RISK ASSESSMENT POLICY ASHBY WOULDS TOWN COUNCIL

| 1 Loss of title deeds to land/building fire or flood at office VFS 2 Unexpected loss of clerk council not able to operate normally of all presented loss of cleaner on table to operate normally of all presented loss of cleaner on table to operate normally leading to the provide cover VFS 3 Unexpected loss of cleaner on table to operate normally leading to the provide cover VFS 4 Public & Employees liability inadequate cover U/H Annually Feb-24 risk adequately managed by WPS VFS 5 Money & fidelity guarantee inadequate cover U/H Annually Feb-24 risk adequately managed via WPS VFS 6 Personal accident inadequate cover U/H Annually Feb-24 risk adequately managed via WPS VFS 7 Council owned property damage or destruction U/H Annually Feb-24 risk adequately managed via WPS VFS 8 Seats and benches damage or destruction U/L ongoing ongoing risk adequately managed via WPS VFS 9 Noticeboards damage or destruction U/L ongoing ongoing risk adequately managed via WPS VFS 10 Gas/electricity inspections office loss of supply U/L weekly ongoing risk adequately managed via WPS VFS 11 Gas/electricity inspections pavilion loss of supply U/L weekly ongoing risk adequately managed by Bgas /meter readin VFS 12 Play equipment qualified inspections injury, vanadalism, repair injury to users U/H Annually Feb-24 risk adequately managed by Bgas /meter readin VFS 12 Play equipment qualified inspections by councillors injury, vanadalism, repair injury to users failure of institution U/H Annually Feb-24 risk adequately managed by Bgas /meter readin VFS 14 Repair injury, vanadalism, repair injury to users injury, vanadalism, repair injury, vanadalism, repair injury, vanadalism, repair injury to users injury, vanadalism, repair injury to users injury, vanadalism, repair injury to users injury to users injury vanadalism, repair injury to users injury vanadalism, repair injury to users i | NO ITEM | RISK | RISK | CHECKED | REVIEWED | MANAGED | YES/NO |
|--|---|---------------------------------|------|-----------|----------|--|--------|
| 3 Unexpected loss of cleaner not able to operate normally L/L Annually Feb-24 cleaning company provide cover YES 4 Public & Employees liability inadequate cover L/H Annually Feb-24 risk adequately managed by WPS YES 6 Personal accident inadequate cover L/H Annually Feb-24 risk adequately managed via WPS YES 7 Council owned property damage or destruction L/H Annually Feb-24 risk adequately managed via WPS YES 8 Seats and benches damage or destruction L/L ongoing ongoing replacement cost less than ins excess YES 10 Gas/electricity inspections office loss of supply L/L weekly ongoing risk adequately managed via WPS YES 10 Gas/electricity inspections office loss of supply L/L weekly ongoing risk adequately managed via WPS YES 11 Gas/electricity inspections pavilion loss of supply L/L weekly ongoing risk adequately managed by Bgas /meter readin YES 11 Gas/electricity inspections pavilion damage to persons/property L/L annually reb-24 risk adequately managed via WPS YES 13 Trees loss of supply L/L weekly ongoing risk adequately managed by Bgas /meter readin YES 14 All sites - inspections by councillors injury, vandalism, repair failure of institution L/H annually reb-24 risk adequately managed by Bgas /meter readin YES 14 All sites - inspections by councillors injury, vandalism, repair failure of institution L/H annually reb-24 risk adequately managed by Bgas /meter readin YES 14 All sites - inspections by councillors injury, vandalism, repair M/H monthly ongoing inspections by clirs & grounds contractor YES 14 All sites - inspections by councillors injury, vandalism, repair failure of institution L/H annually reb-24 reports produced by Scribs YES 18 Clerk salary review failure to pay correctly L/L Annually reb-24 reports produced by Scribe YES 18 Clerk salary review failure to pay correctly L/L Annually reb-24 reports produced by Scribe YES 19 Clirs allowance review & agreed failure to audit thoroughly L/L Annually reb-24 reports produced by Scribe YES 19 Clirs allowance review & agreed inadequate funds to manage L/ | 1 Loss of title deeds to land/building | fire or flood at office | L/H | Annually | Feb-24 | Title deeds stored in fireproof safe at office | YES |
