

To: All Members of Hauxley Parish Council

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07 Sept 2020

In accordance with Paragraphs 7 & 10(2) (b) of Schedule 12A of the Local Government Act 1972 and The Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020, I hereby summon you to attend a Meeting of **Hauxley Parish Council** to be held online on **Monday 14 September** at 6.30pm.

To join the meeting:

<https://zoom.us/j/93597073915>

Meeting ID: 935 9707 3915

Passcode: 210139

Dial by your location

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OPEN SESSION

Open Session at the invitation of the Chairperson to consider any questions from members of the public prior to the commencement of business limited to 15 minutes and to 3 minutes per person.

AGENDA

C038/20 Election of Chairperson

To elect a Chairperson for the remainder of the year.

C039/20 Apologies for absence

C040/20 Declarations of interest in items on the Agenda and the granting of any dispensations

Members are reminded that if they have any personal interests of a prejudicial nature they must not participate in any discussion or vote on the matter and must leave the room.

C041/20 - Minutes of previous meeting

To agree as a correct record the minutes of the Ordinary meeting held on 13th July 2020

C042/20 – Clerks Report

To note for information a report on actions taken since the previous meeting.

C043/20 - Standing item – Report by County Councillor

To receive a report from County Councillor

C044/20 – Finance

- i. To note receipt of bank reconciliation at 31st August 2020
- ii. To note receipt of budget monitoring document at 31st August 2020
- iii. To authorise payments:

22/07/2020	717	Jo-Anne Garrick Ltd	Planning Consultancy Fees	£660.00
26/07/2020	718	Staintons	Weeding/grass cutting	£174.00
14/09/2020	719	Clerk	Wages & Expenses	£267.00
14/09/2020	720	HMRC	PAYE	£59.80

iv. To note receipts:

08/06/2020	Barclays	Interest	£0.52
12/06/2020	HMRC	VAT	£515.69
10/07/2020	Groundwork UK	Neighbourhood Planning Grant	£2400.00
22/07/2020	Northern Electric	Wayleave Agreement	£2.30

v. External Audit 2020/21 – Notification of Exempt Status

- vi. **National Pay award** - The National Joint Council for Local Government Services (NJC) has agreed the new pay scales for 2020-21 to be implemented from 1 April 2020.

C045/20 – Planning

To report on planning decisions

To consider planning matters

C046/20 – Neighbourhood Plan

- i. To note the minutes of the Steering Group meeting held 2nd September 2020

C047/20 – Local Anti-dog fouling scheme – Cllr Howell

Deferred from the May meeting Cllr Howell will update on his proposals for a anti dog fouling scheme for consideration by the Council.

C048/20 – Risk Management Scheme

To adopt the Financial Risk Management Scheme for 2020/21

C049/20 Local Transport Plan 2021-22

To set three priorities for 2021/22

C050/20 Arrangements for Christmas Tree and Decorations

To consider requirements for seasonal arrangements

C051/20 Community Governance Review – Amble

To note the outcome of the Community Governance Review.

C052/20 Exclusion of press and public

RECOMMENDED that pursuant to the Public Bodies (Admission to Meetings) Act 1960; that in view of the confidential nature of the business about to be transacted, it is advisable in the public interest that the press and public be excluded and they are instructed to withdraw.

C053/20 Land under ownership of Parish Council

To discuss the land under the ownership of the Parish Council.

NEXT MEETING:

Ordinary meeting of Hauxley Parish Council Monday 9th November 2020 at 6.30pm

Elaine Brown PSLCC CILCA - Parish Clerk & Responsible Financial Officer

Minutes of the Ordinary Meeting of Hauxley Parish Council held 6.30pm on Monday 13th July 2020 via Zoom.

Present: Cllrs R Callender (Chair), A Brown, K Graham, D Howell and P Nichols. The Parish Clerk Miss E Brown.

1 Member of Public was present.

C024/20 Apologies for absence – Apologies were received from Cllr W Appleby.

RESOLVED that the apologies be accepted.

C025/20 Declarations of interest in items on the Agenda and the granting of any dispensations

No interests were declared.

C026/20 - Minutes of previous meeting held 11th May 2020

RESOLVED that the minutes of the Annual Meeting of the Council held 11th May 2020 be agreed as a true record.

C027/20 – Clerks Report

RESOLVED that the following report be noted for information.

Audit Update (C013/20) – The Accounts were submitted to the Internal Auditor and his work is now complete.

Road repairs C109 (C017/20) – The Highways Inspector conducted a site visit and could not find any issues. He has requested that photographs be submitted clarifying the issues. – If issue identified this could be submitted under the Local Transport Programme requests for 2021/22.

