

CHIEF EXECUTIVE'S RISK REGISTER (AS AT SEPTEMBER 30, 2018)

Risk	Rating and Current Position	Risk Treatment	Mitigating Actions	Change since last Quarter
<p>CE1 Failure to meet statutory deadlines in relation to the licensing function, unable to process licences, leading to individuals unable to trade, legal issues, complaints.</p>		<p>Treat the risk through continuous action and review.</p>	<p>Processes and procedures are in place to ensure all matters are processed within statutory time-frame.</p> <p>Staff are trained and aware of authority's duties.</p>	<p>No change to rating or treatment.</p> <p>Note: This risk is now included in the Strategic Risk Register as part of the statute and regulation risks. It will be removed from this risk register from Q3.</p>
<p>CE2 Failure to meet statutory deadlines and/or statutory functions during litigation, contractual matters, land sales/purchases, enforcement matters.</p>		<p>Tolerate the current situation and keep under review.</p>	<ul style="list-style-type: none"> • Qualified officers with professional training and experience • Processes and procedures are in place to ensure compliance <ul style="list-style-type: none"> • Case management reviews 	<p>No change to rating or treatment.</p> <p>Note: This risk is now included in the Strategic Risk Register as part of the statute and regulation risks which can potentially affect all services.</p>
<p>CE3 Non-performance of local government statutory duties at Committee and Council meetings.</p>		<p>Treat the risk through continuous action and review.</p>	<ul style="list-style-type: none"> • Compliance with Council's Constitution • Processes and procedures in place <ul style="list-style-type: none"> • Strict adherence to timetable 	<p>No change to rating or treatment.</p> <p>Note: This risk is now included in the Strategic Risk Register as part of the statute and regulation risks. It will be removed from this risk register from Q3.</p>

<p>CE4 Failure to meet statutory deadlines for the canvass and in compiling and publishing the Register.</p>		<p>Treat the risk through continuous action and review.</p>	<ul style="list-style-type: none"> • Processes and procedures in place • Experienced officers carry out process <ul style="list-style-type: none"> • Close monitoring 	<p>No change to rating or treatment</p> <p>Note: This risk is now included in the Strategic Risk Register as part of the statute and regulation risks. It will be removed from this risk register from Q3.</p>
<p>CE5 Failure to meet statutory responsibilities, denying right of franchise at Election/Referendum time.</p>		<p>Treat the risk through continuous action and review.</p>	<ul style="list-style-type: none"> • Processes and procedures in place • Strict adherence to statutory timetable • Assistance from Electoral Commission available, when needed <ul style="list-style-type: none"> • Support staff employed to assist • Close monitoring 	<p>No change to rating or treatment.</p> <p>Note: This risk is now included in the Strategic Risk Register as part of the statute and regulation risks. It will be removed from this risk register from Q3.</p>
<p>CE6 Failure of tourism partnerships leading to an adverse impact on businesses in visitor economy.</p>	<p>Likelihood is unlikely and impact is moderate.</p>	<p>Tolerate the current situation and keep under review.</p>	<ul style="list-style-type: none"> • Proactive engagement in partnerships and with individual partners • Commitment of officer time and resources to partnership activities • Monitoring of projects and performance 	<p>No change to rating or treatment.</p>
<p>CE7 Failure of the South Derbyshire Partnership, leading to non-delivery of the community's vision and priorities set out in the Community Strategy</p>	<p>Likelihood is unlikely and impact is moderate.</p>	<p>Treat the risk through continuous action and review.</p>	<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 	<p>No change to rating or treatment.</p>

<p>CE8 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).</p>	<p></p>	<p>Treat the risk through continuous action and review.</p>	<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 	<p>No change to rating or treatment.</p> <p>Note: This risk is now included in the Strategic Risk Register as part of economic risks. It will be removed from this risk register from Q3.</p>
<p>CE9 Failure of Sharpe's Pottery Heritage & Arts Trust, leading to a loss of service to visitors and residents through the Tourist Information Centre.</p>	<p>Likelihood is medium and impact is moderate.</p>	<p>Treat the risk through continuous action and review.</p>	<ul style="list-style-type: none"> • Officer advice and support available to Trust <ul style="list-style-type: none"> • Member involvement in Trust Board • Monitoring of services and performance, including Service Level Agreement and Work Programme 	<p>No change to rating or treatment.</p>
<p>CE10 Failure to meet statutory deadlines for Gender Pay reporting, resulting in financial penalties and reputational damage.</p>	<p></p>	<p>Treat the risk through continuous action and review.</p>	<ul style="list-style-type: none"> • Procedures in place to ensure that data is published to deadlines. • Development of Resourcelink to produce Gender Pay report 	<p>No change to rating or treatment</p> <p>Note: This risk is now included in the Strategic Risk Register as part of the statute and regulation risks which can potentially affect all services. It will be removed from this risk register from Q3.</p>

<p>CE11 Employees are not developed and trained to effectively undertake their roles.</p>		<p>Treat the risk through continuous action and review.</p>	<ul style="list-style-type: none"> • Mandatory training programme delivered. • Annual report outlining training completed and priorities for coming year • Provision of adequate and appropriate training interventions 	<p>No change to rating or treatment.</p> <p>Note: This risk is now included in the Strategic Risk Register as part of capacity and resilience risks. It will be removed from this risk register from Q3.</p>
<p>CE12 Failure to maintain adequate health and safety management arrangements that could result in financial penalties, employee injury or reputational damage.</p>		<p>Treat the risk through continuous action and review.</p>	<ul style="list-style-type: none"> • Health and Safety Action Plan delivered • Professional Health and Safety advice provided to support managers and employees • Adequate training provided to employees and managers 	<p>No change to rating or treatment.</p> <p>Note: This risk is now included in the Strategic Risk Register as part of Health and Safety risks. It will be removed from this risk register from Q3.</p>
<p>CE13 Reputational risk to Council due to lack of knowledge and understanding of Corporate Plan.</p>		<p>Treat the risk through continuous action and review.</p>	<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 	<p>No change to rating or treatment.</p> <p>Note: This risk is now included in the Strategic Risk Register as part of capacity and resilience risks. It will be removed from this risk register from Q3.</p>

CE14. Poor quality performance data.	Likelihood is low and impact is moderate.	Treat the risk through continuous action and review.	<ul style="list-style-type: none"> • Reviewed quarterly as part of the performance reporting process. • Methodology statements compiled and continually monitored and updated • Annual data quality audit undertaken. 	No change to rating or treatment.
CE15. Failure to deliver expected efficiencies and savings through channel shift and digital methods of communication.		Treat the risk through continuous action and review.	<ul style="list-style-type: none"> • Enhance transactional capability as part of phase II of the website project • Ongoing analysis of patterns/trends to consider impact of channel shift • Further functionality to be developed to increase self-serve options 	<p>No change to rating or treatment.</p> <p>Note: This risk is now included in the Strategic Risk Register as part of technology risks. It'll be removed from this risk register from Q3.</p>

CHIEF EXECUTIVE'S RISK MATRIX (as at Sept 2018)

Likelihood		Impact			
		1 Minor	2 Moderate	3 Significant	4 Catastrophic
4 High					
3 Medium		CE9 Failure of Sharpe's Pottery Heritage and Arts Trust			
2 Low					
1 Unlikely		CE6 Failure of tourism partnerships CE7 Failure of the South Derbyshire Partnership CE14. Poor quality performance data			

Please note that risk ratings have not been applied to those risks being absorbed by the Strategic Risk Register.

The likelihood and impact of these can be found within the Strategic Risk Register.