| 4 Public & Employees liability inadequate cover | 2 Unexpected loss of clerk | council not able to operate | M/H | Annually | Feb-24 | Locum Clerk and LRALC able to provide cover | YES |
| S Money & fidelity guarantee inadequate cover | 3 Unexpected loss of cleaner | not able to operate normally | L/L | Annually | Feb-04 | cleaning company provide cover | YES |
| 6 Personal accident inadequate cover I/H Annually Feb-24 risk adequately managed via WPS YES 7 Council owned property damage or destruction I/H Annually Feb-24 risk adequately managed via WPS YES 8 Seats and benches damage or destruction I/L ongoing ongoing risk adequately managed via WPS YES 10 Gas/electricity inspections office loss of supply I/L weekly ongoing risk adequately managed via WPS YES 11 Gas/electricity inspections office loss of supply I/L weekly ongoing risk adequately managed by Bgas /meter readin YES 11 Gas/electricity inspections pavilion loss of supply I/L weekly ongoing risk adequately managed by Bgas /meter readin YES 11 Gas/electricity inspections pavilion loss of supply I/L Annually Feb-24 risk adequately managed by Bgas /meter readin YES 12 Play equipment qualified inspections injury to users I/H Annually Feb-24 risk adequately managed by Bgas /meter readin YES 13 Trees damage to persons/property I/L Annually Feb-24 risk adequately managed by Bgas /meter readin YES 14 All sites - inspections by councillors injury, vandalism, repair M/H monthly ongoing inspections by clirs & grounds contractor YES 15 Banking arrangements failure of institution I/H Annually Feb-24 inspections by clirs & grounds contractor YES 15 Banking arrangements failure of institution I/H Annually Feb-24 inspections by clirs & grounds contractor YES 17 Vat return not submitted loss of revenue I/L Annually Feb-24 reports produced by Scribe YES 19 Clirs allowance review & agreed failure to pay correctly I/L Annually Feb-24 SLCC/NALC/LRALC issue salary scales YES 19 Clirs allowance review & agreed failure to pay correctly I/L Annually Feb-24 Precept mot submitted inadequate funds to manage I/M Annually Feb-24 reports produced by Scribe YES 19 Bank reconciliation accounts imbalance I/L Quarterly Feb-24 reports produced by Scribe YES 19 Bank reconciliation accounts imbalance I/L Quarterly Feb-24 reports produced by Scribe YES 19 Bank reconciliation February I/L Annually Feb-24 reports produced by Scribe YES 19 Bank reconci | 4 Public & Employees liability | inadequate cover | L/H | Annually | Feb-24 | risk adequately managed by WPS | YES |
| 7 Council owned property 8 Seats and benches 6 Manage or destruction 1 L/L ongoing 7 Outcieboards 7 Outcieboards 8 Seats and benches 9 Noticeboards 8 Destruction 1 L/L ongoing 9 Noticeboards 1 Description office 1 L/L ongoing 1 Oras/electricity inspections office 1 In Gas/electricity inspections pavilion 1 Description of supply 1 L/L Monthly 1 Description on pavilion 1 Description of supply 1 L/L Annually 1 Peb-24 1 Requirement qualified inspections 1 Injury vandalism, repair 1 All sites - inspections by councillors 1 Injury, vandalism, repair 1 Failure of institution 1 L/H Annually 1 Feb-24 1 Sanking arrangements 1 Failure of institution 1 L/H Annually 1 Feb-24 1 Search of allure of institution 2 In Annually 3 Feb-24 3 Description of the wind insured to sos of revenue 3 Description of the wind insured to pay correctly 4 L/L Annually 4 Peb-24 5 Description of the wind insured to pay correctly 5 Description overspend (underspend) 4 Description overspend (underspend) 5 Description overspend/underspend 5 Description ov | 5 Money & fidelity guarantee | inadequate cover | L/H | Annually | Feb-24 | risk adequately managed via WPS | YES |
