

RISK MANAGEMENT REGISTER

The purpose of Risk Management is to identify and address any risks that are associated with the Council's activities, assets and employees; to quantify the risk/impact level and to detail the controls in place to reduce the risk. Risks change over time therefore this document will be reviewed regularly, on an annual basis or earlier if required by a change in circumstances.

The following Risk Management Register was reviewed by full council and adopted on **12 February 2024** (23.221)

1. GOVERNANCE RISKS – GOVERNANCE/ FINANCIAL/DATA

	Description of Risk	Impact	Likelihood	Risk Rating	Control
1.1	Governance Risks				
1.1.1	<p>Loss of reputation to council if: decisions are not legally made;</p> <p>if decisions cannot be made due to meetings not being quorate or through lack of public consultation;</p> <p>if councillors breach the Code of Conduct</p>	6	4	24 MEDIUM	<p>Training of clerk and councillors is planned and budgeted for.</p> <p>Clerk holds recognised professional qualifications.</p> <p>Access to legal publications and information is available and additional material is budgeted for.</p> <p>Access to legal advice from the Society of Local Council Clerks is available through the Clerk's membership.</p> <p>Access to advice from the Cheshire Association of Local Councils and affiliate membership to the National Body is available.</p> <p>Standing Orders and Financial Regulations are in place and reviewed annually.</p> <p>Agendas are sent out in a timely manner and widely displayed to members of the public. The agenda provides as much information as possible (and any supplementary reports are made available) to inform councillors of the business to be transacted.</p> <p>Apologies are notified as soon as possible before meetings take place.</p> <p>Public participation is included as part of the meeting. A website, noticeboards and newsletters inform the electorate and encourage participation. Public consultation events are planned and held occasionally. The council engage with local press and media to update and inform.</p> <p>Minutes are prepared monthly with individual pages numbered and compiled in a minute book; minutes are circulated before the meeting, approved as a true record by all, at the meeting and signed by the Chair at the following Parish Council meeting and then retained in safekeeping.</p>

					All councillors sign the Code of Conduct and refresher training is offered A Register of Members' Interests is maintained and displayed on the parish council website. Councillors are reminded to update their register annually.
1.2	Financial Risks				
1.2.1	Misappropriation and Fraud	6	4	24 MEDIUM	<p>Financial Regulations in place.</p> <p>Financial information regarding receipts and payments detailed monthly to full council and contained in minutes.</p> <p>Bank reconciliation undertaken monthly.</p> <p>Internal Controls undertaken monthly. This involves councillors checking the payment schedule and viewing a sample of invoices to make sure amounts and payees tally.</p> <p>Six monthly checklist of Internal Control to be initiated in FY 24/25</p> <p>All bank transfers require two councillors to authorise before the bank releases the funds.</p> <p>All changes to Bank Standing Orders and to any other banking arrangements require at least two councillor authorisations. The Clerk is not authorised through the online banking system to make any changes on their own and holds an administrative role and not an authorising role – not the case yet as difficulty adding additional signatories to the bank account.</p> <p>Fidelity Cover of £150,000 – Adequacy reviewed annually.</p> <p>Annual Internal and External Audits.</p> <p>Supplier Fraud – new suppliers are checked to ensure they are trading lawfully (registered with Companies House, for VAT if applicable); where existing suppliers request a change to any of their details, including bank accounts, cross-checks are made by direct telephone contact with the company in accordance with the procedures in Financial Regulation 5.11. The banking system used also carries out a checking and matching service when a new payee is entered.</p>
1.2.2	Insufficient Precept	6	2	12 LOW	<p>Budget projections are made by comparison to the budget to date and previous year's budget.</p> <p>Full council considers the calculation of the required precept by December or January at the latest.</p> <p>Timely notification is sent to CWaC.</p> <p>Budgets against provision/projections monitored monthly and expenditure adjusted accordingly – from new FY 24 25</p>

