



# Corporate Services 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 claimant's access benefits, including the provision of community points.   | Client 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 |

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|------------------------------------|--|--------|--------|----------------|--|--|
| 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. A further review of the situation is currently being undertaken.  | 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 is still ongoing, the Council is working in partnership with other Derbyshire authorities following the award of grant funding to detect and prevent fraud across the area. In addition, discussions are taking place to incorporate this service into the Audit Partnership with a pilot being proposed. Any firm proposals will be reported to the Committee for consideration in due course. | Director of Finance and Corporate Services |
| Change in service delivery         | The ending of the partnership with NPS will see the transfer of services back to the Council on 1 <sup>st</sup> August 2017. There is a potential for some temporary disruption and shortfall in | Medium | Medium | Treat the risk | A plan for the future delivery of ICT was approved by the Committee in April. A service transition plan for all services is being drawn up. This will be monitored by the Operation and Strategic Partnership Boards. NPS will appoint a transition manager to support the Council. The key issues have been identified but will not be progressed until later in 2016 and early   | Director of Finance and Corporate Services |

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|  | resources. ICT is considered a particular risk area. In addition, the transfer may also cause uncertainty amongst affected staff |  |  |  | 2017. In the meantime, the risk will be kept under review. |  |
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