| 8 Seats and benches damage or destruction L/L ongoing ongoing replacement cost less than ins excess YES 9 Noticeboards damage or destruction L/L ongoing ongoing risk adequately managed via WPS YES 10 Gas/electricity inspections office loss of supply L/L weekly ongoing risk adequately managed by Bgas /meter readir YES 11 Gas/electricity inspections pavilion loss of supply L/H monthly ongoing risk adequately managed by Bgas /meter readir YES 12 Play equipment qualified inspections injury to users loamage to persons/property L/L Annually Feb-24 risk adequately managed by Bgas /meter readir YES 13 Trees damage to persons/property L/L Annually Feb-24 risk adequately managed by Bgas /meter readir YES 14 All sites - inspections by councillors injury , vandalism, repair M/H monthly ongoing inspections by cllrs & grounds contractor YES 15 Banking arrangements failure of institution L/H Annually Feb-24 banking undertaken with HSBC YES 16 Insurance providers failure to pay correctly L/L Annually Feb-24 reports produced by Scribe YES 18 Clerk salary review failure to pay correctly L/L Annually Feb-24 reports produced by Scribe YES 19 Cllrs allowance review & agreed failure to pay correctly L/L Annually Feb-24 SLCC/NALC/LRALC issue Salary scales YES 19 Precept not submitted inadequate funds to manage L/M Annually Feb-24 reports produced by Scribe YES 21 Precept not submitted inadequate funds to manage L/M Annually Feb-24 reports produced by Scribe YES 28 Bank reconciliation accounts imbalance L/L Quarterly Feb-24 reports produced by Scribe YES 29 Bank reconciliation failure to audit thoroughly L/L Annually Feb-24 council reviews internal auditor reports YES 26 External audit failure to adher to LGA regs M/M Annually Feb-24 register updated as changes occur YES 28 Asset register updated loss of data/historical records L/H Daily reb-24 register updated as changes occur YES 29 Back up of computer records loss of data/historical records L/H Daily reb-24 register updated as changes occur YES 29 Back up of computer records loss o | 6 Personal accident | inadequate cover | L/H | Annually | Feb-24 | risk adequately managed via WPS | YES |
| 9 Noticeboards damage or destruction L/L ongoing or ongoing risk adequately managed via WPS YES 10 Gas/electricity inspections office Ioss of supply L/L weekly ongoing risk adequately managed by Bgas/meter reading YES 11 Gas/electricity inspections pavilion Ioss of supply L/H monthly ongoing risk adequately managed by Bgas/meter reading YES 12 Play equipment qualified inspections injury to users L/H Annually Feb-24 risk adequately managed via WPS YES 13 Trees damage to persons/property L/L Annually ongoing inspections by clirs & grounds contractor YES 14 All sites - inspections by councillors injury, vandalism, repair L/H Annually Feb-24 banking undertaken with HSBC YES 15 Banking arrangements failure of institution L/H Annually Feb-24 insured via WPS YES 16 Insurance providers failure of institution L/H Annually Feb-24 insured via WPS YES 17 Vat return not submitted Ioss of revenue L/L Annually Feb-24 insured via WPS YES 18 Clerk salary review failure to pay correctly L/L Annually Feb-24 SLCC/NALC/LRALC issue salary scales YES 19 Cllrs allowance review & agreed failure to pay correctly L/M Annually Feb-24 SLCC/NALC/LRALC issue NLC scales YES 19 Precept not submitted inadequate funds to manage L/M Annually Feb-24 written request from district council YES 12 Budget monitoring overspend/underspend L/M Quarterly Feb-24 reports produced by Scribe YES 12 Bank reconciliation accounts imbalance L/L Quarterly Feb-24 reports produced by Scribe YES 19 Review of internal audit thoroughly L/L Annually Feb-24 (written request from district council YES 19 Review of internal audit thoroughly L/L Annually Feb-24 (written request from district council YES 19 Review of internal audit thoroughly L/L Annually Feb-24 (written requises from district council YES 19 Review of internal audit thoroughly L/L Annually Feb-24 (written requises from district council YES 19 Review of internal audit thoroughly Feb-24 (written requisions exist from council YES 19 Review of internal audit to addire to addire to LGA regs M/M Annually Feb-24 writ | 7 Council owned property | damage or destruction | L/H | Annually | Feb-24 | risk adequately managed via WPS | YES |