20mph Speed limit (C018/20)– The Highways Senior Programmes Officer confirmed he is waiting for the developer to come back with a drawing for him to approve for the speed limit extension. Once he has it, he can work out the extents of the proposed 20mph section. He will run the plan past the Parish Council for comment and has confirmed that there is funding available to implement the scheme this financial year.

Measures to deter dog fouling incidents (C019/20) – County Councillor Clark will consider funding a dog bag dispenser depending on what funding remains in his Members Small Schemes – this may need to roll over to next financial year.

Purchase of IT equipment (C020/20)

Quotation requested for Laptop -

External Hard drive purchased.

Neighbourhood Planning Consultant Tenders (C022/20)

Jo-Anne Garrick Appointed as Neighbourhood Planning Consultant

Funding Application submitted to Locality and approved to the initial amount of £2,400

C028/20 - Standing item – Report by County Councillor

County Councillor Clark was not present.

C029/20 – Annual Governance and Accountability Return for 2019/20

- i. **RESOLVED that** the Council accept and agree actions arising from the report of the Internal Auditor.
- ii. **RESOLVED that** the Council approve the Annual Governance Statement for 2019/20 which the Chairman signed during the meeting.
- iii. **RESOLVED that** the Council approve the Accounting Statement and Explanation of Variances which the Chairman signed during the meeting
- iv. **RESOLVED that** the Council confirm and approve the Certificate of Exemption for 2019/20 which the Chairman signed during the meeting.
- v. **RESOLVED that** the Council agree the notice of public rights as commencing on Monday 17th July to Friday 28th August.

C030/20 – Finance

- i. **Bank reconciliation as of 30th June 2020** – the accounts to 30th June did not reconcile by an amount of £100. The Clerk had not received the April and May bank statements although the mandate had now been updated with the change of address.
RESOLVED that the reconciliation be circulated out of meeting once the copy statements had been received.
- ii. **Budget monitoring document on 30th June 2020**
RESOLVED that the budget monitoring report be circulated once the discrepancy in the bank reconciliation had been corrected.
- iii. **Payments – RESOLVED that** the following payment be made.

19/05/2020	712	Widescope	External Hard drive	£53.99
26/05/2020	713	Staintons	Planting	£314.00
13/07/2020	714	Clerk	Wages & Expenses	£264.38
13/07/2020	715	HMRC	PAYE	£56.00
13/07/2020	716	J A Ainsworth	Internal Audit	£120.00

- iv. **The following receipts were noted for information:**

08/06/2020	Barclays	Interest	£0.52
12/06/2020	HMRC	VAT	£515.69

- v. **Allocation of balances – deferred from May meeting**

RESOLVED that the balances be allocated as per the Clerks recommendation below:

Commuter hardware	£499.15
Village Square	£200
Allotment Footpaths	£189.59
Community Events	£150
Street Furniture	£400
Information Panels Plinths	£100
Election Costs	£100
Ground maintenance	£500
Contingency	£600
Total	£2738.74

C031/20 – Planning

Report on planning decisions

20/01628/FUL Demolition of existing garage & conservatory and construction of a rear single storey extension together with rendering of existing house at 9 Kirkwell Cottages had been approved.

Consideration of planning matters – None.

C032/20 – Neighbourhood Plan

i. Report from planning consultant on the 'next steps'

RESOLVED that the report and recommendations be agreed.

ii. Steering Group Terms of Reference

RESOLVED that the Neighbourhood Planning Steering Group Terms of Reference be approved with the rewording of 3.1 as following:

The Steering Group will comprise of the following members:

- Northumberland County Council Ward Member
- Chair of Hauxley Parish Council and any additional Members
- Relevant groups/organisations
- Residents

iii. Steering Group meeting date

RESOLVED that a meeting of the Steering Group would be scheduled to take place on Monday 10th August at 6.30pm.

C033/20 – Local Anti-dog fouling scheme – Cllr Howell

Deferred from the May meeting Cllr Howell updated on his proposals for a anti dog fouling scheme noting that children would be asked to design anti-fouling images over the summer which could be made into signage. He would co-ordinate and bring designs back to the September meeting.

The Clerk would bring quotations for dog bag dispensers to the next meeting.

C034/20 – Purchase of IT equipment – Clerk

RESOLVED that the Clerk be delegated to spend £500 to purchase a laptop for Parish Council work.

C035/20 – Risk Management Scheme

RESOLVED that the Financial Risk Management Scheme for 2020/21 be deferred pending the consideration of updating policies.

C036/20 –Disciplinary and Grievance Procedure

RESOLVED that the Disciplinary and Grievance Procedure for 2020/21 be adopted.

C037/20 – Socially distanced litter pick – Cllr Brown

RESOLVED that a socially distanced litter pick be arranged to take place at 9.30am on Saturday 8th August.