					Reserves are maintained for expenditure such as major maintenance to assets or for unforeseen events.
1.2.3	Insufficient Insurance	6	2	12 LOW	Asset register is maintained up-to-date (ongoing – queries on ownership still outstanding) Risk Register is maintained up-to-date. Annual insurance renewal is advised when insurance cover is considered for adequacy; any new assets are advised to the insurance company as soon as possible after purchase and delivery and appropriate insurance advice taken.
1.2.4	Improper contracting procedures	6	4	24 MEDIUM	Financial regulations outline the tendering process. Financial regulations outline the process for considering quotations and the levels of expenditure appropriate to the quotation process. Established/recommended contractors used wherever possible.
1.2.5	Failure to meet the requirements of HMRC	6	2	12 LOW	Payroll Management Company (Haines Watts) is used and documents are available on their Portal each month with details of employee salaries; employer’s tax liability and national Insurance contributions. Remittance of Income Tax and National Insurance is made monthly by bank transfer. Year end P35/P60s are generated by the payroll company. Employees receive detailed pay slips generated by the payroll company.
1.2.6	Failure to comply with VAT legislation	6	2	12 LOW	VAT records are maintained and checked and refunds claimed annually (but will change to quarterly)
1.3	Data Risks				
1.3.1	Non-compliance with data protection legislation and regulation	6	4	24 MEDIUM	Training budgeted for and membership of professional associations ensures that updates and changes are notified. A Data Protection Policy and Retention annexe, as well as a Privacy Notice will be adopted to ensure compliance with the General Data Protection Regulation and Data Protection Act 2018. (FY 24 25) A Complaints procedure will be in place and the Data Protection Policy outlines the procedures to be followed in the event of a data breach (FY 24 25) All councillors use an eltonparishcouncil.co.uk email address. Registration to the Information Commissioners Office is renewed annually.
1.3.2	Loss of written information files or computer data	6	4	24 MEDIUM	Written information files, council minute book and Acceptance of Office register kept secure in locked cupboard at the Community Centre. Minutes will be bound annually and deposited with the Cheshire Archive Service. All computer files are automatically saved to One Drive which is provided as part of the Microsoft Office 365 subscription. Two hard drives are maintained with monthly copies of all computer data

					downloaded, one kept with the Chair and one with the Clerk (to be instigated FY 24 25)
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2. PEOPLE RISKS - COUNCILLORS /EMPLOYEES/CONTRACTORS/VISITORS/VOLUNTEERS/PARTNERSHIPS

	Description of Risk	Impact	Likelihood	Risk Rating	Control
2.1	Councillors				
2.1.1	Risk to health and safety whilst carrying out duties	8	4	32 MEDIUM	Appropriate specific risk assessments carried out for activities; lone working policy in place (FY 24 25)
2.1.2	Councillors acting alone; breaching Code of Conduct; conflict of interest;	6	4	24 MEDIUM	Training for councillors is planned and budgeted for. Good Councillor Guide is made available to new councillors and available to all. Standing Orders and Financial Regulations are in place and reviewed annually. All councillors sign the Code of Conduct. A Register of Members' Interests is maintained and displayed on the website. An update reminder is provided annually. Interests are declared at the beginning of meetings. A Communications Policy will be in place (FY 24 25) Cover is in place for Libel, Slander and Personal Accident.
2.1.3	Risk of fraud carried out by councillor	6	4	24 MEDIUM	Financial regulations and internal control measures in place that require two councillor signatures for any financial transaction or banking change or transfer of funds. (FY 24 25) No petty cash held – expenses incurred are reimbursed monthly by bank transfer on presentation of relevant receipts. No expenses reimbursed without receipts/VAT invoices. An expenses policy provides guidance on procedure for incurring and claiming expenses by staff and councillors. Fidelity Cover of £150,000 – Adequacy reviewed annually. Annual Internal and External Audits
2.1.4	Risk of insufficient candidates for election or vacancies	6	4	24 MEDIUM	Council activities are actively publicised through noticeboards, newsletters, websites, press and social media. Candidates could be sought amongst friends and colleagues. Elections and vacancies are publicised on notice boards, newsletters, websites, press and social media. Parish Council events are publicised and reported in the available media to highlight the contribution made by councillors and the council.

