

Swaffham Town Council**FINANCIAL RISK ASSESSMENTS****Richard Bishop (Town Clerk)****CONTENTS**

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F002	SWAFFHAM TOWN COUNCIL Financial Risk Assessment	
Risk Description	Service interruption due to long term absence of the Town Clerk and Responsible Finance Officer (RFO); the Deputy Town Clerk, Office Administrator and Receptionist/Clerical Assistant.	MEDIUM
Location	Town Hall, Swaffham	
Staff Involved	The Town Clerk, Deputy Town Clerk, Office Administrator and Receptionist/Clerical Assistant.	
Control Measures:		
Internal	<p>The Deputy Town Clerk (part-time 32 hours) trained to undertake wide range of financial and administrative tasks. To accept full responsibility in the absence of the Town Clerk (full-time 42 hours) with regards to signing documents as the Proper Officer, preparation of PAYE records and any financial reports for the Council.</p> <p>The Office Administrator (full-time 37 hours) trained to undertake wide range of financial and administrative tasks in support to the Deputy Town Clerk & Town Clerk.</p> <p>If the Town Clerk (and either the Deputy Town Clerk, Office Administrator or Receptionist/Clerical Assistant) is on sick leave for a period of more than three weeks, the Personnel Committee will be called to assess the administrative void and act accordingly.</p>	
External	<p>Locum panel of experienced Parish & Town Clerks provided by Society of Local Council Clerks able to assist during any emergency.</p> <p>Use of Temporary Administration Staff to replace the number of administrative hours lost, also to supplement differential in hours of Town Clerk and Deputy Town Clerk.</p>	
Internal	<p>Use of Councillors on a voluntary basis can give a scaled down service on Reception, in support to the three Senior Staff to allow them to keep working on their tasks, rather than the need to cover Reception.</p>	
Reviewed by	Town Clerk	
Date	April 2019	

F003	SWAFFHAM TOWN COUNCIL Financial Risk Assessment	
Risk Description	Service interruption due to long term absence of any member of staff (other than the Town Clerk, Deputy Town Clerk, Office Administrator and Receptionist/Clerical Assistant covered in FRA 2). MEDIUM	
Location	Town Hall & various locations in Swaffham	
Staff Involved	(6) in total - Works Manager, (3) Groundstaff, Market Officer, Project Support Officer .	
Control Measures:		
Internal	<p>The Senior Management Team (Town Clerk, Deputy Town Clerk, Office Administrator & Works Manager) are trained to undertake wide range of financial and administrative tasks in support to the Town Council. To interchange and work share as part of an administrative management team.</p> <p>Outside and manual staff, in carrying out their variety of duties are trained to work independently and as a team, to interchange and work share in order to prevent a break in service delivery, they are led by the Works Manager.</p> <p>If any member of staff is on sick leave for a period of more than three weeks, the Personnel Committee will be called to assess the situation and act accordingly.</p>	
External	<p>Temporary un-skilled labour or outside contractors could be used to supplement some tasks in the event of sudden illness or long-term absence.</p> <p>Use of Temporary Staff or Contractors can be considered, in particular covering for the cleaning of the public toilets or grass cutting/grounds maintenance.</p>	
Reviewed by	Town Clerk	
Date	April 2019	

