

Community and Planning Risk Register 2017-2018

Theme/aim	Risk description	Likelihood	Impact	Risk treatment	Mitigating action	Responsible officer
Outcomes/ Maintain Financial Health	Planning fees – income reduces to below set targets (DM1)	Low	High	Tolerate	Careful attention to forecasts/setting budgets and budget monitoring	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>Ongoing review of new statutory procedures, continued advice from Legal when required.</p> <p>Service review planned for 2017/18</p>	Tony Sylvester
Outcomes/ Maintain Financial Health	Maladministration leading to injustice via LGO (DM3/BC4/PP2)	Very low	Low	Tolerate	<p>Documented process of procedures</p> <p>Process training</p> <p>Close monitoring of report recommendations</p>	Tony Sylvester
Outcomes/ Maintain Financial Health	Judicial Review of Building Control Decision (BC1)	Low	Low	Tolerate	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)	High	High	Transfer risk	Review marketing strategy. Investigate potential outsourcing of activity to a third party.	Tony Sylvester
Outcomes/ Maintain Financial Health	Negligence resulting in loss to personal property (BC3/DM4)	Low	High	Tolerate	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	Implementation of new software and process review 2017/18.	Helen Frazer
Outcomes/ Maintain Financial Health	Poor application performance (DM7)	Medium	High	Treat	New planning officer structure in place, giving better capacity to monitor cases = optimum use of resources Quarterly monitoring of application performance	Tony Sylvester
Outcomes/ Maintain Financial Health	Lack of knowledge in department relating to specialist: IT solutions, Planning (DM8)	Medium	High	Treat	Specialist knowledge outside of service e.g. specialist knowledge within IT/corporately	Tony Sylvester
People/ Increase levels of participation in sport, health,	Reduction of council funding into Sport and Health service. Unable to source external funding to	High	High	Treat	Forward budget planning over a number of years. Lobby to maintain current funding contribution that	Hannah Peate

environmental and physical activities	service reserve fund being depleted for sources other than the sport and health service delivery. (SP1)				the Council makes towards the service and for an increased contribution if Elected Members want the current levels of service to be maintained. Continually seek external funding options	
Place/ Support provision of cultural facilities and activities throughout the District	Managing large capital projects (CS1)	Low	High	Treat	Ongoing dialogue with funders Support from internal and external specialists re legal, technical 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)	Medium	High	Treat	Contracts in place or held over. Regular (monthly) contract monitoring meetings for main contracts Project Officer employed (RFC)	Malcolm Roseburgh
Place/ Support provision of cultural facilities and activities throughout the District	Memorial monuments falling causing injury (CS3)	Low	Medium	Treat	Informal checks undertaken and rolling programme of rolling checks reintroduced	Malcolm Roseburgh
Outcomes/ Maintain Financial Health	Accidents at play areas (CS4)	Low	High	Treat	Inspections carried out by staff. Insurance company inspect annually Park keepers on some sites	Malcolm Roseburgh

Place/ Support provision of cultural facilities and activities throughout the District	Dilapidation of Leisure/Community Facilities (CS5)	Low	Medium	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)	Medium	Medium	Treat	Monthly performance meetings Annual review of business plan Development and implementation of new strategy Increase involvement of Forestry Commission in business planning Contract transition arrangements underway	Malcolm Roseburgh
Place/ Support provision of cultural facilities and activities throughout the District	Urban core cemetery space running out (CS7)	High	Medium	Treat	Continued internal meetings with Planning and Property Services to identify land opportunities	Malcolm Roseburgh
Place/ Support provision of cultural facilities and activities	Failing Infrastructure at Rosliston Forestry Centre. (CS8)	High	High	Treat	Condition survey has identified extent of problem. Responsibility planned to pass to incoming contractor but cost likely to be expressed through value of management sum.	Malcolm Roseburgh

People/Protect and help support the most vulnerable, including those affected by financial challenges	Sustainability of the voluntary sector (CM1)	Very high	Medium	Treat	Service development proposal to continue community partnership scheme in future years. Continue partnership working with CVS.	Chris Smith
Place/Support provision of cultural facilities and activities throughout the District	Failure of Sharpe's Pottery Museum (CM2)	Medium	Medium	Treat	<p>Councillor representation on board</p> <p>Attendance on board meetings by officers</p> <p>Support from Community Partnership Officer when required</p>	Chris Smith