	

Review conducted on behalf of Council by the Parish Clerk/Responsible Financial Officer.

Reported to, considered and adopted by Rattlesden Parish Council at its meeting held on: 2019-02-25.