



# 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"> <li>Processes and procedures are in place to ensure all matters are processed within statutory time-frame</li> <li>Staff trained and aware of authority's duties</li> <li>Keep under review</li> </ul>	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"> <li>Qualified officers with professional training and experience</li> <li>Processes and procedures are in place to ensure compliance</li> <li>Case management reviews</li> <li>Keep under review</li> </ul>	Ardip Kaur
Outcomes/Delivery of service	Non-performance of local government statutory duties at Committee and Council meetings	Low	Medium	Treat	<ul style="list-style-type: none"> <li>Compliance with Council's Constitution</li> <li>Processes and procedures in place</li> <li>Strict adherence to timetable</li> </ul>	Ardip Kaur

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"> <li>Processes and procedures in place</li> <li>Experienced officers carry out process</li> <li>Close monitoring</li> </ul>	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"> <li>Processes and procedures in place</li> <li>Strict adherence to statutory timetable</li> <li>Assistance from Electoral Commission available, when needed</li> <li>Support staff employed to assist</li> <li>Close monitoring</li> </ul>	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 and Beyond Tourism Partnership leading to an adverse impact on businesses in local visitor economy	Low	Medium	Treat	<ul style="list-style-type: none"> <li>Proactive engagement in partnership and with individual partners</li> <li>Commitment of officer time and resources to partnership activities</li> <li>Monitoring of projects and performance</li> </ul>	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"> <li>Proactive support for partnership</li> <li>Commitment of officer time and resources to partnership facilitation</li> <li>Engagement of partners in policy making and project design and delivery</li> </ul>	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 in income to the Council (e.g. Business Rate income; Take-up of commercial properties, etc)	Medium	High	Treat	<ul style="list-style-type: none"> <li>Monitoring of economic trends</li> <li>Economic Development Strategy designed to increase robustness of local economy</li> <li>Delivery of economic development activities, including provision of South Derbyshire Business Advice Service</li> </ul>	Mike Roylance
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 and 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"> <li>Officer advice and support available to Trust</li> <li>Member involvement in Trust Board</li> <li>Monitoring of services and performance</li> </ul>	Mike Roylance
Outcomes/Delivery of service	Failure to meet statutory deadlines for Gender Pay reporting, resulting in financial penalties and reputational damage	Low	Medium	Treat	<ul style="list-style-type: none"> <li>Process and procedures in place to ensure that procedures are in place to meet deadlines.</li> <li>Development of Resourcelink to produce Gender Pay report</li> </ul>	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"> <li>Mandatory training programme delivered.</li> <li>All employees to complete annual Performance Development Review</li> <li>Provision of adequate and appropriate training interventions</li> </ul>	David Clamp

Outcomes/Delivery of Service	Failure to maintain adequate health and safety management arrangements that could result in financial penalties, employee injury or reputational damage.	Low	Medium	Treat	<ul style="list-style-type: none"> <li>• Health and Safety Action Plan delivered</li> <li>• Health and Safety legislation and local procedures are followed.</li> <li>• Professional Health and Safety advice provided to support managers and employees</li> </ul>	David Clamp
Outcomes/Maintain a skilled workforce and customer focus	Reputational risk to Council due to lack of knowledge and understanding of Corporate Plan	Low	Low	Treat	<ul style="list-style-type: none"> <li>• Inductions for all new staff to highlight the importance of the Plan</li> <li>• Ensure all internal and external comms tie in with our collective vision</li> <li>• Ensure staff are actively involved in service and strategic planning</li> <li>• Strong and consistent branding on publications</li> </ul>	Keith Bull
Outcomes/Achieve proper corporate governance	Poor quality performance data	Low	Medium	Treat	<ul style="list-style-type: none"> <li>• Reviewed quarterly as part of the performance reporting process.</li> <li>• Methodology statements compiled and reviewed</li> <li>• Annual data quality audit undertaken</li> </ul>	Keith Bull
Outcomes/customer focus	Failure to deliver expected efficiencies and savings through channel shift and digital methods of communication	Low	Low	Treat	<ul style="list-style-type: none"> <li>• New website launched in October 2017</li> <li>• Analytics to consider impact in terms of channel shift</li> <li>• Further functionality to be developed to increase self-serve</li> <li>• Social Media Strategy currently under development</li> </ul>	Keith Bull