2.2	Employees				
2.2.1	Risk to health and safety whilst carrying out duties	8	4	32 MEDIUM	Appropriate specific risk assessments in place, covering each employees' role and working practices. (FY 24 25) Employers Liability cover of £10m plus Personal Accident in place.
2.2.2	Disciplinary and Grievance issues	6	4	24 MEDIUM	Signed employment contracts in place with Job Description. (FY 24 25) Disciplinary and Grievance policies in place. (FY 24 25) Staffing Committee convened.
2.2.3	Risk whilst Lone Working	8	4	32 MEDIUM	Appropriate specific risk assessment and lone working policy in place and reviewed annually. (FY 24 25)
2.2.4	Risk of fraud carried out by employee	6	4	24 MEDIUM	Financial regulations and internal control measures in place that require two councillor signatures for any financial transaction or banking change or transfer of funds. No employee can authorise payments to leave the bank account. (FY 24 25) A system of Internal Control checking is in place. (FY 24 25) No petty cash held – expenses incurred are reimbursed monthly by bank transfer on presentation of relevant receipts. No expenses reimbursed without receipts/VAT invoices. An expenses policy provides guidance on procedure for incurring and claiming expenses by staff and councillors. Fidelity Cover of £150,000 – Adequacy reviewed annually. Annual Internal and External Audits
2.2.5	Loss of service due to Illness/Incapacity	6	4	24 MEDIUM	Replacement cover provided in short term by other employees/councillors. Ability to hire a locum clerk through SLCC service/ChALC. HR advice available through Peninsula (currently)
2.3	Contractors				
2.3.1	Risk to health and safety whilst carrying out duties	8	4	32 MEDIUM	Appropriate specific risk assessments requested when contractors are awarded contracts. Copies of Public Liability insurance and Employers Liability insurance requested.
2.4	Visitors/Volunteers				
2.4.1	Risk to health and safety whilst visiting/volunteering	8	4	32 MEDIUM	Appropriate specific risk assessments in place or prepared for specific events. Public Liability insurance in place.
2.5	Partnerships				
2.5.1	Agreed standards or service delivery not fulfilled by partnership.	6	4	24 MEDIUM	Written service level agreements to be put in place. Regular contact with service level providers/partnerships. Financial arrangements subject to annual audit regime.

	Current partnerships with: Clays Gardening Services (monthly grounds maintenance)				
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3. ASSETS RISKS

3.1 LAND ASSETS – Parish Field; Dog Park; Jubilee Field; Greenbank open space

	Description of Risk	Impact	Likelihood	Risk Rating	Control
3.1.1	Open land with uneven ground – risks associated from use, slips., trips, falls	6	4	24 MEDIUM	Grassed area with several clearly identified paths. Grass cut regularly by Clays Gardening Services. Regular visual inspection by Clerk/Councillors/Street Orderlies and members of CWaC Public Realm team. Public Liability Insurance up to £10m in place.
3.1.2	Maintenance not carried out adequately	2	4	8 LOW	Contractors operate to service level agreement which is subject to withdrawal if conditions are not met.
3.1.3	Danger of injury from trees / hedges	8	4	32 MEDIUM	A visually inspection of trees/hedging and recording of such inspections is undertaken twice per year. (instigating form FY 24 25) A Tree Management Policy will be adopted. (FY 24 25) A qualified tree survey will be carried out in accordance with the Tree Management Policy. (FY 24 25) Hedges are cut at least annually.
3.1.4	Damage/vandalism/anti-social behaviour	2	4	8 LOW	Councillors, street orderlies and members of the public regularly visually inspect and alert the clerk to any issues. Insurance in place.
3.1.5	Littering/Fly tipping/Dog waste	4	4	8 LOW	Bins are emptied by CWaC. Dog waste bins are provided. Councillors, street orderlies and members of the public regularly visually inspect and alert the clerk to any issues. Insurance is in place.
3.1.6	Title/Possession dispute	1	2	2 LOW	Land registered under title number XXXX Pre-registered deeds and documents held by Solicitors?