F004	SWAFFHAM TOWN COUNCIL Financial Risk Assessment	
Risk Description	Authorisation and control of supply of goods and services to the Council.	LOW
Location	Recreation Ground, Town Hall, various Allotment sites, Cemetery or Churchyard, Northwell Pool Embankment, Public Toilets, Merryweather Play area, Oaklands Play area, Orford Road Playing Field , Campinglands, Town Centre Swaffham	
Staff Involved	Town Clerk and Deputy Town Clerk	
Control Measures:		
Internal	<p>The supply of all goods and services are regulated by the Council's Financial Standing Orders; and Controlled by the Town Clerk, (or Deputy Town Clerk in his absence or as delegated).</p> <p>Where necessary goods supplied against fixed offer price or written quotation and supported by written purchase order. Duplicate order book held by the Town Clerk. Goods received, checked by the Office Administrator and certified by the Deputy Town Clerk. Payments approved by the Council against a schedule prepared by the Deputy Town Clerk and certified by the Town Clerk.</p> <p>Petty Cash expenditure is recorded in the Petty Cash account maintained by the Deputy Town Clerk on a monthly spreadsheet. Entered into the RBS accounting system by the Deputy Town Clerk and certified by the Town Clerk in quarterly reports to the Town Council at a Full Council Finance meeting. Copies circulated to all members of the Council.</p> <p>Internal audit checking sample payment to ensure compliance with Financial Regulations and that all payments are supported by vouchers, expenditure is approved and VAT is properly accounted for.</p> <p>External Audit (as appropriate) and annual publication of accounts and availability of financial records for public inspection for 15 working days prior to audit.</p>	
External	Revenue and Customs VAT inspection every 3 to 5 years.	
Reviewed by	Town Clerk	
Date	April 2019	

F005	SWAFFHAM TOWN COUNCIL Financial Risk Assessment	
Risk Description	Banking and Investment Arrangements and Controls	MEDIUM
Location	Town Hall, Swaffham	
Staff Involved	Town Clerk, Deputy Town Clerk, Office Administrator and Receptionist/Clerical Assistant	
Control Measures:	<p data-bbox="225 703 325 734">Internal</p> <p data-bbox="421 689 1326 757">All banking arrangements and changes to banking services approved by the Council and recorded in the minutes.</p> <p data-bbox="421 792 1321 927">Bank accounts are operated under the control of the Town Clerk including transfers from or to the General Current Account. Drawing down from the Current account has two members signing cheques with the Town Clerk (or Deputy), and initialling vouchers.</p> <p data-bbox="421 963 1286 1061">Investment of cash balances and earmarked funds are in deposit accounts. Sample check on fund movements, balance levels and commission charges carried out by internal auditor.</p> <p data-bbox="421 1097 1331 1196">Reconciliation of all bank accounts carried out monthly by Deputy Town Clerk, signed and dated. All bank reconciliation's countersigned and dated by Town Clerk.</p> <p data-bbox="421 1232 1331 1361">All money collected is entered on cash sheet, including casual Market rents collected by Market Superintendent and banked weekly, unless level of cash exceeds £2,000 at which point banking takes place immediately.</p> <p data-bbox="421 1397 1321 1464">Banking of money – variations of staff, days and times will be used in order not to have a noticeable routine.</p> <p data-bbox="225 1621 325 1653">External</p> <p data-bbox="421 1500 1337 1635">Council's bankers Unity Trust Bank (Barclays Bank are currently being phased out) instructed to comply with mandate at all times. All changes in banking instructions, mandates etc. to be in writing, or e-mail, or fax with hard copy kept permanently on file.</p>	
Reviewed by	Town Clerk	
Date	April 2019	

F006	SWAFFHAM TOWN COUNCIL Financial Risk Assessment	
Risk Description	Loss or interruption of agency or contractor services provided or administered on behalf of Breckland Council. N/A	LOW
Location	Town Hall, Swaffham	
Staff Involved	Town Clerk, Deputy Town Clerk, Office Administrator, Receptionist/Clerical Assistant, Works Manager, and Groundsman	
Control Measures:		
Internal	Multi-skilling and work sharing among all administrative staff ensures continuation of service provision in the event of sudden illness or long-term absence. Insurance cover for public liability, business interruption and appropriate risk cover in place. Breckland Council staff or contractors available to assist in the event of an emergency.	
External		
Reviewed by	Town Clerk	
Date	April 2019	

