

Risk Register Template

Likelihood	4 Almost Certain				
	3 Probable		2, T4	4	
	2 Possible		1	3	
	1 Hardly Ever				
		1 Negligible	2 Minor	3 Major	4 Critical
		Impact			

RISK REGISTER: Revenues and Benefits Shared Service

VERSION: New Template @ 9th November 2018

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

Updated 8th November 2018

OWNER: Head of Shared Revenues and Benefits

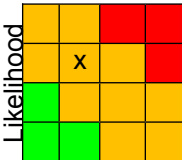
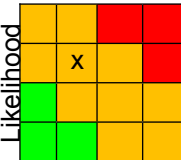
The matrix below, helps you define where the risk is by scoring it on a basis of 'Likelihood' and 'Impact'

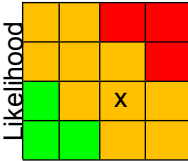
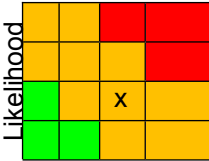
Likelihood	4 Almost certain	Retain	Transfer Modify Retain	Avoid Transfer Modify	Avoid Transfer Modify	Description of occurrence	Occurs several times per year. It will happen.
	3 Probable	Retain	Prioritise for Modifying Retain	Transfer Modify Retain	Avoid Transfer Modify		It has happened before and could 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.

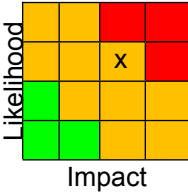
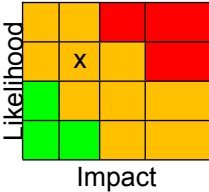
Impact	Service Delivery	Finance	Reputation	People
Critical (4)	Prolonged interruption to service	Severe costs incurred	Adverse national coverage with significant change in stakeholder confidence	Fatality, disability or serious long term health problem
Major (3)	Key targets missed- some service compromised	Significant costs incurred	Adverse local media coverage with moderate change in stakeholder confidence	Series injuries. Exposure to dangerous conditions
Minor (2)	Management action required to over short – term difficulties	Some costs incurred (handled within management budgets)	Adverse local media for 1-7 days	Minor injuries or discomfort. Feeling unease
Negligible (1)	Handled within day to day routines	Little loss anticipated	No significant comment or media coverage	No injury

1 Negligible	2 Minor	3 Major	4 Critical
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Risk No:	Risk Description	Risk Owner	Risk Appetite (How much risk are we prepared to take and the total impact of the risk we are prepared to accept)	Current Controls/Actions	Current Risk Score	Target Risk Score at end of April 2019	Assurance -Status (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)																																
1	Failure to maintain performance / current levels of Council Tax and Business Rates Collection on behalf of the Shared Service	Head of Shared Revenue s and Benefits	<u>Creative & Aware</u> Finance & Money	Controls in place: <ul style="list-style-type: none"> Performance is monitored and managed on a regular basis Regular reporting into Revenues and Benefits Management Team, Revenue and Benefits Operational Board, Joint Committee 	<table border="1"> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>X</td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> </table> Impact										X							<table border="1"> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>X</td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> </table> Impact										X							Substantial	N/A
	X																																							
	X																																							

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				<ul style="list-style-type: none"> Effective management of daily workflow Range of customer experience initiatives ongoing such as e-billing, online Council Tax DD forms and other integrated e-forms. Discretionary Rate Relief Policy approved January 2018 Council Tax Support Scheme approved January 2018 Exceptional Hardship Fund increased to £20,000, approved January 2018. <p>Further action required:</p> <ul style="list-style-type: none"> Business Rates Growth Policy to be approved May 2018. Continuing challenge of working practices and moving resources to areas of demand. Agency support to be sourced for 'peak demand' periods (Feb-Apr) 				
2	Failure to provide timely and accurate assessment of Housing Benefit, Council Tax Support and Discretionary Housing payment applications on behalf of the Shared Service	Head of Shared Revenue s and Benefits	<p><u>Creative & Aware</u></p> <p>Reputation & Public Confidence</p> <p>Finance & Money</p>	<p>Controls in place:</p> <ul style="list-style-type: none"> Daily management of workload through Document Management System Processes in place to deal with claims 'on demand' wherever possible Rolling review of subsidy data from Northgate System Management of incoming work and processes to minimize value of 			Limited	N/A

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				<p>overpayments raised Training and mentoring of staff Review of subsidy-quality assurance processes - reviewed More targeted and efficient quality control mechanisms, improving accuracy levels and rolling training plan to address any training requirement. Performance and quality assurance framework in place</p> <p>Further action required: Continued monitoring of resource allocation, (particularly to ADS and PBS) and consideration of recruitment to seconded roles – June 2018 DWP Consultancy support engaged for Housing Overpayments – May 2018</p>				
3.	Failure to ensure compliance with data protection governance arrangements within revenues and benefits shared service.	Head of Shared Revenues and Benefits	<u>Cautious</u> Regulatory Standing & Legal Compliance	<p>Controls in place:</p> <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 rolled out across the teams • Personal data is securely disposed of through the Council's confidential waste 			Substantial	Improving

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				<p>provider</p> <ul style="list-style-type: none"> Implementation of agreed actions from recent audit Transfer of bulk postage to Critiqom has significantly reduced manual input and risk of human error. Significantly reduced number of data protection breaches in that area Substantial work carried out to comply with the GDPR which came into force in May 2018 <p>Further actions required:</p> <ul style="list-style-type: none"> Continue the current review of contracts for personal data Implementing and reviewing process for retaining and disposing of documents in systems Data protection sessions carried out across the teams and the e-learning package and low risk data protection training rolled out 				
4.	Failure to respond to national Welfare Reform and Universal Credit agenda	Head of Shared Revenue s and Benefits	Opportunity People/Finance	<p>Controls in place:</p> <p>Permanent Lead Welfare Reform Officer on the establishment Welfare Reform Strategy in place and approved in April 2015 (monitored by Revs and Bens Joint Committee) Effective partnerships with public and third sector bodies Co-location with DWP</p>			Substantial	Improving

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				UC Support team in place Effective comms in all welfare reform changes Further controls required: Consider future arrangements of contractual and funding for UC support				