

Community and Planning Risk Register 2016-2017

Theme/aim	Risk description	Likelihood	Impact	Risk Treatment	Mitigating action	Responsible officer
Outcomes/ Maintain Financial Health	Reduced Planning Fees (DM1)	Low	High	Treat	Careful attention to forecasts/setting budgets and budget monitoring - Forecast for 2016/17 is continued high levels of income.	Tony Sylvester
Outcomes/ Maintain Financial Health	Judicial review of Planning decisions (DM2)	Low	High	Treat	<p>Weekly case review with all case officers for early identification of high-risk cases, legal opinion sought when necessary.</p> <p>On-going review of new statutory procedures, continued advice from legal when required.</p> <p>New planning officer structure in place 1/7/15 provides better capacity to monitor cases.</p>	Tony Sylvester
Outcomes/ Maintain Financial Health	Maladministration leading to injustice via LGO (DM3/BC4/PP2)	Low	Low	Treat	<p>Some documented process of procedures</p> <p>Training in processes</p> <p>Close monitoring of report recommendations</p>	Tony Sylvester

Outcomes/ Maintain Financial Health	Judicial Review of Building Control Decision (BC1)	Med	Med	Treat	Ongoing review of new statutory procedures, continued advice from counsel when required.	Tony Sylvester
Outcomes/ Maintain Financial Health	Loss of Market share below sustainable level (BC2)	Med	High	Treat	Frequent monitoring of market share, app numbers, fee income. Frequent marketing events /direct mail.	Tony Sylvester
Outcomes/ Maintain Financial Health	Negligence resulting in loss to personal property (BC3/DM4)	Low	High	Treat	Insurance Professional training Maintain sound procedures and act speedily to recover ground when mistakes are made.	Tony Sylvester
Outcomes/ Maintain Financial Health	Failure to collect financial contributions or to enforce the delivery of obligations within Section Agreements (DM5)	High	Very High	Treat	Committee approval to replace Section 106 monitoring software	Helen Frazer
Outcomes/ Maintain Financial Health	Appeal against refusal of major planning applications (DM6)	High	High	Treat	Careful consideration of all major application refusals. Legal opinions where necessary Members training Employ consultants	Tony Sylvester
	High volume of	High	Med	Treat	New planning	Tony

Outcomes/ Maintain Financial Health	planning applications (DM7)				officer structure in place 1/7/15 provides better capacity to monitor cases = optimum use of resources Closely monitor inward investment related applications	Sylvester
Outcomes/ Maintain Financial Health	Loss of knowledge in department relating to specialist IT solutions, GIS and others (DM8)	High	Medium		Specialist GIS knowledge outside of service e.g. specialist knowledge within IT/Corporately	Tony Sylvester
Outcomes/ Maintain Financial Health	Loss of public access to PA on website (DM9)	High	Medium	Treat	Reduce reliance on single contractor Ensure Central IT can administer Seek alternative solution	Tony Sylvester
Place/ Facilitate and deliver a range of integrated and sustainable housing and community infrastructure	Technical and Legal problems/threats leading to delays in the adoption of the Local Plan Documents (PP1)	High	High	Treat	Early liaison with Planning Inspectorate Maintaining an up-to-date evidence base Maintaining cross boundary communication Taking legal advice On-going political engagement in process	Tony Sylvester
Place/Facilitate and deliver a range of integrated and sustainable	Judicial review of any aspect of the Local Plan affecting adoption (PP3)	High	High	Treat	Up-to-date evidence base Continued cross boundary communication	Tony Sylvester

housing and community infrastructure					Obtain legal opinion when required	
People/ Increase levels of participation in sport, health, environmental and physical activities	Reduction of council funding into Sport and Health Service Unable to source external funding to service Reserve fund being depleted for other sources other than the sport and health service delivery. (SP1)	High	High	Treat	Forward Budget Planning over a number of years. Lobby to maintain current funding contribution that the council makes towards the service and for an increased contribution if members want the current levels of service to be maintained. Continually seek external funding options	Hannah Peate
Place/ Support provision of cultural facilities and activities throughout the District	Managing large Capital projects (CS1)	Med	V High	Treat	Ongoing dialogue with funders Support from internal and external specialists re legal and financial issues Financial monitoring/attendance of CPAM meetings	Malcolm Roseburgh
Place/ Support provision of cultural facilities and activities throughout the District	Failure of Contracts e.g. leisure centres (CS2)	Med	High	Treat	Contracts in place or held over. Regular (monthly) contract monitoring meetings for main contracts	Malcolm Roseburgh
Place/ Support provision of cultural	Memorial monuments falling causing injury (CS3)	Low	Med	Treat	Informal checks undertaken and programme of rolling checks	Malcolm Roseburgh

facilities and activities throughout the District					reintroduced	
Outcomes/ Maintain Financial Health	Accidents at Play Areas (CS4)	Med	High	Treat	<p>Inspections carried out by dedicated member of staff.</p> <p>Insurance company inspect annually</p> <p>Park keepers on some sites</p> <p>New play areas are designed to meet current standards. Need to arrange further back-up cover for inspections when Inspector is absent.</p>	Malcolm Roseburgh
Place/ Support provision of cultural facilities and activities throughout the District	Dilapidation of Leisure/Community Facilities (CS5)	Med	High	Treat	Control measure in place: - securing internal and external funding, supporting VCS and parish councils with funding, improving planned preventative maintenance, transferring assets where possible, improved monitoring	Malcolm Roseburgh
Place/ Support provision of cultural facilities and activities throughout the District	Failure of Business Plan for Rosliston Forestry Centre (CS6)	High	High	Treat	<p>Monthly performance meetings</p> <p>Annual Review of Business Plan</p> <p>Development and implementation of new strategy</p> <p>Increase involvement of</p>	Malcolm Roseburgh

					Forestry Commission in business planning	
Place/ Support provision of cultural facilities and activities throughout the District	Urban Core Cemetery Space running out (CS7)	V High	Med	Treat	Continued internal meetings with Planning and Property Services to identify land opportunities	Malcolm Roseburgh
Place/ Support provision of cultural facilities and activities throughout the District	Failing infrastructure at Rosliston Forestry Centre. (CS8)	V High	High	Treat	Complete condition survey Seek estimates for priority work. Alert senior management team Six monthly review of risk	Malcolm Roseburgh
People/Protect and help support the most vulnerable, including those affected by financial challenges	Sustainability of the voluntary sector (CM1)	V High	Med	Treat	Service Development proposal to continue community partnership scheme in future years. Continue partnership working with CVS and rest of VCS	Chris Smith
Place/ Support provision of cultural facilities and activities throughout the District	Failure of Sharpe's Pottery Museum (CM2)	Med	Med	Treat	Councillor representation on board Attendance on board meetings by Officers Support from Community Partnership Officer when required	Chris Smith