

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 statutory duties at Committee and Council meetings	Low	Medium	Treat	<ul style="list-style-type: none"> Compliance with Council's Constitution Processes and procedures in place Strict adherence to 	Ardip Kaur

					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	Low	Medium	Treat	<ul style="list-style-type: none"> Proactive support for partnership Commitment of Officer time and resources to Partnership 	Mike Roylance

	out in the Community Strategy and Action Plan				<ul style="list-style-type: none"> • facilitation • Engagement of partners in policy making and project design and delivery 	
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"> • Monitoring of economic trends • Economic Development Strategy designed to increase robustness of local economy • Delivery of economic development activities including provision of South Derbyshire Business Advice Service 	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 & 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 Resourcelink to produce Gender Pay 	David Clamp

					report	
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 advise and support provided to resolve issues • Mandatory training programme for Managers 	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"> • Health and Safety Action plan delivered • H&S legislation and local procedures are followed. • Professional H&S advise provided to support managers and employees 	David Clamp
Outcomes/Delivery of Service	Unable to process employment details due to unavailability of	Low	Low	Treat	<ul style="list-style-type: none"> • Continuity arrangements with third party supplier to 	David Clamp

	HR/Payroll system				restore system and/or off site processing	
					<ul style="list-style-type: none"> Alternative methods to process data enabling payments to employees 	
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 	Keith Bull

					<ul style="list-style-type: none"> performance reporting process. Methodology statements compiled and reviewed Annual data quality audit undertaken 	
Outcomes/customer focus	Strong reputation of the Council damaged by negative press and social media coverage	Low	Low	Treat	<ul style="list-style-type: none"> Proactively convey key messages 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 	Keith Bull
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 	Keith Bull

					<ul style="list-style-type: none"> • Develop phase II of the website project • Tie in future digital work with new ICT Strategy 	
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