F007	SWAFFHAM TOWN COUNCIL Financial Risk Assessment
Risk Description	Loss, Theft or Damage of Sports or other related equipment for community use and subsequent Casual Hire of Recreation Ground. LOW
Location	Recreation Ground, Haspalls Road
Staff Involved	Outside Staff (4) Administrative Staff (2)
Control Measures:	
Internal	<p>Recreation Ground store (previous public toilets) fitted with good standard lock, keys limited to two outside staff and one at the Town Hall situated in the main office key cabinet.</p> <p>Storage facilities are checked regularly (normally on a daily basis) by the Works Manager or Ground Maintenance Team</p> <p>Winter usage currently as a gritting store for the Gritting volunteers.</p>
External	<p>Casual hire of Recreation Ground is very limited, usually to a travelling fair and a circus on an annual basis. Hiring agreements will be issued with each booking taking account of the conditions that apply to the Premises Licence for the Recreation Ground.</p> <p>Invoicing is from the Town Hall office, payment received at the Town Hall reception either by cheque or cash recorded on the day of receipt. Local community groups are not normally charged.</p>
Reviewed by	Town Clerk
Date	April 2019

F008	SWAFFHAM TOWN COUNCIL Financial Risk Assessment
RISK DESCRIPTION	Loss or damage by fire, wind, weather or vandalism of council buildings, street furniture or other fixed assets. MEDIUM
Location	Various sites, Swaffham
Staff Involved	All administrative and outside staff.
Control Measures:	
Internal	<p>All buildings and property accessed each week-day. Cemetery supervised during working hours; vehicles prevented from accessing during weekdays out of working hours in the winter months. Recreation Ground + play areas at Merryweather Road and the Oaklands with open spaces and Camping Land randomly supervised during grounds maintenance by contractors and by outside staff.</p> <p>Town Hall fitted with security alarm with list of key holders supplied to Police. The security alarm is linked with the Museum who are situated in the other half of the Town Hall. CCTV system trained on reception area, the Cley Road entrance, the corridor leading to London Street and the Council Chamber.</p> <p>Hire of the Council Chamber and office space rented in the Town Hall, regulated by hire agreements signed in advance.</p>
External	<p>Buildings and contents insured for loss, destruction or unauthorised entry resulting in theft or damage of contents and all buildings and contents adjusted annually. The contents include the Museum artefacts which are owned by the Town Council.</p> <p>Open spaces and buildings covered by public liability insurance reviewed annually.</p>
Reviewed by	Town Clerk
Date	April 2019

F009	SWAFFHAM TOWN COUNCIL Financial Risk Assessment
Risk Description	Adverse weather conditions affecting the Saturday Market, bad debts and cash in transit. LOW
Location	Town Hall & various locations in Swaffham
Staff Involved	All administrative staff + Market Officer
Control Measures:	<p>Internal</p> <p>Extreme weather conditions are assessed by the Town Clerk / Deputy Clerk at the latest possible opportunity and cancellations are very rare in advance of Market Day, thus minimising any potential loss of income to the Council.</p> <p>Market Officer to use discretion (on the day) to accommodate Market Traders in order to minimise any potential loss of income to the Council.</p> <p>Licensed traders are given a reminder after one month, after two months all Market Traders licence is suspended and the Market Superintendent will be collecting a specified amount on a weekly basis to reduce arrears. If one week is missed a final warning is issued. If a second week is missed 28 days notice to quit is automatically served on the trader and the debt is placed into the Small Claims County Court.</p> <p>External</p> <p>All cash collected is placed in the cash till at the main desk in the Town Hall reception and locked away until banking occurs. CCTV camera is trained on the reception desk. All monies including cash from the Market are banked on a weekly basis unless the amount reaches £2,000 at which point banking occurs immediately. Administrative staff to carry out the banking at different times of the day.</p> <p>National and Local weather forecasts issued by the media can assist the management of the Market, an assessment could be made in advance of extreme adverse weather conditions i.e. snow.</p> <p>Insurance policy covers cash in transit to a value of £2,500. Small Claims County Court recovery service will ensure that debts are paid in full.</p>
Reviewed by	Town Clerk
Date	April 2019