The Clerk would arrange risk assessment, publicity and equipment.

NEXT MEETING:

Ordinary meeting of Hauxley Parish Council Monday 14th September 2020 at 6.30pm at 6.30 pm in Hauxley Village Hall or remotely – subject to Covid-19 restrictions.

The meeting closed at 7.46pm

Actions from previous meeting for information.**C033/20 – Local Anti-dog fouling scheme**

Costing for supply installation and replenishing of dog bag dispenser requested from NCC

C034/20 – Purchase of IT equipment**C037/20 – Socially distanced litter pick**

The litter pick took place on Saturday 8th August. Cllrs Brown, Nichol and the Clerk were present along with 4 volunteers from the community. 7 bags were collected in total which Northumberland County Council collected.

Matters dealt with out of meeting**Parking in Village Square**

Following issues with traffic at Low Hauxley, with the help of County Councillor Clark, temp signage was installed stating 'local access only' – We could request this is permanently addressed through a submission under the Local Transport Programme for 2021/22.

Land under Parish Council Ownership

Letter sent regarding fence on Parsih Council land as agreed.

Clerks Report on Agenda Items**Election of Chairman**

Cllr Callender has notified of her intention to resign as Chairman, due to work and personal commitments, but will remain as member of the Council.

RECOMMENDED that the Council elect a new Chairman.

Neighbourhood Plan

To note for information the notes of the Neighbourhood Plan Steering Group meeting held 2nd September 2020 and endorse the recommendations for the meeting.

C033/20 – Local Anti-dog fouling scheme – Cllr Howell

Deferred from the May meeting Cllr Howell will update on his proposals for an anti dog fouling scheme for consideration by the Council.

Dog Bag dispensers have been costed at between £79 (JRB) to £150 (TIKI) per station excluding post and bags. Northumberland County Council will not take responsibility for replenishing the dispenser with bags. Bags cost £59.50 for 2500 (TIKI) or £26 for 800 (JRB). The dispenser unit could be installed to an existing post or wall. Consideration would need to be given as to who would replenish the dispenser.

RECOMMENDED that the Council purchase the JRB unit and bags and nominate a Councillor to be responsible for replenishing.

C035/20 – Risk Management Scheme

To adopt the Financial Risk Management Scheme for 2020/21. The scheme has been updated to remove items felt to be unnecessary by the Council at the last meeting.

RECOMMENDED that the Council adopt the Risk Management Scheme as per audit requirements.

Local Transport Plan 2021-22

No feedback has been provided on the submissions for 2020/21 as submissions were not made to Northumberland County Council. The Parish Council is now requested to submit the top three priorities for the 2021-22 programme.

HAUXLEY PARISH COUNCIL
Financial Position at 31st August 2020
Including bank reconciliation

	Budget 2020/21	Total 2020/21	
BALANCE B/F @ 1 April 2020		3,968.05	
INCOME:			
Precept	4,000	2,000.00	
Interest received	2	0.52	
VAT Refunds	-	515.69	
Donations	-	2,400.00	
Miscellaneous	3	2.30	
Total Income	4,005	4,918.51	
EXPENDITURE:			
Clerks Fees	1,900	560.16	
Stationery/post etc	80	69.52	
Insurance	250	-	
Audit Fees	100	120.00	
Subscriptions/Training	120	114.17	
Village Hall Rent	120	-	
Village Square (gravel)	400	-	
Street Furniture	300	-	
Grit bins	100	-	
Christmas Tree/Lights	200	-	
Miscellaneous	50	44.99	
Webpage	75	-	
Legal Advice	100	-	
Neighbourhood Plan Consultation	200	660.00	
Footpaths	200	-	
Newspage	300	-	
Planters/Grass Cutting	1,200	690.00	
Election Costs	0	-	
Noticeboard	50	-	
Contingency	0	-	
Recoverable VAT	-	9.00	
Total Expenditure	5,745	2,267.84	
BALANCE C/F		6,618.72	
Balances per Bank Accounts:			
Current / Community Account		4,371.04	
Business Saver Account		2,461.68	214.00
		6,832.72	
			Unpresented cheques
			711 £40.00
			718 £174.00
			£214.00
Earmarked Funds			
B/F	2,223.05		
Transfers	515.69	(VAT)	
Expenditure to date	-		
Working Balance		3,880.00	

