

CORPORATE RESOURCES RISK REGISTER (AS AT Q4 2019/20)

Appendix C

Risk	Rating and Current Position	Risk Treatment	Mitigating Actions	Change since last quarter
<p>1 Universal Credit (UC) – the implementation of UC could have an impact on resources in Benefits and Customer Services.</p> <p>Housing Benefit is administered by the Council on behalf of the DWP and is one of the six benefits being rolled up into UC.</p>	<p>UC is being rolled out on a phased basis for working age claimants. During 2019/20, this has started to have a much bigger impact with claims for HB reducing by over 30%. However, the overall volume of work has broadly stayed the same as changes in UC are impacting on the Council's Council Tax Reduction Scheme (CTRS).</p> <p>More recently, the impact of Covid-19 has increased claims under the CTRS.</p>	<p>Treat the risk through continuous action and review.</p>	<ul style="list-style-type: none"> Greater automation is currently being progressed to process change of circumstances. The Local Council Tax Reduction Scheme is being redesigned to make it easier to understand and administer. Proposals for a new scheme, in principle, will be presented to the Finance and Management Committee in June 2020. Where spare capacity arises, off-site support, which is used to deal with peaks in workload, will be transferred in-house to utilise spare capacity. When future vacancies arise, these will be reviewed in the light of the longer-term position 	<p>No change to rating or treatment.</p>
<p>2 Fraudulent activities – the possibility of fraud being undetected.</p>	<p>National studies show fraud leads to a significant loss of resources within the Public Sector as a whole. The likelihood is considered high because fraud has been detected and prevented locally.</p>	<p>Treat the risk through continuous action and review.</p>	<p>Public agencies such as the DWP and HMRC increasingly share data with local authorities on a real time basis. This allows compliance checks to take place to spot and eliminate the potential for fraud and error in a timely manner.</p> <p>The Council works in partnership with another Derbyshire authority to share a software package that enables data matching in Council Tax and Business Rates.</p> <p>Single Person Discount checks on Council Tax are also regularly undertaken.</p>	<p>No change to rating or treatment.</p>

			<p>In addition, the Council has a Shared Service Arrangement with Derby City Council which delivers a dedicated Fraud Unit. This Unit is resourced to prevent and detect fraud across all services, including raising awareness amongst Council Officers.</p> <p>The Fraud Unit have an annual work programme which is considered and approved by the Audit Sub-Committee. Outcomes are also reported to the Audit Committee.</p>	
<p>3 The Directorate is responsible for providing a procurement service. Given the specialised and regulatory nature, there is a risk of not having resources to enable good quality advice and support for Services.</p>	<p>The Council does not have its own procurement department but currently has access to support and advice, so the likelihood is considered low.</p>	<p>Treat the risk through continuous action and review</p>	<p>The Council is part of a Shared Service Arrangement with other Derbyshire Agencies. The Service commenced in January 2018 for an initial three year period and operates under a Service Level Agreement.</p>	<p>No change to rating or treatment.</p>
<p>4 Data Quality and Performance Management</p>	<p>Quality of Performance Data</p>	<p>Treat the risk through continuous action and review</p>	<p>This risk is linked to the Strategic Risk Register as part “<i>Technology and Data</i>” – keeping pace with developments together with the management and security of data.</p> <p>Following the Data Quality and Performance Management audit undertaken in September 2019 four recommendations have been actioned. Deadlines for the remaining three actions have been agreed with internal audit to align them with similar projects which are due to be delivered during 2020.</p>	<p>No change to rating or treatment</p>

CORPORATE RESOURCES OPERATIONAL RISK MATRIX (AS AT Q4 2019/20)

Likelihood					
4 High		Universal Credit (1) Fraudulent Activity (2)			
3 Medium		Performance Data (4)			
2 Low		Procurement (3)			
1 Unlikely					
		1 Minor	2 Moderate	3 Significant	4 Catastrophic
		Impact			

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| 1 Universal Credit | The implementation of Universal Credit could have an impact on resources in Benefits and Customer Services |
| 2 Fraudulent Activity | The possibility of fraud being undetected in Revenues, Benefits and Housing, etc |
| 3 Procurement. | The possibility of having limited access to good quality support and advice |
| 4 Data Quality & Performance | Quality of Performance Data |