

Chief Executive's Risk Register

Theme/aim	Risk description	Likelihood	Impact	Risk Treatment	Mitigating action	Responsible officer
Outcomes/ Delivery of Service	Failure to meet statutory deadlines in relation to the licensing function, unable to process licences, leading to individuals unable to trade, legal issues, complaints	Low	Medium	Treat	<ul style="list-style-type: none"> Processes and procedures are in place to ensure all matters are processed within statutory time-frame Staff trained and aware of Authority's duties Keep under review 	Ardip Kaur
Outcomes/ Delivery of service	Failure to meet statutory deadlines and/or statutory functions during litigation, contractual matters, land sales/purchases, enforcement matters	Low	High	Treat	<ul style="list-style-type: none"> Qualified officers with professional training and experience Processes and procedures are in place to ensure compliance Case management reviews Keep under review 	Ardip Kaur
Outcomes/ Delivery of service	Non-performance of local government	Low	Medium	Treat	<ul style="list-style-type: none"> Compliance with Council's Constitution Processes and procedures in place 	Ardip Kaur

	statutory duties at Committee and Council meetings				<ul style="list-style-type: none"> • Strict adherence to timetable 	
Outcomes/ Delivery of service	Failure to meet statutory deadlines for the canvass and in compiling and publishing the Register	Low	High	Treat	<ul style="list-style-type: none"> • Processes and procedures in place • Experienced officers carry out process • Close Monitoring 	Ardip Kaur
Outcomes/ Delivery of service	Failure to meet statutory responsibilities, denying right of franchise at Election/ Referendum time	Low	High	Treat	<ul style="list-style-type: none"> • Processes and procedures in place • Strict adherence to statutory timetable • Assistance from Electoral Commission available, when needed • Support staff employed to assist • Close monitoring 	Ardip Kaur
Progress/ Work to maximise the employment, training and leisure uses of The National Forest by residents and increase the visitor spend by tourists	Failure of National Forest & Beyond Tourism Partnership leading to an adverse impact on businesses in local visitor economy	Low	Medium	Treat	<ul style="list-style-type: none"> • Proactive engagement in partnership and with individual partners • Commitment of Officer time and resources to partnership activities • Monitoring of projects and performance 	Mike Roylance
Progress/People/ Place	Failure of the South Derbyshire Partnership leading to non-delivery of the community's vision and priorities as set out in the Community Strategy and Action Plan	Low	Medium	Treat	<ul style="list-style-type: none"> • Proactive support for partnership • Commitment of Officer time and resources to Partnership facilitation • Engagement of partners in policy making and project design and delivery 	Mike Roylance
Progress/ Work to attract further inward investment	Downturn in the local economy leading to a loss of jobs, business failures, and a reduction	Medium	High	Treat	<ul style="list-style-type: none"> • Monitoring of economic trends • Economic Development Strategy designed to increase robustness of local economy 	Mike Roylance

	in income to the Council (e.g. Business Rate income; Take-up of commercial properties, etc)				<ul style="list-style-type: none"> • Delivery of economic development activities including provision of South Derbyshire Business Advice Service 	
Progress/ Work to maximise the employment, training and leisure uses of The National Forest by residents and increase the visitor spend by tourists	Failure of Sharpe's Pottery Heritage & Arts Trust, leading to a loss of service to visitors and residents through the Tourist Information Centre	Medium	High	Treat	<ul style="list-style-type: none"> • Officer advice and support available to Trust • Member involvement in Trust Board • Monitoring of services and performance 	Mike Roylance
Outcomes/Delivery of service	Failure to meet statutory deadlines for Gender Pay reporting and Pension Auto enrolment that could result in financial penalties and reputational damage	Low	Medium	Treat	<ul style="list-style-type: none"> • Process and procedures in place to ensure that procedures are in place to meet deadlines. • Development of Resource link to produce Gender Pay report 	David Clamp
Outcomes – maintain a skilled workforce	Employees are not developed and trained to effectively undertake their roles	Low	Low	Treat	<ul style="list-style-type: none"> • Mandatory training programme delivered. • All employees to complete annual Performance Development Review • Provision of adequate and appropriate training interventions 	David Clamp
Outcomes/Delivery of Service	Individual or collective employment disputes that could result in financial penalties of reputational damage	Low	Medium	Treat	<ul style="list-style-type: none"> • Employment legislation and local procedures are followed. • Professional HR advice and support provided to resolve issues • Mandatory training programme for Managers 	David Clamp
Outcomes/Delivery	Failure to maintain	Low	Medium	Treat	<ul style="list-style-type: none"> • Health and Safety Action plan 	David Clamp

of Service	adequate health and safety management arrangements that could result in financial penalties, employee injury or reputational damage.				delivered <ul style="list-style-type: none"> • H&S legislation and local procedures are followed. • Professional H&S advise provided to support managers and employees 	
Outcomes/Delivery of Service	Unable to process employment details due to unavailability of HR/Payroll system	Low	Low	Treat	<ul style="list-style-type: none"> • Continuity arrangements with third party supplier to restore system and/or off site processing • Alternative methods to process data enabling payments to employees 	David Clamp
Outcomes/Maintain a skilled workforce and customer focus	Staff and residents not aware of our vision and values due to lack of Corporate Plan knowledge and understanding	Low	Low	Treat	<ul style="list-style-type: none"> • Inductions for all new staff to highlight the importance of the Plan • Ensure all internal and external comms tie in with our collective vision • Ensure staff are actively involved in service and strategic planning • Strong and consistent branding on publications 	Keith Bull
Outcomes/Achieve proper corporate governance	Ensuring that staff comply with corporate policies and procedures and that they are appropriate to support people in their day-to-day work	Low	Low	Treat	<ul style="list-style-type: none"> • Work with service areas to ensure policies and procedures are up to date and fit for purpose • Consistent corporate approach to be applied • Create and maintain a central record of all policies and procedures 	Keith Bull
Outcomes/Achieve proper corporate governance	Poor quality performance data	Low	Low	Treat	<ul style="list-style-type: none"> • Reviewed quarterly as part of the performance reporting process. • Methodology statements compiled and reviewed • Annual data quality audit undertaken 	Keith Bull
Outcomes/customer	Strong reputation of the	Low	Low	Treat	<ul style="list-style-type: none"> • Proactively convey key messages 	Keith Bull

focus	Council damaged by negative press and social media coverage				<ul style="list-style-type: none"> through a variety of channels • Continue to build close working relationships with press • Develop Social Media Strategy • Monitor accounts to provide good customer service • Review patterns and trends via Comms Dashboard 	
Outcomes/customer focus	Service model does not deliver expected benefits to customers and efficiency savings (including the level of cultural and behavioural change needed to achieve channel shift)	Low	Low	Treat	<ul style="list-style-type: none"> • New website due to be launched in the summer of 2017 • Further functionality to be developed to increase options to self-serve • My South Derbyshire account to allow residents to personalise experiences with the Council • Develop phase II of the website project • Tie in future digital work with new ICT Strategy 	Keith Bull
Outcomes/customer focus	Failure to deliver actions in the Communications, Consultation and Internal Communications strategies	Low	Low	Treat	<ul style="list-style-type: none"> • Monitor performance and report progress in monthly Comms dashboard and annual report to Finance and Management Committee 	Keith Bull