

SWATON PARISH COUNCIL

C/O The Barns, Swaton, Sleaford. Lincs, NG34 0JP

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**Review of the Effectiveness of the System of Internal Audit carried out by
Cllr. Richardson (RFO) & Cllr Deptford (Chairman) on March 10th 2016.**

Statement of Assurance

As adopted by Swaton Parish Council on 15th March 2016 – Minute Item 9

Terms of Reference for this review were approved by full Council at the 14th July 2007 Parish Council Meeting at Item 14.

Internal Auditor : Mr Chris Kerby, Holmleigh, High Street, Swaton, NG34 0JP.

Mr Kerby's role of Internal Auditor was defined as : To be a competent person, independent of the financial controls and procedures and to give an objective view on whether these meet the needs of the Council. Internal Audit is intended to be more than just agreeing that the books reflect the financial transactions of the Council, it is a review of how it is performing against its own governing statement & financial policies etc. His role should also take into account Risk Management and the responsibilities in relation to fraud.

A copy of Swaton Parish Council's "Financial Regulations" and a copy of the Council's "Standing Orders" have been given to Mr Kerby and Risk Management Procedures have been explained. It was re-confirmed to Mr Kerby that Clls Richardson & Deptford were answerable to any queries he may have and that any reports of non-compliance which he may make should be, in the first instance (in his own name), made directly to the Parish Clerk, Mrs Shelagh McIntyre who will put the report before the full Council.

It was confirmed that Mr Kerby has no other role within the Council.

It was confirmed that there has been no evidence that internal audit work has not been carried out ethically, with integrity and objectivity. Mr Kerby's 'qualifications' for the position had been discussed and confirmed as 'more than adequate'.

Mr Kerby was asked to consult with the Parish Clerk named above and Clls Richardson & Deptford on the internal audit plan and the scope of each audit.

The responsibilities of Clls Richardson & Deptford are understood and their training schedules were confirmed.

It was confirmed that the Audit Plan properly takes account of corporate risk.

The plan has been approved by the Council in May 2007.

This plan was acted on and reported on by Mr Kerby in June 2007.

It was confirmed to Mr Kerby that the next Internal Audit will be due in April or May 2016 and that a copy of the accounts to date are being e-mailed to him immediately after each bi-monthly Council Meeting to ensure that he can follow the financial details of the Council throughout the year.

Mr Kerby was asked to comment on any anomalies in the accounts throughout the year and pass on any comments where he thought that improvements could be made.

