



Corporate Services Directorate Operational Risk Register

Theme/aim	Risk description	Likelihood	Impact	Risk Treatment	Mitigating action	Responsible officer
Protect and support the most vulnerable including those affected by financial challenges	On-going Welfare Reform and the impact of Universal Credit (UC). Potential impact on the Directorate's resources.	Medium	Medium	Treat the risk	The impact of welfare reform to-date has been dealt with and revised systems and processes have been put in place. The impact to date of UC itself has been insignificant for Revenues. The Government has informed the Council that it plans to fully implement UC in South Derbyshire from November 2018. This could have a greater impact. Central Government funding has been set-aside in an earmarked reserve. This is being kept under review.	Revenues and Customer Services Manager
Maintain financial health	A small discrete unit has responsibility for leading on this theme. The Unit is sensitive to a temporary change in resources.	Low	Medium	Treat the risk	The Unit is currently fully resourced in accordance with the approved budget. Training and sharing knowledge across the Unit is essential to mitigate the risk and this is currently in place. The current structure of Financial Services was implemented in September 2015. All posts are occupied by suitably experienced and qualified people. Three trainee posts in place with post holders undergoing formal training programmes, both academically and practically. Training and development programme in place for all staff.	Financial Services Manager

Growth and Regeneration	Potential impact on the Directorate's resources	Medium	Medium	Treat the risk	Following a period of increased demand the revised structure and resources in the Land Charges Unit has stabilised service provision, although the statutory turnaround time of 20 days continues to be tight. Volumes and external requirements imposed through legislation being kept under review.	Corporate Asset Manager
Fraudulent activity and compliance	With the transfer of the Council's fraud team to the DWP in 2015/16, there is a potential that fraud could go undetected and compliance is not consistently applied across all services	Low	Medium	Treat the risk	The Council works in partnership with other Derbyshire authorities who share a software package that enables data matching in Council Tax and Business Rates. In addition, a Partnership arrangement with Derby City Council was implemented in January 2017, following the appointment of a new and dedicated Fraud Unit at the City. The Council buys in the equivalent of one post to help detect fraud in other areas across the Council, allowing knowledge and skills to be shared. The success of this Partnership is measured in the Corporate Plan.	Revenues and Customer Services Manager
Change in service delivery	The ending of the contract with Northgate Public Services in February 2017 could potentially lead to some temporary disruption and shortfall in resources. ICT is considered a particular risk area.	Medium	Medium	Treat the risk	Additional resources were approved for ICT following the transfer and these are being utilised, including the use of external support, together with the appointment of permanent and temporary staff. A new post of ICT and Business Change Manager was filled in January 2018. A new IT and Digital Strategy, together with a three year phased work programme, were approved by the Council in October 2017.	Strategic Director Corporate Resources