



RISK REGISTER TEMPLATE

Likelihood	4 Almost Certain				
	3 Probable				
	2 Possible				
	1 Hardly Ever				
		1 Negligible	2 Minor	3 Major	4 Critical
		Impact			

RISK REGISTER: Revenues and Benefits Shared Service

VERSION: New Template @ 1st November 2017

REVIEWED:
 Original version produced: 4th March 2011
 Updated: 26th March 2012
 Updated: 18th June 2012
 Updated: 7th October 2013
 Updated: 2nd December 2014
 Updated: 1st July 2015
 Updated: 27th June 2016
 Updated: 12th October 2016
 Updated: 28th July 2017
 Updated 1st November 2017

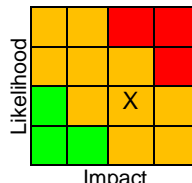
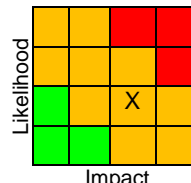
OWNER: Head of Shared Revenues and Benefits

The matrix below, helps you define where the risk is by scoring it on a basis of 'Likelihood' and 'Impact':

4 Almost certain	Retain	Transfer Modify Retain	Avoid Transfer Modify	Avoid Transfer Modify	Description of occurrence	Occurs several times per year. It will happen.
3 Probable	Retain	Prioritise for Modifying Retain	Transfer Modify Retain	Avoid Transfer Modify		It has happened before and could happen again.
2 Possible	Retain	Prioritise for Modifying Retain	Prioritise for Modifying Retain	Transfer Modify Retain		It may happen but it would be unusual.
1 Hardly ever	Retain	Retain	Retain	Prioritise for Modifying Retain		Never heard of it occurring. We can't imagine it occurring.
	1 Negligible	2 Minor	3 Major	4 Critical		

Impact	Service Delivery	Delay	Finance	Reputation	People
Critical	Very significant	>1month	>£1m	National media story	Loss of life
Major	Significant	1week - 1month	£500k - £1m.	Local media story	Serious Injuries
Minor	Major	1day - 1week	£100k - £500k	Limited Local publicity	Minor injuries
Negligible	Minor	<1day	<£100k	Little/No publicity	-

Those “green” risks that have been on the risk register for 6 months or more can now be classed as “business as usual” risk and therefore be removed from the register

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2018	Assurance - Status (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
RB1	Performance (e.g. revenues collection, benefits processing times, benefits accuracy) does not meet targets	Martin Walmsley (HoSR B)	Creative and aware	<ul style="list-style-type: none"> Effective performance management in place – monthly spreadsheet Daily monitoring of outstanding Benefits work Performance standing Agenda item at monthly RBMT meetings Proactive responses to changes in national 	<ul style="list-style-type: none"> Continuing challenge of lean processes and procedures with a draft timetable being put together – end March 2017 with full implementation by December 2017. Range of channel shift initiatives ongoing such as e-billing, online Council Tax DD forms and other 			Substantial	N/A

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				<ul style="list-style-type: none"> and local policy Benefits outstanding workload action plan implemented E-forms in place and being further progressed to assist Revenues Team Enhanced self-serve Housing Benefit application form implemented 	<ul style="list-style-type: none"> related e-forms – monthly updates through RBMT meetings Review of Business Rates DR Policies for COLC and NKDC in progress – aim to implement wef 1.4.18 2018/19 Council Tax Support Schemes COLC & NKDC – to be approved by 31.1.18 Review of Exceptional Hardship Funds COLC & NKDC – to be approved by 31.1.18 				
RB2	Financial savings targets not met	Martin Walmsley (HoSR B)	Creative and aware	<ul style="list-style-type: none"> Monthly budget monitoring meetings between Head of Shared Revenues & Benefits, and Finance Quarterly Financial Monitoring reports to Revenues and Benefits Joint Committee Head of Shared Revenues and Benefits proactively and reactively notifies Finance of any changes to central government funding Bids being made to secure additional funding – e.g. RBI Review of budget/grants takes place each year 	<ul style="list-style-type: none"> Consideration of DWP and DCLG grants 2018/19, once available (approx. Dec 2017-Jan 2018) 			Substantial	N/A

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RB3	Housing Benefit subsidy claims qualified	Martin Walmsley (HoSR B)	Cautious	<ul style="list-style-type: none"> Review of quality control procedures Resilience by more officers being involved, trained and becoming more experienced in subsidy regime Monthly monitoring by performance spreadsheet and RBMT meetings Dedicated FTC Subsidy Lead officer currently in post Revised Quality Control Policy implemented and being monitored 	<ul style="list-style-type: none"> Monthly reviews via RBMT of success of revised Quality Control arrangements 			Substantial <i>(although due to subsidy audit criteria, once qualified it is extremely difficult to receive an unqualified claim in future years)</i>	Improving
RB4	Implications from national Universal Credit rollout	Martin Walmsley (HoSR B)	Creative and aware	<ul style="list-style-type: none"> Successful Universal Support Delivered Locally trial completed August 2015 Partnership delivery arrangements in place with DWP Working with COL and NK Housing Teams and other partners as appropriate to put effective procedures in place Dedicated FTC Welfare Reform Lead officer in place “UCAN” brand and communications plan in place Detailed action plan being implemented and monitored 	<ul style="list-style-type: none"> Agreement of UC partnership delivery arrangements and funding with DWP from 2018/19 – Target end January 2018 Review of UCAN communications plan – Target end December 2017 Monthly (possibly more frequent) reviews of UC detailed action plan - November 2017 onwards 			Substantial	Improving

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RB5	Preparation for and implementation of fully retained NNDR scheme by 2020 – working with colleagues from Finance, Planning etc	Martin Walmsley (HoSR B)	Open and aware	<ul style="list-style-type: none"> Regular and proactive liaison with Finance, Planning, Regeneration and Economic Development Use of Analyse Local software to determine potential RV changes Accurate NNDR return forecasting and completion Keeping abreast of proposals and legislation (once announced) Project in place (originally part-funded through Lincolnshire Counter Fraud Partnership) to identify NNDR 'avoidance' and further Rateable Value – currently in place to 31.3.18 	<ul style="list-style-type: none"> Further understanding of impacts of potential early 'pilot' – Dec 2017-Feb 2018 			Substantial	Improving
RB6	Ensure compliance with data protection governance arrangements within revenues and benefits shared service	Martin Walmsley (HoSR B)	Cautious	<ul style="list-style-type: none"> Clear, detailed and up to date Information Governance policies and procedures are in place at City of Lincoln Council From the data collection forms reviewed both electronically and manually, privacy notices were present Data Protection briefing sessions are being rolled out across 	<ul style="list-style-type: none"> Monthly review of DP governance arrangements through RBMT 			Limited/Substantial – further improvements required	Improving

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				Current/Already in Place	Required Mitigation (inc timescales)				
				<p>the teams</p> <ul style="list-style-type: none"> • Personal data is securely disposed of through the Council's confidential waste provider • Implementation of agreed actions from audit 					