| 10 Gas/electricity inspections office loss of supply L/L weekly ongoing risk adequately managed by Bgas/meter readir PSS Play equipment qualified inspections injury to users L/H Annually Feb-24 risk adequately managed by Bgas/meter readir PSS PSS PSS PSS PSS PSS PSS PSS PSS PS | 8 Seats and benches | damage or destruction | L/L | ongoing | ongoing | replacement cost less than ins excess | YES |
| 11 Gas/electricity inspections pavilion loss of supply ling ly ly ly ly ly ly equipment qualified inspections injury to users ly ly ly ly ly ly equipment qualified inspections injury to users ly | 9 Noticeboards | damage or destruction | L/L | ongoing | ongoing | risk adequately managed via WPS | YES |
| 12 Play equipment qualified inspections injury to users L/H Annually Feb-24 risk adequately managed via WPS YES 13 Trees damage to persons/property L/L Annually ongoing inspections by cllrs & grounds contractor YES 14 All sites - inspections by councillors injury , vandalism, repair M/H monthly ongoing inspections by cllrs & grounds contractor YES 15 Banking arrangements failure of institution L/H Annually Feb-24 banking undertaken with HSBC YES 16 Insurance providers failure of institution L/H Annually Feb-24 insured via WPS YES 17 Vat return not submitted loss of revenue L/L Annually Feb-24 reports produced by Scribe YES 18 Clerk salary review failure to pay correctly L/L Annually Feb-24 SLCC/NALC/LRALC issue salary scales YES 19 Cllrs allowance review & agreed failure to pay correctly L/L Annually Feb-24 SLCC/NALC/LRALC issue NLC scales YES 19 Cllrs allowance review & agreed inadequate funds to manage L/M Annually Feb-24 Precept meeting held every January YES 12 Precept not submitted inadequate funds to manage L/M Annually Feb-24 written request from district council YES 12 Bank reconciliation accounts imbalance L/L Quarterly Feb-24 reports produced by Scribe YES 12 Bank reconciliation failure to audit thoroughly L/L Annually Feb-24 reports produced by Scribe YES 12 Review of internal audit failure to audit thoroughly L/L Annually Feb-24 reports produced by Scribe YES 12 Review of internal audit failure to audit thoroughly L/L Annually Feb-24 reports produced by Scribe YES 12 Review of internal audit failure to audit thoroughly L/L Annually Feb-24 appointed by audit commission YES 12 Review of internal audit failure to audit thoroughly L/L Annually Feb-24 appointed by audit commission YES 12 Review of internal audit failure to adhere to LGA response LGA register updated as changes occur YES 12 Back up of computer records loss of data/historical records L/L Annually Feb-24 register updated as changes occur YES 12 Back up of computer records loss of data/historical records L/L Annually Feb-24 register updated | 10 Gas/electricity inspections office | loss of supply | L/L | weekly | ongoing | risk adequately managed by Bgas /meter readi | r YES |
| 13 Trees damage to persons/property L/L Annually ongoing inspections by clirs & grounds contractor YES 14 All sites - inspections by councillors injury , vandalism, repair M/H monthly ongoing inspections by clirs & grounds contractor YES 15 Banking arrangements failure of institution L/H Annually Feb-24 banking undertaken with HSBC YES 16 Insurance providers failure of institution L/H Annually Feb-24 insured via WPS YES 17 Vat return not submitted loss of revenue L/L Annually Feb-24 reports produced by Scribe YES 18 Clerk salary review failure to pay correctly L/L Annually Feb-24 SLCC/NALC/LRALC issue salary scales YES 19 Cllrs allowance review & agreed failure to pay correctly L/L Annually Feb-24 SLCC/NALC/LRALC issue NLC scales YES 20 Budget approved inadequate funds to manage L/M Annually Feb-24 Precept meeting held every January YES 21 Precept not submitted inadequate funds to manage L/M Annually Feb-24 written request from district council YES 22 Budget monitoring overspend/underspend L/M Quarterly Feb-24 reports produced by Scribe YES 23 Bank reconciliation accounts imbalance L/L Quarterly Feb-24 reports produced by Scribe YES 24 Internal audit failure to audit thoroughly L/L Annually Feb-24 reports produced by Scribe YES 25 Review of internal audit failure to audit thoroughly L/L Annually Feb-24 eletter of engagement listing requirements YES 26 External audit failure to audit thoroughly L/L Annually Feb-24 appointed by audit commission YES 27 Financial regulations review failure to adhere to LGA regs 28 Asset register updated loss of accurate asset list L/L Annually Feb-24 register updated as changes occur YES 29 Back up of computer records loss of data/historical records L/H Daily ongoing data backed up external drive & memory stick YES | 11 Gas/electricity inspections pavilion | loss of supply | L/H | monthly | ongoing | risk adequately managed by Bgas/meter reading | ı, YES |
