

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	<p>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.</p> <p><i>No change in the status of this risk from that approved.</i></p>	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	<p>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.</p> <p><i>No change in the status of this risk from that approved.</i></p>	Director of Finance and Corporate Services

Growth and Regeneration	Potential impact on the Directorate's resources	High	Medium	Treat the risk	<p>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.</p> <p><i>No change in the status of this risk from that approved.</i></p>	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	<p>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.</p> <p><i>The last point is still under review. Other than that, there is no change in the status of this risk from that approved.</i></p>	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 st August 2017. 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	Medium	Medium	Treat the risk	<p>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 2017. In the meantime, the risk will be kept under review.</p> <p><u>Update as at June 2016</u> <i>An outline transition plan has been approved by the Strategic Partnership Board. In addition, recommendations for the future delivery of ICT are part of a separate report elsewhere on this Agenda.</i></p>	Director of Finance and Corporate Services
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