

**24th November 2022 Revenues and Benefits Joint Committee
Appendix 2: Revenues and Benefits Shared Service Business Plan 2023/24– Risk Register**



Risk Register Template

Likelihood	4 Almost Certain				
	3 Probable		1, 2, T3	3	
	2 Possible		T1, T2	T3	
	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 12th November 2020
 Updated 19th July 2021
 Updated 5th November 2021
 Updated 2nd November 2022

OWNER: Assistant Director – Shared Revenues and Benefits

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

24th November 2022 Revenues and Benefits Joint Committee
Appendix 2: Revenues and Benefits Shared Service Business Plan 2023/24– Risk Register

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.

1 Negligible	2 Minor	3 Major	4 Critical
-------------------------	--------------------	--------------------	-----------------------

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

24th November 2022 Revenues and Benefits Joint Committee
Appendix 2: Revenues and Benefits Shared Service Business Plan 2023/24– Risk Register

		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 2023/24	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	Assistant Director – Shared Revenues and Benefits	<u>Creative & Aware</u> Finance & Money	<p>Controls in place:</p> <ul style="list-style-type: none"> Performance targets/measures reviewed in advance of 2023/24, to take account of Covid-19 impacts Performance is monitored and managed on a regular basis Impacts of cost of living challenges proactively analysed and responded to accordingly 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, other integrated e-forms and new NEC self-serve modules (being implemented in second-half of 2022/23) Council Tax Support Schemes to be considered/approved January 2023 <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' 			Substantial	Range of indicators, but in the main performance is either improving or being maintained

24th November 2022 Revenues and Benefits Joint Committee
Appendix 2: Revenues and Benefits Shared Service Business Plan 2023/24– Risk Register

				<p>in advance of and throughout 2023/24</p> <ul style="list-style-type: none"> Review Council Tax Support Scheme 2022/23 and options for 2023/24 Review of Exceptional Hardship Fund 2022/23 and options for 2023/24 				
2	<p>Failure to provide timely and accurate assessment of Housing Benefit, Council Tax Support and Discretionary Housing payment applications on behalf of the Shared Service</p>	<p>Assistant Director – Shared Revenues and Benefits</p>	<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 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 <p>Further action required:</p> <ul style="list-style-type: none"> Continued monitoring of resource allocation – e.g. HB /CTS, Universal Support and other Benefits-related 			<p>Substantial</p>	<p>Range of indicators, but in the main performance is either improving or being maintained</p>

24th November 2022 Revenues and Benefits Joint Committee
Appendix 2: Revenues and Benefits Shared Service Business Plan 2023/24– Risk Register

				projects, to also take account of cost of living challenges impacts				
3	Failure to respond to government initiatives to mitigate impact of covid/cost of living	Assistant Director – Shared Revenues and Benefits	Opportunity People/Finance	<p>Controls in place:</p> <p>Customers:</p> <ul style="list-style-type: none"> ○ ‘Get in touch, not in debt’ message promoted ○ Staffing resources (re)-allocated to areas of demand ○ Welfare Reform support and Welfare Benefits/Advice functions in place ○ Channels of customer access regular reviewed and changes implemented – e.g. e-forms, self-serve modules <ul style="list-style-type: none"> ● Lead role in Lincolnshire Financial Inclusion Partnership (FIP), and various Cost of living groups – internal and external ● Effective partnerships with public and third sector bodies ● Effective communications regarding cost of living support matters ● Regular liaison with Department for Work and Pensions and Citizens Advice re UC support arrangements <p>Further controls required: Embedding cost of living support throughout Councils through effective communications and distribution of support tools and advice</p>			Substantial	Improving

24th November 2022 Revenues and Benefits Joint Committee
Appendix 2: Revenues and Benefits Shared Service Business Plan 2023/24– Risk Register