Schedule 2
Financial Summary at 31/08/2020

Fund	At 01.04.20	Grants & Other Donations	Transfers	Expenditure	Balance
Transparency Fund	299.15		200.00		499.15
Village Square			200.00		200.00
Allotment Footpaths			189.59		189.59
Community Events			150.00		150.00
Street Furniture			400.00		400.00
Info Panel Plythys			100.00		100.00
Election Costs			100.00		100.00
Ground maintenance			500.00		500.00
Contingency			600.00		600.00
TO BE ALLOCATED	1,923.90				2,738.74
VAT RECLAIMED	515.69				
Total Earmarked funds	2,738.74		2,439.59		2,738.74
Working Balance	2,409.23	-			<u>3,880.00</u>
General fund	<u>5,490.80</u>	-			<u>6,618.74</u>
Debtors					
Creditors					214.00
BANK BALANCE	<u>5,646.81</u>	-			<u>6,832.72</u>

3968.05 Carried over
-1745 Transferred to budget
2223.05 Balances

Notes of the meeting of the Hauxley Neighbourhood Plan Steering Group held via Zoom on Wednesday 2nd September at 18.30pm

Present:

Steering Group Chairman: Dickon Howell

Parish Clerk: Elaine Brown

Neighbourhood Planning Consultant: Jo-Anne Garrick

Councillors: Andy Brown (part), Rita Callender, Wendy Green, Ken Graham, and Phil Nichols (part)

Residents: Nigel Errington, Julie Stewart and Nigel Walker

Apologies:

Chris Anderson – Northumberland County Council Planning Officer

Jim Busby - Resident

1. Introductions – The Chairman welcomed all to the meeting and invited those present to introduce themselves.

2. Purpose of the Steering Group – The Chairman outlined the purpose of the Steering Group. The group being separate from the Parish Council, who are the qualifying body of the purpose of the plan making and referenced the Steering Group Terms of Reference which had been circulated to all. The Steering Group has full delegated authority from Hauxley Parish Council to deliver its plan-making functions up to and including publication of a Preferred Options Consultation Draft Neighbourhood Development Plan.

3. Overview of the process from Jo-Anne Garrick, Planning Consultant covering Plan purpose and Plan development

A copy of the document setting out a high-level overview of neighbourhood planning had been circulated. Neighbourhood Plans are part of the development plan, planning applications are determined according to the policies set out within Neighbourhood Plans which are supported by evidence and linked to national and local policy.

Neighbourhood Plans include locally distinctive policies and issues important to the local community. Community actions can sit alongside planning policies; items that do not link to planning but are important to the community e.g. dog fouling, traffic etc.

Key stages in the preparation of the plan is area designation, then establishing issues for the plan. Hauxley carried out early engagement. The Planning Consultant has looked at early engagement and developed a draft vision based on the themes relating to rich natural environment, the built and historic environment and importance of a cohesive community. The process will then look at how the vision can be delivered. Evidence work already available with the preparation of the County

Local Plan e.g. biodiversity and green spaces reports. Local community is pivotal in identifying what is important at local level to be included with plan.

The Neighbourhood Plan was summarised as lines on a map and words to support those lines. Community actions can frame what Parish Council can be doing for the community in the future.

Questions:

An example of evidence? protection of open space can be protected as local green space or open space. Local green space has the same protection as greenbelt. Need to show how spaces meets national criteria by producing a background paper identifying and justifying sites as an evidence document. Technical evidence and various subjects can also be obtained via Locality.

Second homes and rental properties; which part of plan covers this? Only new development can be controlled through the plan for example to plan that all new homes must be available as a permanent residence.

If green space is allocated how does it impact on the owner of land? It is important to communicate with landowners before any proposals go public. Landowners would make representations through the process. Ultimately the examiner would look at those representations and make recommendations.

Could a village green or green space be designated on private land? - A local green space could be designated, Village Greens are much more complicated. The options for the site could be looked at.

Can high scale plans of areas within the community be provided? This would be requested from Northumberland County Council. Existing designations should be looked at too. It was queried whether NCC would also have historical refusals of planning permissions – this would depend on how the records were maintained by the District Councils.

In the future a session, when safe to do so, would be required to be held at the village hall with pen to paper on maps and consult on this.

Who owns the land in Hauxley how do we establish this? It is easier for the Parish Council to USE Land Registry to search for title deeds at approx. £3 per title deed. The Chairman explained that land ownership knowledge is useful but not essential.

Draft Objectives, themes, and community actions were provided and there is an opportunity for some early engagement on these, focusing on key issues for the community and asking the community if they agree with the objectives.

4. Engagement -

The engagement document put together by the Planning Consultant was discussed. All agreed it was an excellent first draft.

