

STOCKTON HEATH PARISH COUNCIL 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 PFGP Committee on 24 September 2024 (P24/054) and approved on **12 November 2024** at the Parish Council meeting (minute 24/105.2).

1. PROCESS RISKS – PROCEDURAL/ FINANCIAL/DATA

	Description of Risk	Impact	Likelihood	Risk Rating	Control
1.1	Procedural Risks				
1.1.1	Loss of reputation to council if: decisions are not legally made; decisions cannot be made due to meetings not being quorate or through lack of public consultation; councillors breach standards	6	4	24 MEDIUM	Training of clerk and councillors is planned and budgeted for. Access to legal publications and information is available and additional material is budgeted for. Access to legal advice from the Society of Local Council Clerks is available and membership is renewed annually. Access to advice from the Cheshire Association of Local Councils and affiliate membership to the National Body is also available. Standing Orders and Financial Regulations are in place and reviewed annually. 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. Apologies notified as soon as possible before meetings take place. 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. Minutes are prepared monthly with individual page numbers for minute book, approved as a true record by all, signed by the Chair at the following Parish Council meeting and then retained in safekeeping. All councillors sign the Code of Conduct. A Register of Members' Interests is maintained and displayed on Parish Council/WBC website. An update reminder provided annually. Cover is in place for Libel, Slander and Personal Accident.

1.2	Financial Risks				
1.2.1	Misappropriation and Fraud	6	4	24 MEDIUM	Financial Regulations in place. Robust Internal Controls undertaken monthly at PF&GP meeting and Internal Controls reviewed annually. All bank transfers require two councillors to authorise before the bank releases the funds 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. Bank reconciliation undertaken monthly. Financial information regarding receipts and payments detailed monthly to PF&GP Committee and contained in minutes of that Committee. Fidelity Cover of £300,000 – Adequacy reviewed annually. Annual Internal and External Audits. 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.
1.2.2	Insufficient Precept	6	2	12 LOW	Annually, in October, budget projections are made by each Committee, with reference to the Action Plan and comparison to the budget to date and previous year's budget. PF&GP Committee, in receipt of information generated by committees in October, consider the calculation of the required precept and recommend to full parish council by December. Full council consider proposed budget and precept during December and January meetings. Timely notification is sent to WBC. Budgets against provision/projections monitored monthly and expenditure adjusted accordingly. Earmarked monies are maintained for periodic expenditure such as major maintenance to assets or for four-yearly elections.
1.2.3	Insufficient Insurance	6	2	12 LOW	Asset register is maintained up-to-date. Risk Register is maintained up-to-date.

					Annual insurance renewal takes place and 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 Manager is used and entries made each month with details of employee salaries; employer's tax liability and national Insurance contribution is detailed. Remittance of Income Tax and National Insurance is made monthly by bank transfer. Year end P35/P60s completed online. Employees receive detailed pay information generated by Payroll Manager Software.
1.2.6	Failure to comply with VAT legislation	6	2	12 LOW	VAT records are maintained and checked and refunds claimed quarterly
1.3	Data Risks				
1.3.1	Non-compliance with data protection legislation and regulation	6	4	24 MEDIUM	Training budgeted for. Positive completion of Security Statement with notification to the Information Commissioners Office. Renewed February annually. A Data Protection Policy and Retention annexe, as well as Privacy Notices have been adopted to ensure compliance with the General Data Protection Regulation and Data Protection Act 2018.
1.3.2	Loss of written information files or computer data	6	4	24 MEDIUM	Written information files kept secure in metal filing cabinets; council minute book and Acceptance of Office register in fire proof safe. All computer files are automatically saved to One Drive which is provided as part of the Microsoft Office 365 subscription.

