IDRIDGEHAY, ALTON AND ASHLEYHAY PARISH COUNCIL — RISK REGISTER

WORK/ACTIVITY:	
Whole Council risk management	
Serial No:	IAA/RR/2026/01
Assessment Date:	05/NOV/2026
Assessed By:	Draft for Council
Review Date:	By 31/MAR/2027

DESCRIPTION:

Council governance, finance, public amenities, information security, staff/volunteers and statutory duties, including distinct charitable-trustee functions for the Playing Field (No. 520558) and Mount Pleasant pasture. This is a working draft for validation and formal Council approval.

Risk Matrix	Remote (1)	Unlikely (2)	Possible (3)	Likely (4)	Very Likely (5)
Trivial (1)	1	2	3	4	5
Minor (2)	2	4	6	8	10
Moderate (3)	3	6	9	12	15
Serious (4)	4	8	12	16	20
Catastrophic (5)	5	10	15	20	25

LOW 1–8	Manage by routine controls and review if circumstances change.	**MID 9–12**	Action and monitoring required; reduce risk so far as reasonably practicable.	**HIGH 15–25**	Urgent mitigation required. Do not proceed with avoidable unsafe activity until controlled.

Scores use Severity (S) × Likelihood (L), both 1–5. Initial scores are before proposed controls; residual scores assume all listed controls have actually been verified and implemented. The register is a draft and must not be treated as evidence that controls, insurance or inspections already exist. The Council should verify each line, approve actions and review at least annually and after significant changes.

ID	Risk / Hazard Description	Who may be affected?	Potential consequence	Initial S / L / Score			Control measures to verify / implement	Residual S / L / Score		
				S	L	S		S	L	S
A) GOVERNANCE, DEMOCRATIC AND LEGAL COMPLIANCE										
A01	Unlawful or ultra vires expenditure	Council, taxpayers	Irregular spending; legal challenge; audit qualification	4	3	12	Record the statutory power and public benefit for each material decision; obtain advice where powers are uncertain; minute authority.	4	1	4
A02	Meetings not properly summoned or quorate	Members, residents	Invalid decisions; challenge; loss of public confidence	4	3	12	Use a meeting checklist covering summons, notice, papers, quorum and statutory timescales; check attendance before decisions.	4	1	4
A03	Interests, bias or dispensations mishandled	Members, public	Challenge to decisions, misconduct or reputational harm	4	3	12	Maintain declarations and registers; remind members before each item; record withdrawals and lawful dispensations in minutes.	4	1	4
A04	Inaccurate or incomplete minutes and records	Council, residents	Unclear authority; disputes; weakened audit trail	3	4	12	Keep draft minutes promptly; record decisions, votes and powers clearly; approve and sign at next appropriate meeting.	3	2	6
A05	Standing orders or policies become outdated	Council, public	Procedural errors; non-compliance	3	3	9	Maintain an annual policy review schedule; align adopted standing orders and financial regulations with current guidance.	3	1	3
A06	Councillor vacancies or loss of quorum	Council, residents	Council unable to discharge duties or make decisions	4	3	12	Track vacancies and term dates; follow proper co-option/election procedures; liaise with Amber Valley Borough Council where necessary.	4	2	8
A07	Poor procurement or contract decisions	Council, suppliers	Excess cost; dispute; failure of best value	4	3	12	Follow financial regulations and threshold rules; obtain proportionate quotations; record evaluation, approvals and contract terms.	4	2	8
A08	Planning responses made without due process	Applicants, residents	Unfair representations; complaint; reduced confidence	3	3	9	Review plans against adopted policy; declare interests; agree evidence-based consultation responses and meet deadlines.	3	1	3
A09	Complaints, harassment or abusive conduct	Clerk, councillors, public	Stress; escalation; loss of confidence	4	3	12	Adopt complaints and dignity-at-work procedures; give clear contact routes; record incidents and refer serious threats appropriately.	4	2	8