The following was suggested to be included:

- Articulate what community actions can do e.g. shaping the work of Parish Council,
- the engagement document should be both available online and posted through every door,
- Include a plan of the Hauxley Parish,

- Include a privacy statement in line with General Data Protections Regulations for the collation of personal data. Address details should also be included to ensure responses were from the Hauxley Parish only.
- Size of document would be A4 WITH a4 map in middle.
- Permission for use of animated Hauxley Plan was queried. It was believed the Village Hall commissioned this work. Rita would query this.
- Draft Objectives numbering typo was identified.
- Updated images should be included if possible. Any images would be forward to the planning Consultant in the next few days.
- 'Next steps' – feed back 'later in 2020' should be amended to 'early 2021'.

The engagement document would not need to come back to the steering group for comment, but the final draft would be circulated.

6. Next steps

Responses to the engagement exercise would be collated and a session in Village hall with high scale plans would be held to think about what extra work is required e.g. technical packages for design codes etc. dependant on feedback.

It would be useful if the steering group could consider financial implications so that a further grant can be applied for.

Public Engagement – a noticeboard was requested for Kirkwell Cottages – this would need to taken back to the Parish Council. The Group would look to have a public engagement session in January.

Range of issues and potential allocations – Jo-Anne could look at scoping out areas of work e.g. environmental designations, etc. to see what is currently available on the themes, pulling together suggestions of what reflects the themes.

7. Date and time of next meeting

Chairman suggested between now and December three sessions could be held on:

- 1.natural environment,
2. built environment, and
3. cohesive communities.

Venue hire at the Nature Reserve centre would be queried.

Ideally get engagement document would be send out within the next couple of weeks.

Next meeting would be held towards end of October with a poll to take place to establish the bet date.

The meeting closed at 19.42

HAUXLEY PARISH COUNCIL RISK MANAGEMENT SCHEME

Introduction

This document sets out the framework on which risk management processes at Hauxley Parish Council are based. This framework should assist in ensuring that a consistent approach is taken across the Council for the identification, assessment and evaluation of risks, and for ensuring that actions are proportionate to identified risks, thereby efficiently and effectively utilising resources and maintaining a balance between risks and controls. Risk management will strengthen the ability of the Council to achieve its objectives and enhance the value of services provided.

Risk Management

Risk – ‘Risk is the combination of the probability of an event and its consequence. Consequences can range from positive to negative’.

Risk Management – ‘Process which aims to help organisations understand, evaluate and take action on all their risks with a view to increasing the probability of success and reducing the likelihood of failure.’ [Institute of Risk Management (IRM)]
Risk management is an essential feature of good management and applies to all aspects of the Council’s business.

There is an Audit requirement under the Accounts and Audit (England) Regulations 2015 s.3 to establish and maintain a systematic strategy, framework and process for managing risk. Risks and their control will be collated in a Risk Register. A statement about the system of internal control and the management of risk will be included as part of the Annual Statement of Accounts and summarised in the Council’s Business Plan.

Implementing the Strategy involves identifying, analysing/prioritising, managing and monitoring risks.

Risks Types

Compliance Risk – failure to comply with legislation or laid down procedures or the lack of documentation to prove compliance. Risks exposure to prosecution, judicial review, employment tribunals, inability to enforce contracts etc.

Financial Risk – fraud and corruption, waste, excess demand for services, bad debts. Risk of additional audit investigation, objection to accounts, reduced service delivery, dramatically increased Council tax precept levels/impact on Council reserves.

Operating Risk – failure to deliver services effectively, malfunctioning equipment, hazards to service users, the general public or staff, damage to property. Risk of insurance claims, higher insurance premiums, lengthy recovery processes.

Not all these risks are insurable and for some the premiums may not be cost-effective. Even where insurance is available, money may not be an adequate recompense. The emphasis should always be on eliminating or minimising risk. Risk can be connected to opportunities as well as potential threats.

Risk Identification – Identifying and understanding the hazards and risks facing the Council is crucial if informed decisions are to be made about policies or service delivery methods. The risks associated with these decisions can then be effectively managed.

Risk Analysis – Identified risks need to be systematically and accurately assessed using proven techniques. Analysis should make full use of any available data on the potential frequency of events and their consequences.

Risk Prioritisation – An assessment should be undertaken of the impact and likelihood of risks occurring, with impact and likelihood being scored Low (L), Medium (M) and High (H). The scores for both impact and likelihood are scored in this manner. Risks scoring High will be subject to detailed consideration and preparation of a contingency/action plan to appropriately control the risk.

Risk Control – Risk control is the process of taking action to minimise the likelihood of the risk event occurring and/or reducing the severity of the consequences should it occur. Typically, risk control requires the identification and implementation of revised operating procedures, but in exceptional cases more drastic action will be required to reduce the risk to an acceptable level.

Options for control include:

Tolerate – documenting a conscious decision after assessment of areas where the Council accepts or tolerates risk.