| 14 All sites - inspections by councillorsinjury , vandalism, repairM/Hmonthlyongoinginspections by clirs & grounds contractorYES15 Banking arrangementsfailure of institutionL/HAnnuallyFeb-24banking undertaken with HSBCYES16 Insurance providersfailure of institutionL/HAnnuallyFeb-24insured via WPSYES17 Vat return not submittedloss of revenueL/LAnnuallyFeb-24reports produced by ScribeYES18 Clerk salary reviewfailure to pay correctlyL/LAnnuallyFeb-24SLCC/NALC/LRALC issue salary scalesYES19 Cllrs allowance review & agreedfailure to pay correctlyL/LAnnuallyFeb-24SLCC/NALC/LRALC issue NLC scalesYES20 Budget approvedinadequate funds to manageL/MAnnuallyFeb-24Precept meeting held every JanuaryYES21 Precept not submittedinadequate funds to manageL/MAnnuallyFeb-24written request from district councilYES22 Budget monitoringoverspend/underspendL/MQuarterlyFeb-24reports produced by ScribeYES23 Bank reconciliationaccounts imbalanceL/LQuarterlyFeb-24reports produced by ScribeYES24 Internal auditfailure to audit thoroughlyL/LAnnuallyFeb-24letter of engagement listing requirementsYES25 Review of internal auditfailure to audit thoroughlyL/LAnnuallyFeb-24council reviews internal auditor commis | 12 Play equipment qualified inspections | injury to users | L/H | Annually | Feb-24 | risk adequately managed via WPS | YES |
| 15 Banking arrangements failure of institution L/H Annually Feb-24 banking undertaken with HSBC YES 16 Insurance providers failure of institution L/H Annually Feb-24 insured via WPS YES 17 Vat return not submitted loss of revenue L/L Annually Feb-24 reports produced by Scribe YES 18 Clerk salary review failure to pay correctly L/L Annually Feb-24 SLCC/NALC/LRALC issue salary scales YES 19 Cllrs allowance review & agreed failure to pay correctly L/L Annually Feb-24 SLCC/NALC/LRALC issue NLC scales YES 20 Budget approved inadequate funds to manage L/M Annually Feb-24 Precept meeting held every January YES 21 Precept not submitted inadequate funds to manage L/M Annually Feb-24 written request from district council YES 22 Budget monitoring overspend/underspend L/M Quarterly Feb-24 reports produced by Scribe YES 23 Bank reconciliation accounts imbalance L/L Quarterly Feb-24 reports produced by Scribe YES 24 Internal audit failure to audit thoroughly L/L Annually Feb-24 letter of engagement listing requirements YES 25 Review of internal audit failure to audit thoroughly L/L Annually Feb-24 council reviews internal auditor reports YES 26 External audit failure to adhere to LGA regs M/M Annually Feb-24 written regulations exist from council YES 27 Financial regulations review failure to adhere to LGA regs M/M Annually Feb-24 register updated as changes occur YES 28 Asset register updated loss of data/historical records L/H Daily ongoing data backed up external drive & memory stick YES | 13 Trees | damage to persons/property | L/L | Annually | ongoing | inspections by cllrs & grounds contractor | YES |
| 16 Insurance providers failure of institution L/H Annually Feb-24 insured via WPS YES 17 Vat return not submitted loss of revenue L/L Annually Feb-24 reports produced by Scribe YES 18 Clerk salary review failure to pay correctly L/L Annually Feb-24 SLCC/NALC/LRALC issue salary scales YES 19 Cllrs allowance review & agreed failure to pay correctly L/L Annually Feb-24 SLCC/NALC/LRALC issue NLC scales YES 20 Budget approved inadequate funds to manage L/M Annually Feb-24 Precept meeting held every January YES 21 Precept not submitted inadequate funds to manage L/M Annually Feb-24 written request from district council YES 22 Budget monitoring overspend/underspend L/M Quarterly Feb-24 reports produced by Scribe YES 23 Bank reconciliation