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A10	Failure to publish required information	Residents, council	Statutory non-compliance; challenge; reputational damage	4	3	12	Maintain publication schedule for agendas, minutes, finance, public rights and other mandatory information; periodically test links.	4	1	4
B) FINANCIAL MANAGEMENT, AUDIT AND INSURANCE										
B01	Incorrect precept or budget setting	Council, taxpayers	Service shortfall, excessive taxation or deficit	4	3	12	Prepare a costed budget and reserves forecast; compare actuals and commitments; approve the precept formally and by deadline.	4	1	4
B02	Inadequate earmarked or general reserves	Council, residents	Inability to meet emergency or essential expenditure	4	3	12	Adopt reserves policy; review unrestricted and earmarked balances during budget setting and throughout the year.	4	2	8
B03	Weak cash-flow monitoring	Council, suppliers	Late payments; disruption; loss of trust	3	3	9	Monitor balances, committed expenditure and expected receipts; report material variances to council each meeting.	3	1	3
B04	Fraudulent payment or changed bank details	Council, taxpayers	Loss of public funds; investigation	5	3	15	Use independent call-back verification for bank changes; dual authorisation, payment schedules and robust banking permissions.	5	1	5
B05	Unauthorised or duplicated payments	Council, suppliers	Loss of funds; fraud or inaccurate accounts	4	3	12	Match invoice to approval, receipt and budget; separate preparation from approval; retain vouchers and evidence of payments.	4	1	4
B06	Bank reconciliation errors	Council, auditor	Undetected fraud; incorrect balances and returns	4	3	12	Reconcile every bank account at least monthly; arrange independent councillor verification and record exceptions.	4	1	4
B07	Incorrect accounting classification	Council, auditor	Misstated AGAR; budget inaccuracies	3	3	9	Maintain complete cashbook and supporting records; reconcile year-end figures and review abnormal postings.	3	1	3
B08	Failure to complete AGAR or public rights	Council, residents	Audit qualification or enforcement; reputational harm	4	3	12	Set a year-end timetable; obtain internal audit, approve statements in order and publish the notices and statutory documents on time.	4	1	4
B09	Inadequate independent internal audit	Council, taxpayers	Control weaknesses undetected; adverse audit findings	4	3	12	Appoint an independent competent auditor; agree scope; consider findings and minute remedial actions.	4	1	4
B10	Insufficient insurance or fidelity cover	Council, public, trustee bodies	Unfunded claims or replacement costs	5	3	15	Review annual cover for public/employers liability, fidelity, equipment, war memorial, volunteer and charity trustee exposures.	5	2	10
B11	Incomplete council asset register	Council, auditor	Assets lost or wrongly insured or accounted for	3	3	9	Maintain serials, location, cost, valuation basis and custodianship; distinguish charity trust assets from council-owned assets.	3	1	3
B12	Payroll, PAYE or pension mistakes	Clerk, council	Underpayment, penalties or employment claims	4	3	12	Check payroll, tax and pension duties; approve employment changes; use payroll reports and external advice as required.	4	1	4
B13	Improper grant or donation awards	Council, recipients	Irregular expenditure; inequity; poor accountability	3	3	9	Confirm powers and eligibility; use written award criteria and conflicts declarations; seek proportionate evidence of benefit.	3	1	3
B14	VAT or tax treatment incorrectly applied	Council, trust	Irrecoverable tax, penalties and audit errors	4	3	12	Review VAT treatment before contracts or major expenditure; separate council and charity transactions; obtain specialist advice.	4	2	8
C) INFORMATION, DATA PROTECTION AND CYBER SECURITY										
C01	Personal data disclosed or lost	Residents, officers, members	Privacy harm; complaint or regulatory action	4	4	16	Use access controls and privacy notices; limit personal data; use secure transfer, retention schedule and breach reporting process.	4	2	8

