

THRIPLow PARISH COUNCIL

SECTION		IN PLACE	NOTES	PARISH COUNCIL / INTERNAL AUDITOR ACTIONS
	ANNUAL RETURN	Y		
	FIGURES CORRECT	Y		
	TRANSPARENCY CODE (£25K)	?		
<b>A</b>	<b>APPROPRIATE BOOKS OF ACCOUNT HAVE BEEN KEPT PROPERLY THROUGHOUT THE YEAR.</b>			
	CASH BOOK	Y		
	UPDATED REGULARLY	Y		
	S137 COLUMN	Y		
	SALARIES COLUMN	Y		
	SIGNED AT YEAR END	Y		
	INDIVIDUAL ENTRIES	Y		
	VAT COLUMN	Y		
	NET/ GROSS / VAT	Y		
<b>B</b>	<b>THE COUNCIL'S FINANCIAL REGULATIONS HAVE BEEN MET, PAYMENTS WERE SUPPORTED BY INVOICES, ALL EXPENDITURE WAS APPROVED AND VAT WAS APPROPRIATELY ACCOUNTED FOR.</b>			
	FINANCIAL REGS	Y		
	INVOICES	Y		
	CHEQUES SIGNED AS IN S/O	Y		
	APPROVED IN MINS	Y		
	S137 AMOUNT	Y		
	OTHER			
<b>C</b>	<b>THE COUNCIL ASSESSED THE SIGNIFICANT RISKS TO ACHIEVING ITS OBJECTIVES AND REVIEWED THE ADEQUACY OF ARRANGEMENTS TO MANAGE THESE.</b>			
	STANDING ORDERS	Y		
	RISK ASSESSMENT POLICY	Y		
	COMPLAINTS POLICY			
	PUBLICATION SCHEME (FOI)			
	OTHER POLICIES			
	CODE OF CONDUCT	Y		
	DECLARATION OF INTEREST			
	ROSPA/ASSETS CHECKS			
	AGENDAS	Y		
	MINUTES	Y	MINUTES NOT IN CONSECUTIVE ORDER AS PRESENTED 11/5/15 SIGNED IN PENCIL & AMENDMENT NOT INITIALLED CHANGES TO MINUTES APPROVED AT 9/11/15 11/1/16 MEETINGS NOT CARRIED OUT	
	ANNUAL PC MEETING (AGM)	Y	ITEM 1 AT AGM NOT ELECTION OF CHAIRMAN (ITEM 2A)	THE PARISH COUNCIL SHOULD BE AWARE OF THE REQUIREMENTS OF THE LOCAL GOVERNMENT ACT S15(2)
	ANNUAL PARISH MEETING (APM)	Y		
	END OF YEAR NOTICE	Y		
	REVIEWED & ACTED ON IA+EA COMMENTS	Y		
	OTHER			
<b>D</b>	<b>THE ANNUAL PRECEPT REQUIREMENT RESULTED FROM AN ADEQUATE BUDGETARY PROCESS; PROGRESS AGAINST THE BUDGET WAS REGULARLY MONITORED; AND RESERVES WERE APPROPRIATE.</b>			
	BUDGET	Y		
	BUDGET APPROVED	Y		
	PRECEPT	Y		
	BUDGET MONITORED	Y		
	RESERVES ADEQUATE	Y		
<b>E</b>	<b>EXPECTED INCOME WAS FULLY RECEIVED, BASED ON CORRECT PRICES, PROPERLY RECORDED AND PROMPTLY BANKED; AND VAT APPROPRIATELY ACCOUNTED FOR.</b>			
	INCOME FULLY RECEIVED	Y		
	SUPPORTING PAPERWORK	Y		
	VAT FULLY CLAIMED	Y		
	LATE BANKING (3 DAYS)	Y		
	CASH BOOK DATE	Y		
<b>F</b>	<b>PETTY CASH PAYMENTS WERE PROPERLY SUPPORTED BY RECEIPTS, ALL PETTY CASH EXPENDITURE WAS APPROVED AND VAT APPROPRIATELY ACCOUNTED FOR.</b>			
	PETTY CASH BOOK	NA		
	PAYMENTS	NA		
	RECEIPTS	NA		
	VAT CLAIMED	NA		
<b>G</b>	<b>SALARIES TO EMPLOYEES AND ALLOWANCES TO MEMBERS WERE PAID IN ACCORDANCE WITH COUNCIL APPROVALS, AND PAYE AND NI REQUIREMENTS WERE PROPERLY APPLIED.</b>			
	EMPLOYEE FORMS (E.G. P60, P45)	Y		
	HMRC RTI	Y		
	EMPLOYEE PAY SLIPS	Y		
	PAYE/NI DISPENSATION	NA		
	OTHER EMPLOYEES	NA		
	CLERK/RFO EMPLOYED	Y		
	PAYMENTS TO HMRC	Y		
	EMPLOYMENT CONTRACTS	Y		

