

5th February 2020 Revenues and Benefits Joint Committee
 Appendix 2: Revenues and Benefits Shared Service Business Plan 2020/21 – Risk Register



Risk Register Template

Likelihood	4 Almost Certain				
	3 Probable		2, T2, T4		4
	2 Possible		1, T1	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

Updated 3rd December 2018

Updated 2nd May 2019

Updated 31st October 2019

Updated 10th January 2020

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’

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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 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 2020/21	Assurance -Status (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)

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1	Failure to maintain performance / current levels of Council Tax and Business Rates Collection on behalf of the Shared Service	Head of Shared Revenues and Benefits	<u>Creative & Aware</u> Finance & Money	<p>Controls in place:</p> <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 - 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. - Council Tax Support Schemes approved January 2019 <p>Further action required:</p> <ul style="list-style-type: none"> - Continuing challenge of working practices and moving resources to areas of demand. - Continue to review of staffing arrangements and 'pressure points' in advance of and throughout 2020/21 - Working with Finance colleagues, to ensure effective arrangements are in place for Business Rates retention (from 2021?) - Review Council Tax Support 			Substantial	Range of indicators, but in the main performance is either improving or being maintained

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				Scheme 2020/21 and options for 2021/22 - Review of Exceptional Hardship Fund 2020/21 and options for 2021/22				
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 Revenues and Benefits	<u>Creative & Aware</u> Reputation & Public Confidence Finance & Money	Controls in place: <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 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 HB New Claims process review project plan scoped and implemented Q1 2019/20 			Substantial	Range of indicators, but in the main performance is either improving or being maintained

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				Further action required: <ul style="list-style-type: none"> Continued monitoring of resource allocation – e.g. HB /CTS, Universal Support and other Benefits-related projects Maintaining improvements in HB Overpayments processes and collection taking into account resources required Ongoing weekly/monthly monitoring of New Claims and Change of Circumstances process improvements and positive impacts on KPIs 				
3.	Failure to respond to national Welfare Reform and Universal Credit agenda	Head of Shared Revenues and Benefits	Opportunity People/Finance	Controls in place: <ul style="list-style-type: none"> 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 UC Support team in place Effective comms in all welfare reform changes UC support arrangements 			Substantial	Improving

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				<p>working in conjunction with Citizens Advice Help to Claim arrangements in place from 1.4.19</p> <p>Further controls required:</p> <ul style="list-style-type: none"> • Quarterly updates to RB Joint Committee • Consider future arrangements for UC support and how this may be delivered, pending central government announcement in respect of 2020/21 • Review of Sleaford-based UC support arrangements to take place in advance of 2020/21 				