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C02	Phishing, account takeover or ransomware	Council, residents	Loss of funds, data or service continuity	5	4	20	Enforce MFA, strong access controls, device patching, backup testing and independent validation of payment requests.	5	2	10
C03	Loss of council emails or records on handover	Council, public	Unrecoverable decisions and statutory records	4	3	12	Use council-controlled email/accounts; keep central records, documented access and secure handover/backup procedures.	4	1	4
C04	Failure to retrieve or restore backups	Council, residents	Interrupted services; permanent document loss	4	3	12	Keep secure off-site or cloud backups with restricted access; test restore and record recovery ownership.	4	1	4
C05	Website inaccessible or inaccurate	Residents, council	Exclusion; non-compliance; misleading information	3	4	12	Check accessibility statement, document formats, published content, contact details and broken links on a schedule.	3	2	6
C06	FOI, subject access or records requests missed	Residents, council	Late response; complaint; legal non-compliance	4	3	12	Keep request log with statutory deadlines, advice/escalation route and consistent retention and redaction process.	4	1	4
C07	Sensitive casework shared with third parties	Residents, members	Privacy breach or misuse of personal information	4	3	12	Separate councillor and council records; define lawful purposes; minimise circulation and use secure storage and email.	4	1	4
D) CHARITY TRUSTEESHIP (SEPARATE FROM COUNCIL FUNCTIONS)										
D01	Parish council and charity functions conflated	Trust beneficiaries, council	Breach of trust; accounting error; conflict of duties	5	4	20	Conduct trustee business separately, with distinct decisions, agendas/minutes and financial records; document capacity in every resolution.	5	2	10
D02	Charity money used as council money or vice versa	Charities, council	Misstatement of accounts; breach of trust	5	4	20	Maintain separate charity accounts and banking; reconcile independently; apply AGAR trust-fund rules and obtain advice on transfers.	5	1	5
D03	Trust deed restrictions or reporting overlooked	Beneficiaries, regulator	Improper use of land; reporting/default risk	4	3	12	Obtain current governing documents, confirm land titles and purposes, log Charity Commission duties and review annually.	4	1	4
D04	Playing field land used outside charity objects	Beneficiaries, neighbours	Charity-law breach; dispute; loss of amenity	4	3	12	Check decisions and permissions against charity no. 520558 governing document; assess leases, events and any disposal formally.	4	1	4
D05	Mount Pleasant grazing arrangement undocumented	Charity, farmer, public	Dispute over rights, maintenance or liability	4	3	12	Check trust terms, title and current written grazing licence; define access, boundaries, livestock duties and review date.	4	2	8
D06	Trust land insurance or liabilities unclear	Charities, council, visitors	Uninsured property or injury claim	5	3	15	Confirm trustee liability and public liability arrangements, boundary duties, contractors and the insured interest for each charity.	5	2	10
D07	Conflict of interest in trustee land decisions	Members, charity	Unfair advantage; challenge to transaction	4	3	12	Declare and manage trustee interests separately; document rationale, valuation advice and any Charity Commission consent needed.	4	1	4
D08	Charity assets wrongly included in AGAR totals	Council, charities	Misleading accounts and audit qualification	4	3	12	Flag trust assets in the council asset register but exclude their values from council asset totals; verify AGAR trust disclosures.	4	1	4
E) COMMUNITY ASSETS, EQUIPMENT AND PUBLIC SAFETY										
E01	Uneven surfaces at memorial garden	Visitors, volunteers	Trips, falls or injury	3	4	12	Inspect paths and edges routinely; address defects, vegetation and slip hazards; keep inspection and repair records.	3	2	6
E02	Unstable war memorial or damaged stonework	Visitors, contractors	Falling masonry or serious injury	5	3	15	Arrange condition checks by a competent person; isolate dangerous defects and programme safe specialist repairs.	5	1	5