Treat – loss control measures are implemented to reduce the impact/ likelihood of the risk occurring;

Transfer – the financial impact is passed to a third party or by way of insurance. This is good for mitigating financial risks or risks to assets;

Terminate – the circumstances from which the risk arises are ceased so that the risk no longer exists;

Risk Register –Details on the impact and likelihood matrix are included below.

Risk Monitoring – The risk management process does not finish with putting any risk control procedures in place. Their effectiveness in controlling risk must be monitored and reviewed. It is also important to assess whether the nature of any risk has changed over time.

The information generated from applying the risk management process will help to ensure that risks can be avoided or minimised in the future. It will also inform judgements on the nature and extent of insurance cover and the balance to be reached between self-insurance and external protection.

Roles and Responsibilities -

Councillors – risk management is seen as a key part of the councillors’ stewardship role and there is an expectation that Elected Members will lead and monitor the approach adopted. This will include:
Approval of the Risk Management Strategy;

Parish Clerk – will ensure that Risk Management is an integral part of any service review process, ensure that recommendations for risk control are detailed in service review reports and will lead in developing and monitoring Performance Indicators for Risk Management.

Employees – will undertake their job within risk management guidelines ensuring that the skills and knowledge passed to them are used effectively.

Role of Internal Audit – the Internal Auditor provides an important scrutiny role carrying out audits to provide independent assurance to the Council. Internal Audit assists the Council in identifying both its financial and operational risks and seeks to assist the Council in developing and implementing proper arrangements to manage them, including adequate and effective systems of internal control to reduce or eliminate the likelihood of errors or fraud.

Training – Risk Management training will be provided to key staff. Councillors will receive appropriate briefings.

Risk Assessment and Management (Financial & Business) for the Period 1st April 2020 to 31st March 2021
L (Low) M (Medium) H (High)

Financial: Income

<u>Topic</u>	<u>Risk Identified</u>	<u>Likelihood</u>	<u>Financial Impact</u>	<u>Management of Risk</u>	<u>Action</u>	<u>Frequency</u>	<u>Ownership</u>
Precept	Not Submitted	L	H	Council Minute	Diary	Annual	Clerk
	Not Paid by Principal Authority	L	H	Check and Report	Diary/Bank Statement	6 monthly	Clerk
Charges	Adequacy of Precept	H	H	Bi-monthly Review of budget to actual	9month budget review	Ongoing	Clerk Council
	Invoices not paid	L	M	Register to invoice Issue of Receipt Segregation of duties	Reconciliation	Annual	Clerk
Income	Surplus funds	L	M	Review annually at year end		Annual	Councillors Clerk

Financial: Expenditure

<u>Topic</u>	<u>Risk Identified</u>	<u>Likelihood</u>	<u>Financial Impact</u>	<u>Management of Risk</u>	<u>Action</u>	<u>Frequency</u>	<u>Ownership</u>
Salaries	Wrong salary paid	L	L	Payroll calculation available for checking by Council	Payroll Check	On review	Clerk Council
	Wrong hours paid	L	L				
	Wrong Rate of pay	L	L				
	Wrong deductions - NI/Tax	L	M			6 monthly	Clerk
Direct Costs and Overhead expenses	Goods not supplied	M	M	Order system	Approval check App. Check	Monthly	Clerk
	Invoice incorrectly calculated	M	L	Check arithmetic		Monthly	Accounts Councillors
	Cheque payable to wrong party	M	M	Invoice initialled by signatories			
Grants	Power to Pay	M	M	Minute power			Councillors
	Agreement of Council to pay	L	L	Minute			Councillors
	Cheque	L	L	Signatory signed (3)			Councillors

	Invoice at agreed rate	L	L	Accrue annually	Budget review	Annual	Councillors
Election Costs		L	L			Annual	Councillors
Vat irrecoverable	Vat Analysis	M	L	All items in cash book	Verify	Quarterly	Accounts
Reserves General	Adequacy	L	M	Consider at budget setting	RFO	Annual	Councillors
Reserves Earmarked	Adequacy	L	M	Consider at budget setting and year end	RFO	Annual	Councillors
Assets	Loss, damage etc.	M	H	Regular inspections, update insurance and register			Clerk Councillors. Councillors
	Risk to third party	M	M	Review adequacy of public liability insurance	Diary	Annual	
Staff	Loss of key personnel Fraud by staff	L L	H L	Hours, health, stress etc. Fidelity guarantee insurance	Committee Council	Annual	Councillors Councillors
Loss	Consequential loss due to critical damage or third party performance	L	M	Insurance cover review adequacy		Annual	Councillors

