

TIVETSHALL PARISH COUNCIL
RISK ASSESSMENT AND MANAGEMENT MAY 2019

Risk	Level	Control	Remedial Action
Council being unable to operate	H	Following local elections 4 Councillors were elected unopposed, leaving three vacant seats. There is a considerable risk of council not being quorate and being unable to conduct business if councillors are unable to attend a meeting. Recruitment of co-opted councillors need to be given priority. Passwords for laptop and emails are held in a sealed envelope by Chair of TPC to ensure business continuity in the event of the Clerk's absence.	Current procedures adequate
Protection of physical assets	L	Village Hall managed and insured by Village Hall Management Committee. Other assets insured by Council and reviewed and renewed annually. Weekly inspection of play equipment being undertaken on rota basis by councillors and the clerk, there is a risk of inconsistency. CCTV now in place overlooking the play equipment and playing field to identify misuse. This is reviewed regularly by a councillor.	Current procedures adequate
Maintenance of assets	M	Assets regularly reviewed and any necessary maintenance undertaken. PC handyperson role currently vacant so an alternative process for routine maintenance needs to be identified or the position filled.	Current procedures adequate providing a replacement handyperson is found.
Banking Errors	L	Bank account with Barclays and monthly statement details reconciled against records. Quarterly review of accounts by a councillor (non-bank signatory) as part of internal controls.	Current procedures adequate

Banking Processes	M	Lack of ability to make online purchase of materials or goods and payments for services impedes the smooth operation of the handyperson role.	Consideration ongoing to changing bank account to one which supports BACS and online payments whilst complying with Financial Regulations.
Loss of Council Data	M	Council data held on council laptop (password protected) and backed up to hard drive. Back-up held by Chair of PC. Agendas, minutes, policies and financial information also on web site. Following the election and loss of one councillor the PC no longer has administrator access to the website. There is an increased risk of loss of data. Agenda items and information shared with councillors between PC meetings are stored securely on the PC laptop and shared by email.	Procedures adequate
Loss of cash through theft or dishonesty	L	No float or petty cash held. Few cash transactions. Internal controls and insurance in place. Salary administration provided by third party.	Procedures adequate
Financial controls and records	L	Monthly reconciliation prepared by Clerk. Cheques issued against invoices or other documentation and examined by two councillors. Invoices and cheque stubs initialled by councillors. Two signatories on cheques. Effective Internal controls in place to monitor accounts, with a councillor who is independent of banking checking accounts and bank statements every quarter. Internal and external audit	Procedures adequate
Non-compliance with statutory regulations	L	Clerk has two years' experience now and has access to Norfolk Parish Training and Support for advice and guidance. Clerk attends briefings by SNC and receives regular updates on legislative changes.	Current procedures adequate

Inadequate funding	L	Full Council receive detailed budgets and forecast for coming year in November. Precept derived directly from this by full Council in January and submitted to SNDCC by appropriate deadline. For 2019/20 the precept was set by SNC with input from PC due to establishment of new TPC.	Procedures adequate
Risks to third party, property or individuals	M	Insurance in place. Play equipment checked weekly by PC and annually by Rospa. Potential risk is reported to clerk any potential hazards are attended to immediately. Council responds to any potential risk or damage reported	Current procedures adequate
Legal liability as a consequence of asset ownership	M	Insurance in place.	Current procedure adequate
Safety of Parishioners attending meeting	M	Village Hall, maintained by VHMC. Covered by VHMC insurance.	Village hall car park surface in need of repair to reduce trip hazards.
Ensuring activities are within legal powers	L	Legal advice sought where necessary. Council has NALC membership and subscribes to Norfolk Parish Training and Support.	Current procedures adequate.
Proper and timely reporting via the minutes	L	Minutes made available to press and public on the Council's website, with a link from PC Facebook page. Hard copies of draft minutes are available in the Post Office. A summary of PC meetings is published every two months in parish magazine	Current procedures adequate
Proper document control	M	All original documentation is held by Clerk in a locked metal filing cabinet. Documentation received electronically is stored on the PC laptop and is password protected. Back-up of data is stored off-site. Not currently held in fireproof storage. Internal audit includes audit of documentation.	Current procedures adequate
Non-compliance with Register of Interests rules	L	Clerk ensures councillors are aware that these should be kept up to date and provides forms when required.	Current procedure adequate

Data Protection	M	Laptop is password protected, Clerk has access. Hard copies of personal and sensitive data are stored in a locked filing cabinet at Clerk's home address. Council is registered with the ICO and has taken measures to comply with General Data Protection Regulations.	Current procedures adequate
Speed Awareness Machine (SAM)	M	SAM equipment is shared with Burston & Shimpling PC and transported between the two PCs every four weeks. Equipment is insured. There is a risk of vandalism but locations have been selected in Tivetshall where SAM machine is close to properties. A Joint Operational Agreement is in place to outline the processes and responsibilities; the agreement is signed by both PCs.	Current procedures adequate

Prepared by Ros Hill, Clerk to the Council
May 2019

This risk management paper was approved by the full Council on 12th June 2019 and will be reviewed again in twelve months.

Signature of Chair  Date... 