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E03	Tree or branch failure in public spaces	Visitors, neighbours	Serious injury; property damage	5	3	15	Commission risk-based tree inspections, especially after storms; prioritise high-use areas and document remedial works.	5	2	10
E04	Playing field ground defects or poor drainage	Field users	Slips, falls or injury	3	4	12	Inspect grass, holes, drainage and access points; take areas out of use where needed and record repairs.	3	2	6
E05	Recreation equipment defects, if installed	Children, field users	Impact, crush or fall injuries	5	3	15	Inventory all equipment; assess inspection regime by type and usage; arrange competent annual inspections and prompt isolation.	5	2	10
E06	Unsafe fences, gates or boundaries	Visitors, animals, neighbours	Cuts, trapping, escape or third-party damage	4	3	12	Check boundary ownership and condition; repair hazardous fixtures and agree responsibility with adjacent owners or tenants.	4	2	8
E07	Fly-tipping, litter, sharps or contamination	Users, contractors	Cuts, infection or environmental harm	4	4	16	Provide reporting route; use trained contractor to remove hazardous waste; inspect sites following incidents.	4	2	8
E08	SID mounting or electrical/battery failure	Road users, contractors	Falling equipment, fire, ineffective warnings	5	3	15	Inspect fixings, poles, weatherproofing and power systems; follow manufacturer maintenance and highway authority conditions.	5	1	5
E09	SID servicing exposes workers to traffic	Operatives, road users	Vehicle collision or serious injury	5	4	20	Plan roadside access with highway authority; use competent contractors, safe working method and appropriate traffic management.	5	2	10
E10	Defibrillator unavailable or depleted	Residents, emergency users	Delayed emergency response; possible loss of life	5	4	20	Keep named custodian and check log; monitor pads, batteries, cabinet access and registration with The Circuit.	5	2	10
E11	Defibrillator location/contact information wrong	Residents, responders	Delayed access during an emergency	5	3	15	Verify every location/address and availability information; update council website and ambulance registration promptly.	5	1	5
E12	Landscaping or maintenance contractors unsafe	Contractors, visitors	Machinery injury, debris or property damage	5	3	15	Use competent insured contractors; request RAMS where appropriate; segregate public access and check works completion.	5	2	10
E13	Roadside community work or sign installation	Volunteers, contractors, public	Road traffic collision or injury	5	4	20	Do not permit ad hoc roadside works; require highway permissions, competent workers, safe method and suitable insurance.	5	2	10
E14	Winter gritting or snow wardening injury	Volunteers, highway users	Slips, collision or manual-handling injury	4	4	16	Agree DCC scheme conditions; brief volunteers; restrict activity to safe conditions, routes and authorised grit use.	4	2	8
E15	Public events or third-party use of open space	Visitors, organisers	Crowd, weather, fire or accident exposure	5	3	15	Approve events in writing; agree responsibilities, insurance and event-specific risk assessments, safeguarding and emergency plans.	5	2	10
F) PEOPLE, VOLUNTEERS AND PUBLIC ENGAGEMENT										
F01	Clerk works alone or visits isolated sites	Clerk	Assault, accident or delayed assistance	4	3	12	Use appointment/check-in protocol, safe travel arrangements, escalation contact and prohibit lone visits where risk warrants.	4	2	8
F02	Aggression or intimidation at public meetings	Members, clerk, visitors	Distress or physical harm	4	3	12	Use meeting conduct procedures, suitable venues, exit planning and incident reporting; contact police for threats.	4	2	8
F03	Volunteers act without role briefing or insurance	Volunteers, public	Injury, claim or unclear liability	4	4	16	Keep volunteer register and tasks; provide induction, relevant supervision, safety information and insurance verification.	4	2	8

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F04	Manual handling of equipment or supplies	Volunteers, contractors	Musculoskeletal injury	3	4	12	Avoid unnecessary lifting; use smaller loads, appropriate equipment and task-specific briefing.	3	2	6
F05	Failure to safeguard vulnerable attendees	Children, vulnerable adults	Harm or inappropriate conduct	5	3	15	Review safeguarding arrangements for activities; designate reporting route, safe recruitment and proportionate checks as applicable.	5	1	5
F06	Public access not inclusive or accessible	Residents, visitors	Exclusion, injury or complaint	3	3	9	Review venue accessibility, reasonable adjustments, meeting information and site access; address barriers proportionately.	3	2	6
G) BUSINESS CONTINUITY, EMERGENCIES AND REPUTATION										
G01	Clerk/RFO unexpectedly unavailable	Council, residents	Missed payments, statutory deadlines or meetings	4	4	16	Maintain continuity contacts, delegated authorities, password escrow/secure access, deadline calendar and handover file.	4	2	8
G02	Severe weather or flooding disrupts amenities	Visitors, residents	Site closure, injury or repair costs	4	4	16	Maintain severe-weather response contacts; inspect after storms and prioritise hazards and public notices.	4	2	8
G03	Urgent incident not reported or escalated	Public, council	Harm worsens; delayed response and claims	5	3	15	Adopt incident reporting with urgent escalation to emergency services/insurer and preservation of records and photographs.	5	2	10
G04	Supplier/contractor failure or key service loss	Council, public	Maintenance lapse or unexpected expense	4	3	12	Use written scopes, performance monitoring and alternatives for critical tasks; track expiries and contractor insurance.	4	2	8
G05	Community communication inaccurate or delayed	Residents, members	Confusion, rumours and reputational damage	3	4	12	Agree publication/authorisation process; check factual accuracy; correct errors promptly and keep official channels updated.	3	2	6
G06	Regulatory changes not tracked	Council, charities	Outdated practices or missed duties	4	3	12	Review updates from sector bodies, insurer and auditors; assign policy owners and note significant changes for council.	4	2	8

Prepared / Assessor	Draft date	Approval signature		Council meeting / Minute	Next formal review
Clerk / RFO	05/11/2026			To be confirmed	By 31/03/2027