	PROOF OF SALARY	Y		
	ANNUAL APPRAISALS	Y	REVIEW PROCESS TOOK ABOUT 8 MONTHS TO CARRY OUT	THE COUNCIL SHOULD ENSURE THAT ANNUAL REVIEWS ARE CARRIED OUT WITHIN AN APPROPRIATE TIME FRAME.
<b>H</b>	<b>ASSET AND INVESTMENTS REGISTERS WERE COMPLETE AND ACCURATE AND PROPERLY CARRIED OUT.</b>			
	ASSETS LIST	Y		
	INSURANCE	Y		
	REVIEWED AS IN S/O	Y		
<b>I</b>	<b>PERIODIC AND YEAR-END BANK ACCOUNT RECONCILIATIONS WERE PROPERLY CARRIED OUT.</b>			
	PERIODIC BANK RECS	Y		
	YEAR END BANK REC	Y		
<b>J</b>	<b>ACCOUNTING STATEMENTS FOR THE YEAR WERE PREPARED ON THE CORRECT ACCOUNTING BASIS (R&amp;P OR I&amp;E), AGREED TO THE CASH BOOK, WERE SUPPORTED BY AN ADEQUATE AUDIT TRAIL FROM UNDERLYING RECORDS, AND WHERE APPROPRIATE DEBTORS AND CREDITORS WERE PROPERLY RECORDED.</b>			
	I&E / R&P	R&P		
	MATCH CASH BOOK	Y		
	DEBTORS	NA		
	CREDITORS	NA		
	O/S	Y		
	AUDIT TRAIL	Y		
<b>K</b>	<b>TRUST FUNDS (INCLUDING CHARITABLE) THE COUNCIL MET ITS RESPONSIBILITIES AS A TRUSTEE.</b>			
	CHARITY RETURNS			
	TRUST DEED			
	MEETINGS			
	TRUSTEES			
	ACCOUNTS			
	INDEPENDENT INSPECTION			
<b>OTHER</b>				
	<b>PENSION</b>			
	AUTO ENROLMENT	Y	STAGING DATE - 1/10/16	
	<b>BURIAL GROUNDS</b>	NA		
	LEDGERS CORRECT			
	FOLLOWED LEGISLATION			
	BURIAL FEES			
	CEMETERY REGULATIONS			
	<b>ALLOTMENTS</b>	NA		
	TENANCY AGREEMENTS			
	ALLOTMENT RULES			
	FEES REVIEW			
	OTHER			
	<b>LAND</b>	Y		
	REGISTERED	Y		
	TITLE DEEDS	Y		
	ON ASSETS LIST	Y		
	<b>LEASES</b>		THE PARISH COUNCIL IS TO REVIEW THE RENT/LEASE AGREEMENT WITH THE PUB FOLLOWING THE ELECTIONS	
	POWER USED			
	RENT			

Signed: *Ben Stoer*  
(Internal Auditor)