3. ASSET -

3.2 Play Areas and Pump Track - Parish Field; Sorbus Close

	Description of Risk	Impact	Likelihood	Risk Rating	Control
3.2.1	Slips, trips and falls and other injuries while using equipment				Use of equipment is at user's risk. Weekly visual inspection undertaken by councillors and clerk advised if any equipment needs attention. Quick and efficient repairs are undertaken or equipment is barriered off if repairs cannot be carried out without delay. Annual qualified inspection is carried out. Public Liability Insurance in place
3.2.2	Danger of injury from trees / hedges	8	4	32 MEDIUM	A visually inspection of trees/hedging and recording of such inspections is undertaken twice per year. (FY 24 25) A Tree Management Policy will be adopted. (FY 24 25) A qualified tree survey will be carried out in accordance with the Tree Management Policy. (FY 24 25) Hedges are cut at least annually.
3.2.3	Damage/vandalism/anti-social behaviour	2	4	8 LOW	Councillors, street orderlies and members of the public regularly visually inspect and alert the clerk to any issues. Insurance in place.
3.2.4	Littering/Fly tipping/Dog waste	4	4	8 LOW	Bins are emptied by CWaC. Dog waste bins are provided. Councillors, street orderlies and members of the public regularly visually inspect and alert the clerk to any issues. Insurance is in place.
3.2.5	Noise nuisance and anti-social behaviour	8	2	16 LOW	Residents encouraged to approach parish council and PCSO with any complaints or concerns.
3.2.6	Title/Possession dispute	1	2	2 LOW	Land registered under title number XXXX Pre-registered deeds and documents held by Solicitors?

3. LAND ASSET

3.3 Land on which Community Centre and Scout Hut are sited

	Description of Risk	Impact	Likelihood	Risk rating	Control
3.3.1	Buildings not adequately cared for by tenants	6	4	24 MEDIUM	Annual inspection carried out to gauge condition of building. Access through insurance to legal assistance.
3.3.2	Injury whilst using car park	6	4	24 MEDIUM	Car Park surface inspected by Community Centre Committee and parish council informed of any serious hazards. Parish Council implement any repairs or close areas of car park if repairs cannot be arranged quickly. Car owners are advised that they park their vehicle at their own risk.
3.3.3	Title/Possession dispute	1	2	2 LOW	Land registered under title number [REDACTED] Pre-registered deeds and documents held by ??? Solicitors.

4. GENERAL ASSETS

4.1	Office electrical equipment – risks associated with use; loss/damage/theft	4	4	16 LOW	Appropriate risk assessment policy in place. (FY 24 25) Annual electrical safety test. (FY 24 25) Visual inspection when using. Budget for maintenance and replacement. Insurance in place.
4.2	Chairman’s chain – risk of loss/damage/theft	1	4	4 LOW	Secured at Chairman’s home when not in use. Pinned in place when worn. Insurance in place.
4.3	War Memorial – risk to public of slips, trips, falls; risk of loss/damage/theft	6	4	24 MEDIUM	Visual inspection regularly carried out by councillors. Area kept clear of trip hazards; cleaned and swept regularly. Public liability insurance in place.
4.4	Noticeboards – loss/damage/theft	1	4	4 LOW	Visual inspection regularly carried out by councillors. Public liability insurance and general insurance in place.
4.5	Cast Iron Planters;– risk to pedestrians/vehicles; risk of loss/damage/theft	6	4	24 MEDIUM	Visual inspection regularly carried out by councillors/street orderlies Volunteers regularly servicing during growing season. Public liability insurance and general insurance in place.
4.6	Benches - risk to pedestrians/vehicles; risk of loss/damage/theft	6	4	24 MEDIUM	Visual inspection regularly carried out by councillors/street orderlies. Public liability insurance and general insurance in place.

RISK SUMMARY – ELTON PARISH COUNCIL

Area	Number of Risks	High	Medium	Low
Governance	9	0	5	4
People	12	0	12	0
Land Assets	6	0	2	4
Play Areas	6	0	1	5
Buildings	3	0	2	1
General Assets	6	0	3	3
Total	41	0	25	17

Risk Assessment Scoring Matrix

Likelihood	Impact					
	Multiple Death (10)	Single Death (8)	Major Injury (6)	Lost Time Injury (4)	Minor Injury (2)	Delay (1)
Certain (10)	100	80	60	40	20	10
Very Likely (8)	80	64	48	32	16	8
Likely (6)	60	48	36	24	12	6
May Happen (4)	40	32	24	16	8	4
Unlikely (2)	20	16	12	8	4	2
Very Unlikely (1)	10	8	6	4	2	1
Score	Priority	Action				
1 – 16	LOW	Action is required to reduce the risk, although low priority.				
17 – 36	MEDIUM	Action required to control. Interim measures may be necessary in the short term.				
37 – 100	HIGH	Action required urgently to control risks. Unacceptable risk with immediate action required				