accounts imbalance L/L Quarterly Feb-24 reports produced by Scribe YES 24 Internal audit failure to audit thoroughly L/L Annually Feb-24 letter of engagement listing requirements YES 25 Review of internal audit failure to audit thoroughly L/L Annually Feb-24 council reviews internal auditor reports YES 26 External audit failure to adhere to LGA regs M/M Annually Feb-24 register updated as changes occur YES 28 Asset register updated loss of accurate asset list L/L Annually Feb-24 register updated as changes occur YES 29 Back up of computer records loss of data/historical records L/H Daily ongoing data backed up external drive & memory stick YES | 14 All sites - inspections by councillors | injury , vandalism, repair | M/H | monthly | ongoing | inspections by cllrs & grounds contractor | YES |
| 17 Vat return not submitted loss of revenue L/L Annually Feb-24 reports produced by Scribe YES 18 Clerk salary review failure to pay correctly L/L Annually Feb-24 SLCC/NALC/LRALC issue salary scales YES 19 Cllrs allowance review & agreed failure to pay correctly L/L Annually Feb-24 SLCC/NALC/LRALC issue NLC scales YES 20 Budget approved inadequate funds to manage L/M Annually Feb-24 Precept meeting held every January YES 21 Precept not submitted inadequate funds to manage L/M Annually Feb-24 written request from district council YES 22 Budget monitoring overspend/underspend L/M Quarterly Feb-24 reports produced by Scribe YES 23 Bank reconciliation accounts imbalance L/L Quarterly Feb-24 reports produced by Scribe YES 24 Internal audit failure to audit thoroughly L/L Annually Feb-24 letter of engagement listing requirements YES 25 Review of internal audit failure to audit thoroughly L/L Annually Feb-24 appointed by audit commission YES 26 External audit failure to adhere to LGA regs M/M Annually Feb-24 register updated as changes occur YES 28 Asset register updated loss of accurate asset list L/L Annually Feb-24 register updated as changes occur YES 29 Back up of computer records loss of data/historical records L/H Daily ongoing data backed up external drive & memory stick YES | 15 Banking arrangements | failure of institution | L/H | Annually | Feb-24 | banking undertaken with HSBC | YES |
| 18 Clerk salary review failure to pay correctly L/L Annually Feb-24 SLCC/NALC/LRALC issue salary scales YES 19 Cllrs allowance review & agreed failure to pay correctly L/L Annually Feb-24 SLCC/NALC/LRALC issue NLC scales YES 20 Budget approved inadequate funds to manage L/M Annually Feb-24 Precept meeting held every January YES 21 Precept not submitted inadequate funds to manage L/M Annually Feb-24 written request from district council YES 22 Budget monitoring overspend/underspend L/M Quarterly Feb-24 reports produced by Scribe YES 23 Bank reconciliation accounts imbalance L/L Quarterly Feb-24 reports produced by Scribe YES 24 Internal audit failure to audit thoroughly L/L Annually Feb-24 letter of engagement listing requirements YES 25 Review of internal audit failure to audit thoroughly L/L Annually Feb-24 council reviews internal auditor reports YES 26 External audit failure to adhere to LGA regs M/M Annually Feb-24 written regulations exist from council YES 27 Financial regulations review failure to adhere to LGA regs M/M Annually Feb-24 register updated as changes occur YES 28 Asset register updated loss of data/historical records L/H Daily ongoing data backed up external drive & memory stick YES | 16 Insurance providers | failure of institution | L/H | Annually | Feb-24 | insured via WPS | YES |