Summary	Number of Risks	High	Medium	Low
Process Risks	9	0	5	4

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 risk assessment policy in place.
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 Parish Council/WBC website. An update reminder provided annually. Interests are declared at the beginning of meetings. 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. 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 £300,000 – Adequacy reviewed annually. Annual Internal and External Audits
2.1.4	Risk of insufficient candidates for election or vacancies	6	4	24 MEDIUM	Actively publicise Council activities through noticeboards, newsletters, websites, press and social media. Seek candidates amongst friends and colleagues Publicise elections and vacancies on notice boards, newsletters, websites, press and social media.
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. Health and Safety and Fire Assessment policies in place and reviewed by arrangement with Livewire/WBC as owners of the building. . First Aid box available in office and when out and about.

					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. Disciplinary and Grievance policies in place. Employment Committee convened.
2.2.3	Risk whilst Lone Working	8	4	32 MEDIUM	Appropriate specific risk assessment and policy in place and reviewed annually.
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 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 £300,000 – 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. Ability to hire a locum clerk through SLCC service.
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. Current partnerships with: Warrington Borough Council – ground maintenance; hiring of Parish Ranger van, equipment and access to waste disposal depot;	6	4	24 MEDIUM	Written service level agreements/lease arrangements in place. Regular contact with service level providers/partnerships. Financial arrangements subject to annual audit regime. No written service level agreement in place with WBC as arrangements are historic and long-standing (but to be reviewed)

	WBC/Livewire – agreement for Parish Council to provide funding for continuation of the provision of library services at Stockton Heath Library; Rental of Parish Council office, located in Stockton Heath Library building, Alexandra Road. Cheshire Constabulary – Agreement for Parish Council to fund 50% cost of a PCSO Warrington Anglers Association – Lease agreement for maintenance at Ackers Pit Stockton Heath Allotment Association – lease agreement in place detailing management and maintenance of allotments at Red Lane Broomfields Youth Project – service level agreement for the provision of Friday Night Outreach Service Primrose Nurseries Service level agreement in place for contract for floral planters				The agreement between Livewire and SHPC for funding library provision ceased when Livewire were wound up. Update – a tenancy at will agreement is currently in place with Warrington Borough Council as the owners of the building (the lease having expired with the winding up of Livewire) Service Level Agreement in place between Cheshire Constabulary, SHPC and Appleton Parish Council for a 50% share of costs of a PCSO 2020 - awaiting lease agreement between Stockton Heath Allotments Association and SHPC for allotments
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Area	Number of Risks	High	Medium	Low
People	12	0	12	0

3. ASSETS RISKS

3.1 LAND ASSET - RED LANE ALLOTMENTS – Red Lane, Stockton Heath

	Description of Risk	Impact	Likelihood	Risk Rating	Control (See also Partnership Working/Service Level Agreements (SLA))
3.1.1	Management and Maintenance not carried out adequately	2	4	8 LOW	Lease Agreement with Stockton Heath Allotment Association Ltd (SHAA) – being renegotiated and drafted by fdr solicitors. SHAA have own insurance including Public Liability. Maintenance works undertaken by SHAA, liaising with Parish Council. Health and Safety, Inspection of Water Supply – documents kept by SHAA and Parish Council have access to copies. Plot Inspections scheduled annually; formal annual visit by Parish Council members undertaken; Association provide an annual written report that is circulated to all councillors. First aid kit available.
3.1.2	Rent not received	1	2	2 LOW	Requirement for rent from SHAA written into lease agreement. Amount reviewed annually; invoiced April and paid as soon as possible by SHAA
3.1.3	Danger of injury from trees / hedges	8	4	32 MEDIUM	Stockton Heath Parish Council visually inspect trees and record such inspections twice per year in accordance with the Tree Management Policy The trees on the Red Lane boundary of the allotments are included in the professional tri-annual inspection, with recommended works undertaken by the Parish Council. SHAA members regularly visually inspect trees and hedges. SHAA may trim trees to ease access to the site and may trim hedges which overhang the site. Neighbouring householders have permission to enter site at their own risk to maintain trees/hedges bordering their properties.
3.1.4	Buildings and greenhouses; gates and fencing – damage/vandalism	2	4	8 LOW	SHAA regularly visually inspect. SHAA insurance in place.
3.1.5	Flooding	4	4	16 LOW	The Parish Council have a legal right (Public Health Act 1936, s.260) to clear ditches which lie to the boundary of the land and might pose a flood threat. Contact with Peel Holdings who own Bridgewater Canal to north boundary.
3.1.6	Fires	6	4	24 MEDIUM	Fires covered in SHAA Rules and Regulations.
3.1.7	Title/Possession dispute	1	2	2 LOW	Land registered under title number CH601990. Pre-registered deeds and documents held by Forshaw Davies Ridgway Solicitors.

