HOPE WITH ASTON PARISH COUNCIL

Risk Management and Risk Register

Reviewed and Adopted:

Date: 12th October 2026

Parish Council Minute: 097/26.1

Risk is an uncertain event or condition that, if it occurs, will influence the achievement of the Parish Councils' objectives.

Risk management is the process whereby the Parish Council will methodically address the risks associated with what they do and the services that they provide. The focus of risk management is to identify what can go wrong and take proportionate steps to avoid this or successfully manage the consequences.

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. In conducting this exercise, the following plan was followed:

- Identify the risks.
- Assess the risk.
- Address the risk.
- Review and report.

Risk Status Indications

The adopted risk management methodology uses an indication against each risk item to confirm its current status.

The coding is defined as follows:

L	Low	This identified risk is being effectively managed with adequate reviews, processes and/or documentation as appropriate.
M	Medium	This identified risk is being managed. However, there are aspects of risk management, which ought to be improved to achieve a low status. It is recognised that sometimes improvements may be difficult to achieve, and remedial work may take time (e.g. a need for Councillor training). Or This identified risk is not under adequate management. However, if this risk arises, it will have a minimal impact upon the Council. Whilst attempts can be made over time to improve the management of this risk, there may be occasions where the cost of mitigation is not warranted (e.g. holding spare parts or equipment).

H	High	This identified risk, which has a serious potential impact upon the Council is not under adequate management. This represents a key risk, which will be highlighted to meetings of the Council until such time that it is adequately managed or mitigated. Certain key risks with a low probability may be entirely beyond the management control capability of the Council– such risks may retain a high status upon the agreement of Council

Topic	Risk	H/M/L	Management/control of risk	Review/Assess/Revise
Business Continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	M	All files and recent records are kept at the Clerk's home. The Clerk makes regular back-ups of files to Microsoft Cloud backup service. Business Continuity Plan in place. In the event of the Clerk being indisposed the Chair to contact DALC for advice.	Existing procedures adequate.
Precept	Adequacy of precept	L	To determine the precept amount required the Parish Council receives budget updates quarterly. The precept is an agenda item at the December Parish Council meeting. At the December meeting the Parish Council receive a budget update report, including actual position and projected position at current year end.	Existing procedure adequate See Financial Regulations. Review the Financial Regulations at least annually.
	Requirements not submitted to Borough Council	L	With this information the Council maps out the required monies for standing costs and projects for the following year and applies specific figures to budget headings, the total of which is resolved to be the precept amount to be requested from the Borough Council. This figure is submitted by the Clerk in writing to the Borough Council.	
	Amount not received from Borough Council	L	The Clerk informs the Parish Council when the monies are received (approx May and September time).	

Annual Governance and Accountability Return (AGAR)	Not submitted within time limits	L	AGAR is completed and signed by the Chair and the Internal Auditor. It is then checked and sent on to the External Auditor within required time limit. Clerk prepares a timetable for submission to be presented at the April meeting. Clerk monitors emails from external auditor to ensure that submission is on time.	Existing procedure adequate
Financial Records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations that set out the requirements.	Existing procedure adequate See Financial Regulations. Review the Financial Regulations at least annually.
Bank and Banking	Inadequate checks Bank mistakes Loss charges	L L L L	The Council has Financial Regulations that set out the requirements for banking, cheques and reconciliation of accounts. The Clerk reviews the Councils banking arrangements regularly	Existing procedure adequate. Review the Financial Regulations and bank signatory list at least annually, especially after an AGM and an election.
Cash	Loss through theft or dishonesty	L	The Council has Financial Regulations which set out the requirements. Cash received is banked within 3 banking days. There is no petty cash or float.	Existing procedure adequate. Review the Financial Regulations at least annually

Reporting and Auditing	Information communication	L	A monitoring statement is produced regularly before each Council meeting with the agenda, discussed and approved at the meeting. This statement includes; bank reconciliation, and a breakdown of receipts and payments balanced against the bank.	Existing communication procedures adequate.
	Compliance	M	Council regularly audit internal control systems.	
Direct costs Overhead expenses	Goods not supplied but billed.	L	The Council has Financial Regulations which set out the requirements.	Existing procedure adequate. Review the Financial Regulations at least annually.
Debts	Incorrect invoicing	L	Prior to each Council meeting the list of invoices awaiting approval is distributed electronically to Councillors to consider.	
	Incorrect payment	L	Two councillors approve BACs payments after checking against the supplied invoices.	
	Loss of stock	L	The Council has minimal stocks, these are checked and monitored by the Clerk.	
	Unpaid invoices	L	Unpaid invoices for Council services are pursued and where possible, payment is obtained in advance.	
Grants and support - payable	Power to pay Authorisation of Council to pay	L	All grant requests are processed in line with the grant policy, minuted and listed accordingly if a payment is made using the S137 power of expenditure.	Existing procedure adequate.
Grants - receivable	Receipts of Grant	L	One off grants would come with terms and conditions to be satisfied.	Grant givers procedure followed.

Charges – rentals payable	Payments of charges, leases, rentals	L	The Parish Council leases a room within the village for meetings, invoices payable for the rental amounts are entered into the normal payment system for authorisation and are budgeted for.	Existing procedure adequate.
Best value accountability	Work awarded incorrectly	L	Normal Parish Council practice would be to seek, if possible, more than one quotation for any substantial work required to be undertaken or goods.	Existing procedure adequate. Financial Regulations reviewed at least annually.
	Overspend on services	M	For major contract services, formal competitive tenders would be sought. If a problem is encountered with a contract the Clerk would investigate the situation, check the quotation/tender, research the problem and report to Council.	