| 19 Cllrs allowance review & agreed failure to pay correctly L/L Annually Feb-24 SLCC/NALC/LRALC issue NLC scales YES 20 Budget approved inadequate funds to manage L/M Annually Feb-24 Precept meeting held every January YES 21 Precept not submitted inadequate funds to manage L/M Annually Feb-24 written request from district council YES 22 Budget monitoring overspend/underspend L/M Quarterly Feb-24 reports produced by Scribe YES 23 Bank reconciliation accounts imbalance L/L Quarterly Feb-24 reports produced by Scribe YES 24 Internal audit failure to audit thoroughly L/L Annually Feb-24 letter of engagement listing requirements YES 25 Review of internal audit failure to audit thoroughly L/L Annually Feb-24 council reviews internal auditor reports YES 26 External audit failure to adhere to LGA regs M/M Annually Feb-24 written regulations exist from council YES 27 Financial regulations review failure to adhere to LGA regs M/M Annually Feb-24 register updated as changes occur YES 28 Asset register updated loss of data/historical records L/H Daily ongoing data backed up external drive & memory stick YES | 17 Vat return not submitted | loss of revenue | L/L | Annually | Feb-24 | reports produced by Scribe | YES |
| 20 Budget approved inadequate funds to manage L/M Annually Feb-24 Precept meeting held every January YES 21 Precept not submitted inadequate funds to manage L/M Annually Feb-24 written request from district council YES 22 Budget monitoring overspend/underspend L/M Quarterly Feb-24 reports produced by Scribe YES 23 Bank reconciliation accounts imbalance L/L Quarterly Feb-24 reports produced by Scribe YES 24 Internal audit failure to audit thoroughly L/L Annually Feb-24 letter of engagement listing requirements YES 25 Review of internal audit failure to audit thoroughly L/L Annually Feb-24 council reviews internal auditor reports YES 26 External audit failure to audit thoroughly L/L Annually Feb-24 appointed by audit commission YES 27 Financial regulations review failure to adhere to LGA regs M/M Annually Feb-24 written regulations exist from council YES 28 Asset register updated loss of accurate asset list L/L Annually Feb-24 register updated as changes occur YES 29 Back up of computer records loss of data/historical records L/H Daily ongoing data backed up external drive & memory stick YES | 18 Clerk salary review | failure to pay correctly | L/L | Annually | Feb-24 | SLCC/NALC/LRALC issue salary scales | YES |
| 21 Precept not submitted inadequate funds to manage L/M Annually Feb-24 written request from district council YES 22 Budget monitoring overspend/underspend L/M Quarterly Feb-24 reports produced by Scribe YES 23 Bank reconciliation accounts imbalance L/L Quarterly Feb-24 reports produced by Scribe YES 24 Internal audit failure to audit thoroughly L/L Annually Feb-24 letter of engagement listing requirements YES 25 Review of internal audit failure to audit thoroughly L/L Annually Feb-24 council reviews internal auditor reports YES 26 External audit failure to audit thoroughly L/L Annually Feb-24 appointed by audit commission YES 27 Financial regulations review failure to adhere to LGA regs M/M Annually Feb-24 written regulations exist from council YES 28 Asset register updated loss of accurate asset list L/L Annually Feb-24 register updated as changes occur YES 29 Back up of computer records loss of data/historical records L/H Daily ongoing data backed up external drive & memory stick YES | 19 Cllrs allowance review & agreed | failure to pay correctly | L/L | Annually | Feb-24 | SLCC/NALC/LRALC issue NLC scales | YES |
| 22 Budget monitoring overspend/underspend L/M Quarterly Feb-24 reports produced by Scribe YES 23 Bank reconciliation accounts imbalance L/L Quarterly Feb-24 reports produced by Scribe YES 24 Internal audit failure to audit thoroughly L/L Annually Feb-24 letter of engagement listing requirements YES 25 Review of internal audit failure to audit thoroughly L/L Annually Feb-24 council reviews internal auditor reports YES 26 External audit failure to audit thoroughly L/L Annually Feb-24 appointed by audit commission YES 27 Financial regulations review failure to adhere to LGA regs M/M Annually Feb-24 written regulations exist from council YES 28 Asset register updated loss of accurate asset list L/L Annually Feb-24 register updated as changes occur YES 29 Back up of computer records loss of data/historical records L/H Daily ongoing data backed up external drive & memory stick YES | 20 Budget approved | inadequate funds to manage | L/M | Annually | Feb-24 | Precept meeting held every January | YES |