<u>Topic</u>	<u>Risk Identified</u>	<u>Likelihood</u>	<u>Financial Impact</u>	<u>Management of Risk</u>	<u>Action</u>	<u>Frequency</u>	<u>Ownership</u>
Cash	Loss through theft or dishonesty	L	L	No cash handling in place	Council	Annual	Councillors
Maintenance	Poor perf. of assets or amenities	L	M	Regular maintenance inspections		Ongoing	Clerk
Borrowing	Adequacy of finances to repay loans	M	M	Financial review and cash flow forecasting			Accounts Councillors
Legal Powers	Illegal activity or payment	L	L	Education of members as to the legal powers			Councillors Clerk

Financial Records	Inadequate Records	L	L	Regular internal audit and year end health check	Internal Auditor Accountant	6 monthly	Accounts Clerk
Medium Term Financial Plan	Need to plan for longer term	M	H	Prepare and maintain MTFS	Review	Annual	Councillors Clerk

Operational

<u>Topic</u>	<u>Risk Identified</u>	<u>Likelihood</u>	<u>Impact</u>	<u>Management of Risk</u>	<u>Action</u>	<u>Frequency</u>	<u>Ownership</u>
Insurance Cover for Council	Risk to finances, staff and third parties if inadequate cover	L	H	Buildings & Land Contents Equipment Fidelity Theft Personal Injury (Members/Officers) Public Liability Slander/Label Employer Liability External Events	Monitor Cover and update as necessary	Ongoing	Clerk
Workplace Security	Risk to staff, damage to building/contents & data	M	H	Maintain security of building, alarms, back up files onsite, fire safety, password protect computer data	Monitor and maintain	Ongoing	Clerk
Regular maintenance of assets	Risk to staff & third parties also of loss or damage	M	M	Annual Business Risk Assessments completed Adequate legislative safety checks of assets	Monitor	Ongoing	Clerk
Asset Register	Risk if assets not properly recorded & valued	L	M	Accurate & timely	Monitor	Ongoing	Clerk
Newspage	Threats to preparation/delivery	L	L	Ensure slot booked with The Ambler	Early preparation	Bi-Monthly	Clerk
Council Liability	Lone person working compliance with law	L	M	Introduce Lone Working Policy	Monitor & review	Ongoing	Clerk
	Contract of Employment	L	L	For all staff	Monitor & review	Ongoing	Clerk

	Duty of Care to visitors, staff and councillors	M	H	Adequate insurance, risk assessments and action plans	Monitor & review	Ongoing	Clerk
	Other Employment Conditions compliance with legislation	L	M	Review terms & conditions, contracts, development reviews & insurance	Monitor & review	Ongoing	Clerk

<u>Topic</u>	<u>Risk Identified</u>	<u>Likelihood</u>	<u>Impact</u>	<u>Management of Risk</u>	<u>Action</u>	<u>Frequency</u>	<u>Ownership</u>
	Loss of Key Staff	L	H	Need contingency arrangements and succession planning	Monitor & review	Ongoing	Clerk
	Councillors- must be adequately advised of their responsibilities and culpability.	L	M	Induction & refresher training	Monitor	Ongoing	Clerk
Health and Safety	Responsible for Members, Employees, Public & Contractors	M	H	Need regular Safety risk assessments both general and specialist, safety policy and safe working procedures.	Need review of risk assessments & SWP	Ongoing	Clerk
Town & Country Planning	Adverse effect on community amenities if fail to respond to Planning applications or Local Plan consultations	L	M	Need for Council to respond. Need guidance and processes	Review & follow processes	Ongoing	Clerk
Training	Essential for councillors & staff if to reach potential	M	M	Need annual training plans & to implement them	Prepare and monitor	Ongoing	Clerk
Freedom of information	Need to respond to requests	L	H	Procedure to be accurate and timely	Monitor & report	Ongoing	Clerk
Governance Documents	Interrupt operations if not current & following best practice	L	M	Keep up to date and in line with best practice	Review	2 years	Clerk
Press releases	Comply with publicity code	L	M	Review & monitor	Monitor	Ongoing	Clerk
Data Protection	Need to keep data secure	L	M	Need operational procedures	Monitor	Ongoing	Clerk
Byelaws	Reference to models when adopting	L	L	Not currently applicable			
Archiving documents	Security and statutory retention periods	L	M	Needs to be in accordance with a document retention policy	Monitor	Ongoing	Clerk
Public Access	Public need to be able to access services according to need & safely	L	M	Services available at stated times. Subject to safety inspections	Monitor	Ongoing	Clerk

