

Ref.	Risk Title	Risk Description	Consequences	Opportunities	Risk Owner	Risk Manager	Current Controls	Mitigating Actions	Date added	Date Updated	Curr. Score	Tgt Score	Trend
	Business continuity	Loss of key staff due to welfare reform and potential reduction in required resource	Inability to meet statutory requirements and to deliver services according to performance targets	With the expanded partnership we can ensure that skills are more widely held	Head of ARP and Strategic managers	Head of ARP	Staff are encouraged to take IRRV exams and NVQs and internal structures allow for career progression - reasons for staff leaving are being monitored to identify whether this becomes a reason for staff leaving	Transformation programme has identified opportunities for training and staff development - monitoring of reasons for staff leaving shows that it is not currently due to concerns over welfare reform	01/04/14	11/11/2016	C4	C4	Reached target score
	Business continuity	Loss of premises including loss of power/telecoms leading to loss of systems	Difficulty in finding some members of staff access to systems	Shared services mean that we operate from 4 centres and work can be carried out from 6 sites	Strategic Manager (Support)	Strategic Manager (Support)	Systems mirrored at 2 sites enabling work to continue. A number of staff are home enabled and more could be on a short term basis. Workers can be asked to travel to alternative sites.	Review of business continuity plan including test of accessibility of systems from all sites to be completed by end December 2016	01/04/14	11/11/2016	E2	E2	no change
	Transformation Programme and budget efficiencies	Income/efficiencies equal to the reduction in Administration Grant are not achieved	If income is not secured to meet shortfall then reductions in budget will be required through savings which will impact on service provision	Income may exceed projected budget	Strategic Management Team and OIB (Revenues)	Strategic Management Team and OIB (Revenues)	On target to achieve 2017/18 target through income generated by Enforcement work and Fraud and Compliance team	Actions in transformation programme will see savings and income generation achieve savings - progress is monitored by OIB	11/11/2016	11/11/2016	D1	F1	New risk replaces Enforcement Agency risk and Welfare Reform risk
	Income from retained Business rates and Council Tax (Service Delivery Plan item 6)	Income from NDR and Council Tax do not meet budgeted amount	The income available to the Councils is insufficient to meet needs	Income may exceed projected budget	Strategic Manager (Revenues)	Strategic Manager (Revenues)	All Partners have achieved projected income levels for 2015/16 monitoring will continue for 2016/17. Revaluation 2017 and re-basing by DCLG adds risk to 2017/18	The NNDR1 and Taxbase calculations include provision for bad debt and appeals - on target to meet spending requirements this risk increase with Re-val in 2017	01/04/14	11/11/2016	B1	C2	higher risk due to Revaluation and baseline income change
	Localised Council Tax Reduction Scheme (LCTRS) (Service Delivery Plan item 6)	Upon LCTRS review the reduction in help received by LCTRS claimants is reduced to the point where they can not afford to pay	Customers are asked to pay more than they can afford and arrears accrue	Increased income from Council Tax could be achieved	Strategic Manager (Benefits)	Strategic Manager (Benefits)	Current scheme has set payment levels at or below Attachment of Benefit levels which gives realistic opportunity to recover	If scheme reduces awards of LCTRS then funding from County Councils should be sought to fund additional recovery officers	01/04/14	11/11/2016	D3	D3	Reached target score