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| 24 Internal audit failure to audit thoroughly L/L Annually Feb-24 letter of engagement listing requirements YES 25 Review of internal audit failure to audit thoroughly L/L Annually Feb-24 council reviews internal auditor reports YES 26 External audit failure to audit thoroughly L/L Annually Feb-24 appointed by audit commission YES 27 Financial regulations review failure to adhere to LGA regs M/M Annually Feb-24 written regulations exist from council YES 28 Asset register updated loss of accurate asset list L/L Annually Feb-24 register updated as changes occur YES 29 Back up of computer records loss of data/historical records L/H Daily ongoing data backed up external drive & memory stick YES | 22 Budget monitoring | overspend/underspend | L/M | Quarterly | Feb-24 | reports produced by Scribe | YES |
| 25 Review of internal audit failure to audit thoroughly L/L Annually Feb-24 council reviews internal auditor reports YES 26 External audit failure to audit thoroughly L/L Annually Feb-24 appointed by audit commission YES 27 Financial regulations review failure to adhere to LGA regs M/M Annually Feb-24 written regulations exist from council YES 28 Asset register updated loss of accurate asset list L/L Annually Feb-24 register updated as changes occur YES 29 Back up of computer records loss of data/historical records L/H Daily ongoing data backed up external drive & memory stick YES | 23 Bank reconciliation | accounts imbalance | L/L | Quarterly | Feb-24 | reports produced by Scribe | YES |
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| 28 Asset register updated loss of accurate asset list L/L Annually Feb-24 register updated as changes occur YES 29 Back up of computer records loss of data/historical records L/H Daily ongoing data backed up external drive & memory stick YES | 26 External audit | failure to audit thoroughly | L/L | Annually | Feb-24 | appointed by audit commission | YES |
| 29 Back up of computer records loss of data/historical records L/H Daily ongoing data backed up external drive & memory stick YES | 27 Financial regulations review | failure to adhere to LGA regs | M/M | Annually | Feb-24 | written regulations exist from council | YES |
| | 28 Asset register updated | loss of accurate asset list | L/L | Annually | Feb-24 | register updated as changes occur | YES |
| | 29 Back up of computer records | loss of data/historical records | L/H | Daily | ongoing | data backed up external drive & memory stick | YES |
| 30 Back up scribe 2010 accounts loss of accounts L/M Daily ongoing data backed up external drive & memory stick YES | 30 Back up scribe 2010 accounts | loss of accounts | L/M | Daily | ongoing | data backed up external drive & memory stick | YES |
| 31 Contracts of employment reviewed lack of clearly defined role L/L Annually Feb-24 written contract of work exists for clerk YES | 31 Contracts of employment reviewed | lack of clearly defined role | L/L | Annually | Feb-24 | written contract of work exists for clerk | YES |
| 32 Contracts of work failure to complete duties L/M Ongoing ongoing written contracts signed YES | 32 Contracts of work | failure to complete duties | L/M | Ongoing | ongoing | written contracts signed | YES |
| 33 Contractors indemnity insurance cost of damage to AWTC L/M Ongoing ongoing Copies held in office YES | 33 Contractors indemnity insurance | cost of damage to AWTC | L/M | Ongoing | ongoing | Copies held in office | YES |

RISK ASSESSMENT POLICY ASHBY WOULDS TOWN COUNCIL

| 34 Contracts for ground maintenance | failure to complete duties | L/M | Annually | Feb-24 | contract reviewed annually | YES |
|-------------------------------------|----------------------------|-----|----------|---------|-----------------------------------|-----|
| 35 Code of conduct adopted | failure to abide by code | L/L | Ongoing | ongoing | new code adopted April 2023 | YES |
| 36 Register of interests completed | failure to abide by code | L/L | Ongoing | ongoing | register updated as changes occur | YES |
| 37 Register of gifts/hospitality | failure to abide by code | L/L | Ongoing | ongoing | register updated as changes occur | YES |
| 38 Declaration of interests minuted | failure to abide by code | L/L | Ongoing | ongoing | Minuted as they occur | YES |