Administration	Needs to be effective	M	M	Review & introduce procedures	Review & monitor	Ongoing	Clerk
Topic	Risk Identified	Likelihood	Impact	Management of Risk	Action	Frequency	Ownership
Contracts	Compliance with legislation/ governance documents when letting	L	H	Prepare specification, determine on price and quality	Monitor	Ongoing	Clerk
Compliance	Risk to performance and cost if not properly monitored	L	H	Monitor against specification and price	Monitor	Ongoing	Clerk
Topic	Risk Identified	Likelihood	Financial	Management of Risk	Action	Frequency	Ownership
Minutes	Accurate and Legal	L	L	Approved at following meeting			
Confidential Matters	Accurate and Legal	M	H	Need to be on agenda and minutes need to be public	Review & follow process	Ongoing	Clerk
Members Interests	Conflict of Interest	M	L	Update declarations of interest Recording on minutes of declarations		Annual Monthly	Councillors Clerk
Councillor Declarations	Accurate and Legal	H	M	Need copy on Website or link to Central Beds.	Review & follow process	Ongoing	Clerk
Dispensations	Not compliance with legislation	H	H	Require individual applications and approvals	Review & follow process	Ongoing	Clerk
Budget & Precept	In accordance with legislation	L	H	Compliance, advice by accountant	follow process	Annual	Clerk Accountant
Accounts & Annual Return	In accordance with Regulations	L	H	Compliance with Regulations	follow process	Annual	Clerk RFO
Audit process	Internal or external not following Regulations	L	H	Compliance with Regulations	follow process	Annual	Clerk RFO
Website	Not compliant with Transparency Code	L	M	Review in line with Code	Review & follow process	Ongoing	Clerk
Code of Conduct	Compliant with legislation & best practice	M	M	Code & procedures kept current	Renew or add guide	Annual	Clerk Accountant

Agendas and Notices	Not complying with legislation	L	H	Follow legislation. Use term "Summon"	Review & follow process	Ongoing	Clerk
Freedom of Information	Legal	M	M	Follow legislation, allow request by letter/email	Review & follow process	Ongoing	Clerk
Publication Scheme	Legal	H	M	Use latest model	Review & follow process	Ongoing	Clerk
Data Protection	Legal	L	H	Ensure registration & follow guide	Monitor	Ongoing	Clerk
Newsletter	Compliance with Publicity Code	L	L	Check content against Code	Monitor	Monthly	Clerk
Charitable Trust	Understanding responsibilities			No trusts operated by Council			
Statutory Governance Documents	Not compliant with legislation or current	L	H	Regular Reviews	Monitor	Annual	Clerk



Northumberland County Council

To all Parish & Town Councils

Your ref:
Our ref: LTP
Enquiries to: Highways Programme
Email: HighwaysProgramme@northumberland.gov.uk
Tel direct: 0345 600 6400
Date: 14th August 2020

Dear

Local Transport Plan Programme 2021-22

We are starting our Local Transport Plan (LTP) Programme for 2021/22 and as part of this process we would like to know what your top three highways and transport priority issues are for your area, so that they can be considered for inclusion in the LTP Programme for 2021/22. This consultation is part of the annual review of LTP Priorities.

To assist you in identifying priorities for your area we have enclosed a record of the highways and transport related requests relevant to your area that are currently contained on the Directory of Requests database. The Directory of Requests records all highways and transport related requests that we receive from Members, Parish/Town Councils, other organisations and the public over the past year. Please note that these are simply a record of requests received and not proposals. Please also note that inclusion on the list does not imply that a scheme will be implemented. It is for you to determine which should be priorities for us to consider for potential inclusion in the next programme. If you have any priorities that were submitted in previous years that have not yet been included in programmes and which remain as your priorities, then you should re-submit them for consideration. If they are not re-submitted then they will not be considered in this year's process. Equally if you feel that something should be considered which has never been requested, or been included on the Directory of Requests database, this can also be included as one of your priorities. As I'm sure you will appreciate it isn't possible for everyone's priorities to make it into the final agreed programme, but this is a transparent process and your priority issues will be scored against LTP criteria, and those with the highest score overall will be considered for inclusion in the 2021-22 LTP Programme.

Please remember that your input is valuable. For information 112 out of 148 Town/Parish Council's submitted their priorities for 2020/21, we are hoping for an increased number of submissions this year. Should you have any queries when it comes to submitting future priorities, officers will be happy to provide advice as necessary to make the process more straight forward for those who may require assistance.

You are asked to submit your priorities by email to highwaysprogramme@northumberland.gov.uk before 11th October 2020.

Yours sincerely,

Neil Snowdon
Principal Programme Officer



Highways Programme
T: 0345 600 6400 E: HighwaysProgramme@northumberland.gov.uk
www.northumberland.gov.uk



Verint Reports

Reference	Location	Details
OKH3EW74	Concerns about lack of road signs to indicate public on highway due to no footpaths - speeding concerns next to bus stop	Hauxley Village with Ratcliffe NE65 0JL
SAX43638	request for traffic calming	Kirkwell Cottages High Hauxley NE65 0JN