<p>A partner or partners leave the partnership</p>	<p>A reduction in partners could occur for a number of reasons in the future such as Local Govt reorganisation</p>	<p>Possible loss of key staff and TUPE implications - loss of resilience - also leading to increased cost of service and reduction in VFM</p>	<p>Develop trading opportunities to carry out some functions for other Councils</p>	<p>Head of ARP</p>	<p>Head of ARP</p>	<p>Partnering agreement includes notice period for cessation of partnership. ARPT being developed as trading vehicle</p>	<p>Opportunities for trading to be considered and business cases developed</p>	<p>01/04/14</p>	<p>11/11/2016</p>	<p>E3</p>	<p>E3</p>	<p>Reached target score</p>
<p>Billing and Benefit letter production</p>	<p>External printer does not issue daily or annual bills and letters within legal timescale</p>	<p>Bills may have first instalment date later than 01/04/2017 which could result in loss or delay in collection of Council Tax and Business Rates</p>	<p>The contract will offer significant savings to the Councils</p>	<p>Strategic manager (support)</p>	<p>Strategic manager (support)</p>	<p>2015/16 and 2016/17 annual billing process successful and daily bills and letters designed and active with printers</p>	<p>The process was carried out successfully last year and testing will ensure that all documents are sent with correct information and on time</p>	<p>01/04/14</p>	<p>11/11/2016</p>	<p>E2</p>	<p>E2</p>	<p>Reached target score</p>
<p>Housing benefit subsidy shortfall</p>	<p>Overpayments that are a local authority's fault can be claimed back as income if the value is less than 0.48% of the overall HB expenditure. Extrapolation by External Audit teams can also take Councils over this threshold</p>	<p>If LA error is not kept below this level it can have a significant financial impact on councils</p>	<p>To ensure that processes and procedures are correct and are followed and to ensure that backlogs do not effect LA error and that error is kept to a minimum so that Audit do not have cause to extrapolate subsidy overpayments</p>	<p>Strategic Manager (Benefits)</p>	<p>Strategic Manager (Benefits)</p>	<p>Rigorous procedures and high level of professional training. We have a Quality Assurance team that test accuracy levels and look for and at areas of weakness all councils were kept below LA error levels for audited claims for 2013/14, 2014/15 and 2015/16 due to robust challenge of Audit findings and extensive work to identify drill down to avoid extrapolation having an adverse effect</p>	<p>To continue to use overtime and agency where vacancies mean that there is a risk to subsidy. To continue to apply QA to areas identified in audits and random testing to identify other areas of risk / error</p>	<p>11/12/14</p>	<p>11/11/2016</p>	<p>C3</p>	<p>C3</p>	<p>Reached target score</p>
<p>Universal Credit implementation</p>	<p>Uncertainty over future funding from DWP and CLG from 2016/17. Affect upon customers currently receiving HB and resultant impact on customer teams</p>	<p>From April 16 UC will be rolled out to new claimants but later a managed migration of HB caseload will occur - the impact on customers and social Landlords will be enormous if the migration falters</p>	<p>To continue to work with the DWP and Stakeholders to jointly offer customers assistance in making the transition</p>	<p>Strategic Manager (Benefits)</p>	<p>Strategic Manager (Benefits)</p>	<p>We have entered in to an agreement with DWP to jointly help customers to make the transition and agreed a Universal Support Partnership with them. The initial roll out of digital services has been announced and Lowestoft is an early transferee for new claims</p>	<p>Assess the impact of claims in Lowestoft moving to the DWP - modelling can take place to understand how ARP will be impacted as the timetable for all councils is issued.</p>	<p>11/12/14</p>	<p>11/11/2016</p>	<p>C3</p>	<p>C3</p>	<p>Reached target score</p>

Fraud and Error	Risk of Fraud entering the system if retained fraud team are not kept. LCTRS fraud and Council Tax fraud will not be investigated by the DWP - retained service has to be self funding	If no service is retained by the partnership then Fraud will not be identified in cases.	To submit claims for FERIS funding to resource interventions in cases currently receiving benefit and to retain joint funding from County and Police	Strategic Manager (Benefits)	Strategic Manager (Benefits)	Team retained to investigate LCTRS, Tenancy, Ctax discount/exemptions and NNDR from 1/9/15	County Councils have agreed funding for Fraud team - quarterly reporting to County Councils to demonstrate the impact of the Fraud team.	11/12/14	11/11/2016	C2	C2	Reached target score
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Risk management process and toolkit

Step 3 – Prioritisation using the matrix below

- How likely is this risk?
- How big an impact will this risk have?

Steps 4 and 5 – Mitigation and monitoring

Mitigation	Monitoring
<ul style="list-style-type: none"> • Assess current actions and controls Adequate or more needed. • Within your Service Plans -develop specific SMART actions that will either reduce the likelihood of the risks or minimise the impact. • What should the score be after you have taken action? 	Review the Risk Register with colleagues (for example, as part of your Service Plan) at least quarterly <ul style="list-style-type: none"> • Risks changed? • New risks? • Need to report or escalate risks? • Risks ranking changed?

Definitions

Likelihood		Impact	Example Descriptions
Very High	> 90%	Negligible	Financial impact below £10k, no effect on partnership / service provision or reputation, minor delays to a project, limited physical consequences
High	55% -90%	Marginal	£10k - £200K, service slightly reduced broken bones/illness, objectives of one team not met, minor adverse local media, impact on an external inspection (s)
Significant	15%- 55%	Critical	£200K - £500k, service suspended short term / reduced, loss of life/major illness, service objectives not met, industrial action, adverse national publicity, service taken over temporarily
Low	5% - 15%	Catastrophic	£500k +, partnership / service suspended long term, statutory duties not delivered, major loss of life/large scale major illness, corporate objectives not met, mass staff leaving/unable to attract staff, Remembered for years! Service taken over permanently
Very Low	1% - 5%		
Almost Impossible	0% - 1%		

Likelihood

A	Very High				
B	High				
C	Significant				
D	Low				
E	Very Low				
F	Almost impossible				
		Negligible 4	Marginal 3	Critical 2	Catastrophic 1
		Impact			