Area	Number of Risks	High	Medium	Low
Red Lane Allotments	7	0	2	5

3. LAND ASSET -

3.2 MILL LANE LAND - QEII COMMUNITY FIELD, MILL LANE DIAMOND JUBILEE FIELD – land bounded by Alexandra Park; Brookside Avenue; Mill Lane; Burnside Avenue

	Description of Risk	Impact	Likelihood	Risk rating	Control (See also Partnership Working/Service Level Agreements (SLA))
3.2.1	Open land with uneven ground – risks associated from use	6	4	24 MEDIUM	Grassed area with several clearly identified paths. Grass cut regularly by Warrington Borough Council (Service Level Agreement required). Regular visual inspection by Clerk/Councillors/Parish Rangers and members of Warrington Borough Council Parks team. Public Liability Insurance up to £10m in place.
3.2.2	Danger from running water – Lumb Brook	8	4	32 MEDIUM	Fencing of whole stream inappropriate to site, but some chain link fencing on one bridge (WBC installed and owned). Brook area bounded by embankment which slopes down and tree growth which delineates banking. Flooding risk controlled by Environment Agency.
3.2.3	Wooden bridge; pathways and steps – slips, trips, falls	8	4	32 MEDIUM	Regular visual inspection by Clerk/Councillors/Parish Rangers and members of Warrington Borough Council Parks team. Maintenance, budgeted for and carried out when required.
3.2.4	Danger of injury from trees	8	4	32 MEDIUM	Regular visual inspection by Clerk/Councillors/Parish Rangers and members of Warrington Borough Council Parks team. Trees visually inspected and findings recorded twice per year in accordance with the Tree Management Policy. Professional tri-annual Health and Safety tree inspection carried out and recommendations implemented Maintenance undertaken periodically by Parish Council appointed contractors, who respond to emergency situations also. Overgrowth affecting nearby residents responded to/assessed during visual inspection.
3.2.5	Litter / Fly Tipping and Animal Droppings	4	4	16 LOW	Regular visual inspection by Clerk/Councillors/Parish Rangers and members of Warrington Borough Council Parks team. Litter bins emptied twice weekly by SHPC Parish Rangers Regular visits by Parish Rangers to clean up as required. Signs to deter dog fouling.
3.2.6	Invasive weeds – e.g. knotweed; giant hogweed	4	6	24 MEDIUM	Treated by professional contractor. Parish Council request WBC /Contractor to treat paths for weeds and strim grass to 1 metre either side of paths.

3.2.7	Danger from wooden goal posts; commemoration signs; damage/vandalism to	6	4	24 MEDIUM	Regular visual inspection by Clerk/Councillors/Parish Rangers and members of Warrington Borough Council Parks team. Public liability insurance of £10m in place.
3.2.8	Misuse of space	6	4	24 MEDIUM	Deterrent signs in place. Locked access gates for vehicle entry. User agreement document issued to those who hire the field for activities. Insurance policy in place.
3.2.9	Fire	6	4	24 MEDIUM	Parish Council owned land and as common land cannot light a fire or have a barbecue. Residents living close by alert Police on 101 if any incidents occur. Contact details for Parish office available on signs located at Mill Lane entrance/Brookside Avenue entrance/Parkgate entrance
3.2.10	Title/Possession dispute	1	2	2 LOW	Land registered under title number CH598194. Pre-registered deeds and documents held by Forshaws Davies Ridgway Solicitors.

