



# 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. Potential impact on the Directorate's resources.	High	Medium	Treat the risk	This risk is currently evident. However, Central Government funding is being used to improve systems and processes. Staff being trained and kept informed. Work commenced to help claimants access Benefits, including the provision of community points. Will be kept under review pending the introduction of further phases of Universal Credit.	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	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 now 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.	Director of Finance and Corporate Services

Growth and Regeneration	Potential impact on the Directorate's resources	High	Medium	Treat the risk	In particular, this risk is currently evident in the Land Charges Unit with a steady increase in requests for personal searches and additional information required for conveyances. This is increasing turnaround times. In 2015, the Council approved additional resources and support is provided from within the Property Services Unit and the Corporate Administration team. Due to additional requirements of the Land Registry, together with a change in computer software, the Committee approved changes to job roles in December 2016 and this has been implemented.	Corporate Asset Manager
Fraudulent activity and compliance	With the transfer of the Council's fraud team to the DWP, there is a potential that fraud could go undetected and compliance is not consistently applied across all services	Low	Medium	Treat the risk	The Directorate is currently well-placed in mitigating this risk. Resources have been maintained to deal with corporate fraud and compliance. Although an appointment into a vacant post has been unsuccessful, the Council has worked in partnership with other Derbyshire authorities following the award of grant funding to detect and prevent fraud across the District. In addition, a Partnership arrangement with Derby City Council and the Audit Partnership was implemented on January 3 2017, following the appointment of a new and dedicated Fraud Unit.	Director of Finance and Corporate Services

Change in service delivery	<p>The ending of the partnership with NPS will see the transfer of services back to the Council. There is a potential for some temporary disruption and shortfall in resources. ICT is considered a particular risk area. In addition, the transfer may also cause uncertainty amongst affected staff.</p>	Medium	Medium	Treat the risk	<p>As reported to the Finance and Management Committee on December 1 2016, the transfer date was brought forward to February 1 2017. Progress on transition and ICT was reported to the Committee on January 12. No major issues arose in the transfer and in the final transfer and the final outcome was reported to the Committee in March 2017.</p>	Director of Finance and Corporate Services
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