

## Quarter 3, 2022-2023 Chief Executive Risk Register

REF	RISK TITLE & DESCRIPTION	RISK CAUSE	RISK IMPACT	RISK CATEGORY  Strategic, Resource Operational Financial Knowledge management Compliance, Partnership	Current Risk Rating (See table below for guidance)			CONTROLS IN PLACE TO MITIGATE THE RISK	Risk Rating after mitigations (See table below for guidance)			FURTHER ACTION REQUIRED	SUMMARY OF CHANGE SINCE LAST QUARTER	RISK OWNER
					LIKELIHOOD	IMPACT	RISK RATING		LIKELIHOOD	IMPACT	RISK RATING			
CE1	Economic development partnerships	Failure of economic development partnerships	Leading to an adverse impact on businesses and local economy	Partnership	2	2	4	<ul style="list-style-type: none"> <li>Proactive engagement in partnerships and with individual partners.</li> <li>Commitment of officer time and resources to partnership activities.</li> </ul>	1	2	2	<ul style="list-style-type: none"> <li>Monitoring of projects and performance.</li> </ul>	No change in Q3.	Head of Economic Development and Growth
CE2	South Derbyshire Partnership working	Failure of the South Derbyshire Partnership	Leading to non-delivery of the community's vision and priorities set out in the Community Strategy	Partnership / Strategic	2	3	6	<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>	1	3	3	<ul style="list-style-type: none"> <li>Monitoring of projects and performance by Strategic Co-ordinating Group.</li> </ul>	No change in Q3.	Head of Economic Development and Growth
CE3	Transfer of responsibility for visitor information provision from Sharpe's Pottery Heritage and Arts Trust to the Council	Interruption of service delivery whilst transferring services to the Council	Leading to associated risk of service disruption	Operational	2	2	4	<ul style="list-style-type: none"> <li>Commitment of officer time and resources.</li> <li>Transformation Project is underway</li> </ul>	1	2	2	Archive risk - The service has been transferred and continues to operate.	Risk to be archived from the register.	Head of Economic Development and Growth
CE4	Effectively manage the election process and canvassing.	Failure of joined up Council approach	Leading to a failed election process	Strategic	2	2	4	<ul style="list-style-type: none"> <li>Elections Project Team in place and meets as necessary with representatives from all services involved.</li> <li>Arrangements in place for an Election to be called at short notice.</li> <li>Arrangements in place for Referenda/By-Elections to be called.</li> </ul>	1	2	2	<ul style="list-style-type: none"> <li>Monitoring of service delivery under review consistently</li> </ul>	No change in Q3.	Head of Legal and Democratic Services

## Risk Matrix Template

The table below outlines how the impact and likelihood of the risk is scored using the threshold and description as guidance.

<b>Impact</b>	<b>Very High (4)</b>	4	8	12	16	<table border="1"> <tr> <td>12-16</td> <td><b>Significant Risk</b></td> </tr> <tr> <td>6-9</td> <td><b>Medium Risk</b></td> </tr> <tr> <td>1 - 4</td> <td><b>Low Risk</b></td> </tr> </table>	12-16	<b>Significant Risk</b>	6-9	<b>Medium Risk</b>	1 - 4	<b>Low Risk</b>
	12-16	<b>Significant Risk</b>										
	6-9	<b>Medium Risk</b>										
	1 - 4	<b>Low Risk</b>										
<b>High (3)</b>	3	6	9	12								
<b>Medium (2)</b>	2	4	6	8								
<b>Low (1)</b>	1	2	3	4								
		<b>Remote (1)</b>	<b>Possible (2)</b>	<b>Probable (3)</b>	<b>Highly Probable (4)</b>							
		<b>Likelihood</b>										

<b>Impact</b>	<b>Thresholds and Description</b>
1 – Low	Limited impact on service objectives if any, section objectives unlikely to be met, financial loss less than £10,000, no media attention
2 – Medium	Slight delay in achievement of service objectives, minor injuries, financial loss over £50,000, adverse local media attention, breaches of local procedures
3 – High	Significant threat to Council objectives. Non-statutory duties not achieved, permanent injury, financial loss over £100,000, negative national media attention, litigation expected, serious issues raised through inspection, breakdown of confidence of partners.
4 – Very high	Objectives cannot be delivered. Statutory duties not achieved, death, financial loss over £500,000, adverse national media attention, litigation almost certain, prosecutions, breaches of law, inspection highlights inadequate service, Council unable to work with partner organisation
<b>Likelihood</b>	<b>Thresholds and Description</b>
1 – Remote	May occur only in exceptional circumstances (e.g. once in 10 years)
2 – Possible	Unlikely to occur but could at some time (e.g. once in three years)
3 – Probable (in two years)	Fairly likely to occur at some time or under certain circumstances (e.g. once in two years)
4 – Highly probable (in 12 months)	Will probably occur at some time or in most circumstances (e.g. once in 12 months)

## Corporate Risk Matrix

The below table summarises the risk likelihood and impact for risks after controls have been put in place to mitigate the risk.

<b>Impact</b>	<b>Very High (4)</b>				
	<b>High (3)</b>	CE2			
	<b>Medium (2)</b>	CE1, CE3, CE4			
	<b>Low (1)</b>				
		<b>Remote (1)</b>	<b>Possible (2)</b>	<b>Probable (3)</b>	<b>Highly Probable (4)</b>
		<b>Likelihood</b>			

CE1	Economic development partnerships	Failure of economic development partnerships
CE2	South Derbyshire Partnership working	Failure of the South Derbyshire Partnership
CE3	Transfer of responsibility for visitor information provision from Sharpe's Pottery Heritage and Arts Trust to the Council	Interruption of service delivery whilst transferring services to the Council (Quarter three- risk to be archived)
CE4	Effectively manage the election process and canvassing.	Failure of joined up Council approach