	Area	Number of Risks	High	Medium	Low
	Mill Lane Land	10	0	8	2

3. LAND ASSET

3.3 ACKERS PIT – area of land with fishing lake at Ackers Road/Ackers Lane/Mill Lane, Stockton Heath

	Description of Risk	Impact	Likelihood	Risk rating	Control (See also Partnership Working/Service Level Agreements (SLA))
3.3.1	Danger of drowning or injury from open water with deep silt below	8	4	32 MEDIUM	Fencing of Pit itself inappropriate as obvious and visible hazard. Clearly identified paths to the perimeter of the main water area to encourage visitors not to venture near Pit. Site perimeter hedging and metal fencing at principle access point on Ackers Lane deters entry by means other than main pathways.
3.3.2	Flooding	4	4	16 LOW	Weir redesigned/renewed 2008. Outflow through weir adjacent to Ackers Lane checked regularly for obstructions by Parish Rangers/Clerk/Councillors/Water Bailiff of Warrington Anglers Association (WAA). Outflow from Bridgewater Canal near Brian Avenue checked by the Water Bailiff monthly and cleared as required – Agreement from Manchester Ship Canal Company dated 1960 (who check the water level of the Bridgewater Canal daily).
3.3.3	Danger of injury from trees	8	4	32 MEDIUM	Trees visually inspected and findings recorded twice per year in accordance with the Tree Management Policy Professional tri-annual Health and Safety tree inspection carried out and recommendations implemented Regular visual inspection by Clerk/Councillors/Parish Rangers and members of the public. Maintenance undertaken periodically by Parish Council appointed contractors, who respond to emergency situations also.
3.3.4	Risk associated with general maintenance requirements including paths, benches, hedges and trees	6	4	24 MEDIUM	Land Assets Committee (consisting of the members of Stockton Heath Parish Council, as agreed each year at the Annual Parish Council meeting and officials/members of WAA nominated by them) meet several times a year to regularly review the condition of the Pit and recommend any works to be carried out. WAA Bailiff/Members review in situ. Parish Rangers highlight issues following at least a weekly visit. WAA have responsibility for hedge and grass cutting – Deed of Grant 4.1.1...the Grantees will, at their own expense: Trim all hedges at least once a year ...and...strim all grassed areas at least twice every growing season.

					Contractors employed by Parish Council treat paths for weeds and trim grass to 1 metre either side of paths. Any invasive weeds to be treated by professional contractor.
3.3.5	Benches – loss/damage/vandalism	2	8	16 LOW	Regular inspections by Clerk/Councillors/Parish Rangers/Water Bailiff. Quick repairs undertaken by Parish Rangers. Contractor used for more extensive repairs. Insurance in place.
3.3.6	Litter/Fly Tipping/Rats and Animal Droppings	4	4	16 LOW	Three litter bins emptied twice weekly by SHPC Parish Rangers Regular visits by Parish Rangers to clean up as required. Dog fouling stickers on site. Pest Control undertaken quarterly (monthly in summer months).
3.3.7	Danger of injury from cycling on Footpaths	4	4	16 LOW	Signs in place requesting 'No Cycling'.
3.3.8	Fire	6	4	24 MEDIUM	Parish Council owned land and as common land cannot light a fire or have a barbecue. Water Bailiff and residents close by alert to any fires being lit and inform Police on 101.
3.3.9	Title/Possession dispute	1	2	2 LOW	Land registered under title number CH601990. Pre-registered deeds and documents held by Forshaws Davies Ridgway Solicitors.