Salaries and associated costs	Salary paid incorrectly Wrong hours paid Wrong rate paid False employee Wrong deductions of NI or Tax Unpaid Tax & NI contributions to HMRC	L L L L L L	The Parish Council authorise salary payments at each meeting via BACS payment paid on the last working day of the month. Hours are equally distributed through the year. Salary rates are assessed annually and applied on 1 April each year. Salary analysis and payslips are produced by the Clerk monthly together with a schedule of payments to HMRC (for Tax and NI). These are inspected at the Council meetings and signed off. The Tax and NI is calculated using HMRC software. All Tax and NI payments are submitted to HMRC quarterly.	Existing payment system is adequate.
Compliance with legislation, Standing Orders, Financial Regulations and other policies.	Lack of knowledge of rules and regulations.	L	Councillors have access to all Policies and Procedures on the website or by email from the Clerk. All are reviewed at least annually and distributed to councillors for review prior to adopting.	Existing procedure adequate.

Clerk.	Loss of clerk Fraud by clerk Actions undertaken by clerk Health & Safety	L L L L	In the event of the Clerk being indisposed the Chair to contact DALC for advice. References taken up prior to appointment and regular internal financial audits completed by designated councillors. The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role. The Clerk should be provided with adequate direction and equipment to undertake their role safely. Health and Safety policy reviewed at least annually.	Existing procedure adequate. Purchase revised books. Membership of the SLCC/Derbyshire ALC Monitor working conditions, safety requirements and insurance regularly.
Election costs	Risk of an election cost	L	Risk is higher in an election year, but the Parish Council maintains a reserve to cover the cost of an election (held in the savings account). When an election is due the Clerk will obtain an estimate of costs from the Borough Council for a full election and an uncontested election. There are no measures which can be adopted to minimise the risk of having a contested election as this is a democratic process and should not be stifled.	Existing procedure adequate

VAT	Re-claiming	L	VAT analysis is carried out by the Clerk on all purchases and contracts. Yearly claim is made by the Clerk to HMRC for VAT recovery.	Existing procedure adequate
Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved and minuted at Full Parish Council Meetings.	Existing procedures adequate
Minutes/Agendas/Notices Statutory Documents	Accuracy and legality	L	Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Paper copies of signed minutes and financial information are kept at the clerk's home address and placed in the Derbyshire archives at least 5 yearly.	Existing procedure adequate. Guidance/training to Chair should be given (if required). Archive papers to be transferred to Derbyshire archives. Members to adhere to Code of Conduct.
	Business conduct	L	Minutes and agenda are displayed according to the legal requirements. Business conducted at Council meetings should be managed by the Chair. Current policies and procedures are displayed on the website. All documents are regularly backed up to Microsoft cloud.	Damage (apart from fire) and theft is unlikely and so provision adequate. Deeds deposited off-site.

Members interests	Conflict of interest Register of Members interests	L M	Although not a requirement, the declaring of interests by members at a meeting is a process to remind Councillors of their duty and should remain on the agenda. Register of Members Interest forms should be reviewed regularly by the individual Councillor and updates sent to the elections office at High Peak Borough Council as required.	Existing procedure adequate. Members take responsibility to update their Register.
Insurance	Adequacy Cost Compliance	L L L	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance is a necessity. Ensure compliance measures are in place.	Existing procedure adequate. Review insurance provision annually. Review of compliance.
Data protection	Policy Provision	L	The Council is registered with the Information Commissioner's Office and complies with GDPR regulations. Only personal data for lawful purposes is stored	Ensure annual review of registration and data protection policy.
Freedom of Information Act	Policy Provision	L	The Council has a model publication scheme for Local Councils in place. The Council is able to request a fee for any information requested to cover the cost of consumables and the clerk's time.	Monitor and report any impacts of requests made under the FOI Act.

Assets	Loss or Damage Risk/damage to third party(ies) / property	L L	An annual review of assets is undertaken for insurance provision, storage and maintenance provisions. Asset specific risk assessments are separate to this document and reviewed annually.	Existing procedure adequate.
Maintenance	Poor performance of assets or amenities Loss of income or performance Risk to third parties	L L L	All assets owned by the Parish Council are regularly reviewed and maintained. Asset specific risk assessments are separate to this document and reviewed annually. All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with the correct procedures of the Parish Council. All assets are insured and reviewed annually. All public amenity land is inspected regularly by the Clerk.	Existing procedure adequate. Ensure inspections carried out.
Notice boards	Risk/damage/injury to third parties Roadside safety	L L	Parish Council has 4 notice boards sited around the parishes. All locations have approval by relevant parties, insurance cover, inspected regularly by the Clerk - any repairs/maintenance requirements brought to the attention of the Parish Council. Asset specific risk assessments are separate to this document and reviewed annually. Keys held by the Clerk.	Existing procedure adequate.

Street furniture	Risk/damage/injury to third parties	L	The Parish Council is responsible for a number of assets around the village, and these are covered by insurance. Asset specific risk assessments are separate to this document and reviewed annually. Inspections are carried out monthly and recorded, all reports of damage or faults are reported to the Parish Council and/or dealt with.	Existing procedure adequate.
Meeting location	Adequacy Health & Safety	L L	The Parish Council Meetings are usually held at Hope Old School. The premises and the facilities are considered to be adequate for the Clerk, Councillors and Public who attend from Health and Safety and comfort aspects.	Existing locations adequate.
Councillors and clerk	Bringing the Parish Council into disrepute	L	Councillors understand and receive training on the Code of Conduct. Code of Conduct reviewed annually. A professional approach is undertaken on all Parish Council matters.	Existing procedure adequate.
Risk Assessment and Risk Register	Failure to assess new risks or re-assess risk register	L	The Risk Register will be reviewed annually. Any new procedure / activity will be risk assessed and either added to the risk register or a separate risk assessment written dependent on activity.	Existing procedure adequate.