Area	Number of Risks	High	Medium	Low
Ackers Pit	9	0	4	5

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. Periodic electrical safety test. Visual inspection when using. Budget for maintenance and replacement. Insurance in place.
4.2	Office furnishings – risks associated with use; loss/damage	4	4	16 LOW	Appropriate risk assessment policy in place. Visual inspection when using. Budget in place for maintenance and replacement. Insurance in place.
4.3	Metal shed and parish ranger cleansing equipment – risk associated with use; risk of loss/damage/theft	4	4	16 LOW	Appropriate risk assessment policy in place. Visual inspection when using. Budget in place for maintenance and replacement. Insurance in place.
4.4	Chairman's chain – risk of loss/damage/theft	1	4	4 LOW	Secured in office safe when not in use. Pinned in place when worn. Insurance in place.
4.5	War Memorial – risk to public of slips, trips, falls; risk of loss/damage/theft	6	4	24 MEDIUM	Parish Council is custodian of War Memorial, not owner. Visual inspection regularly carried out by Clerk/Parish Rangers. Area kept clear of trip hazards; cleaned and swept regularly. Public liability insurance in place.
4.6	Noticeboards – loss/damage/theft	1	4	4 LOW	Visual inspection regularly carried out by Clerk/Parish Rangers. Public liability insurance and general insurance in place.
4.7	Cast Iron Planters; barrier baskets – risk to pedestrians/vehicles; risk of loss/damage/theft	6	4	24 MEDIUM	Visual inspection regularly carried out by Clerk/Parish Rangers. Contractor regularly servicing during growing season. Public liability insurance and general insurance in place.
4.8	Grit bins - risk to pedestrians/vehicles; risk of loss/damage/theft	6	4	24 MEDIUM	Visual inspection regularly carried out by Clerk/Parish Rangers. Public liability insurance and general insurance in place.
4.9	Benches - risk to pedestrians/vehicles; risk of loss/damage/theft	6	4	24 MEDIUM	Visual inspection regularly carried out by Clerk/Parish Rangers. Public liability insurance and general insurance in place.
4.10	Christmas string lights placed in trees across the parish – risk to	6	4	24 MEDIUM	Visual inspection regularly carried out by Clerk/Parish Rangers. Lighting contractor contactable to deal with problems and undertake repairs.

	pedestrians and vehicles; risk of loss/damage/theft				Public liability insurance and general insurance in place.
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Area	Number of Risks	High	Medium	Low
General Assets	10	0	5	5

RISK SUMMARY – STOCKTON HEATH PARISH COUNCIL

Area	Number of Risks	High	Medium	Low
Process	9	0	5	4
People	12	0	12	0
Red Lane Allotments	7	0	2	5
Mill Lane Land	10	0	8	2
Ackers Pit	9	0	4	5
General Assets	10	0	5	5
Total	57	0	36	21

Risk Management Register compiled by: Lara Jacob

DATE: 27/02/2018

Signature:

This policy is reviewed annually with the last review in November 2024 and the next due in November 2025

This document has been produced from the guidance in Governance and Accountability Guide for Local Councils – A Practitioners' Guide 2024.

Risk Assessments and Policy documents are available separately.

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 Immediate action required

Review September 2024 by L Jacob

Section	Proposed Change	Rationale
1.2.1	Change Fidelity amount form £200,000 to £300,000	Reflects change in amount covered
2.1.3	AS ABOVE	
2.2.4	AS ABOVE	
2.5.1	Insert yellow highlighted text	To update changed situation with Livewire
2.5.1	Insert yellow highlighted text	Explainer on SLA with Cheshire Constabulary
2.5.1	Insert yellow highlighted text	A new SLA with Broomfields Youth Project
2.5.1	Insert yellow highlighted text	A new SLA with Primrose Nurseries
3.1.1	Insert yellow highlighted text	Recognises Association's written annual report
3.1.3	Insert yellow highlighted text	Recognises tri-annual professional tree survey
3.2.1	Insert yellow highlighted text	Need to pursue an SLA with WBC
3.2.4	Insert yellow highlighted text	Recognises tri-annual professional tree survey
3.2.6	Insert yellow highlighted text	Inserts Giant Hogweed reference
3.3.3	Insert yellow highlighted text	Recognises tri-annual professional tree survey
3.3.6	Insert yellow highlighted text	Pest control is monthly from March to September
4.1	Change from annual to periodic	No legal requirement to carry out PAT testing annually
END	Remove text	No requirement to have a written H&S policy as under 5 employees