

## Community and Planning Risk Register 2016-2017

Theme/aim	Risk description	Likelihood	Impact	Risk Treatment	Mitigating action	Responsible officer
Outcomes/ Maintain Financial Health	Reduced Planning Fees (DM1)	Low	High	Treat	Careful attention to forecasts/setting budgets and budget monitoring - Forecast for 2016/17 is continued high levels of income.	Tony Sylvester
Outcomes/ Maintain Financial Health	Judicial review of Planning decisions (DM2)	Low	High	Treat	Weekly case review with all case officers for early identification of high-risk cases, legal opinion sought when necessary.  On-going review of new statutory procedures, continued advice from legal when required.  New planning officer structure in place 1/7/15 provides better capacity to monitor cases.	Tony Sylvester
Outcomes/ Maintain Financial Health	Maladministration leading to injustice via LGO (DM3/BC4/PP2)	Low	Low	Treat	Some documented process of procedures  Training in processes  Close monitoring of report recommendations	Tony Sylvester

Outcomes/ Maintain Financial Health	Judicial Review of Building Control Decision (BC1)	Med	Med	Treat	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)	Med	High	Treat	Frequent monitoring of market share, app numbers, fee income.  Frequent marketing events /direct mail.	Tony Sylvester
Outcomes/ Maintain Financial Health	Negligence resulting in loss to personal property (BC3/DM4)	Low	High	Treat	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	Committee approval to replace Section 106 monitoring software	Helen Frazer
Outcomes/ Maintain Financial Health	Appeal against refusal of major planning applications (DM6)	High	High	Treat	Careful consideration of all major application refusals.  Legal opinions where necessary  Members training  Employ consultants	Tony Sylvester
Outcomes/ Maintain Financial Health	High volume of planning applications (DM7)	High	Med	Treat	New planning officer structure in place 1/7/15 provides better capacity to monitor cases =	Tony Sylvester

					<p>optimum use of resources</p> <p>Closely monitor inward investment related applications</p>	
Outcomes/ Maintain Financial Health	Loss of knowledge in department relating to specialist IT solutions, GIS and others (DM8)	High	Medium		Specialist GIS knowledge outside of service e.g. specialist knowledge within IT/Corporately	Tony Sylvester
Outcomes/ Maintain Financial Health	Loss of public access to PA on website (DM9)	High	Medium	Treat	<p>Reduce reliance on single contractor</p> <p>Ensure Central IT can administer</p> <p>Seek alternative solution</p>	Tony Sylvester
Place/ Facilitate and deliver a range of integrated and sustainable housing and community infrastructure	Technical and Legal problems/threats leading to delays in the adoption of the Local Plan Documents (PP1)	High	High	Treat	<p>Early liaison with Planning Inspectorate</p> <p>Maintaining an up-to-date evidence base</p> <p>Maintaining cross boundary communication</p> <p>Taking legal advice</p> <p>On-going political engagement in process</p>	Tony Sylvester
Place/Facilitate and deliver a range of integrated and sustainable housing and community infrastructure	Judicial review of any aspect of the Local Plan affecting adoption (PP3)	High	High	Treat	<p>Up-to-date evidence base</p> <p>Continued cross boundary communication</p> <p>Obtain legal opinion when required</p>	Tony Sylvester

<p>People/ Increase levels of participation in sport, health, environmental and physical activities</p>	<p>Reduction of council funding into Sport and Health Service Unable to source external funding to service Reserve fund being depleted for other sources other than the sport and health service delivery. (SP1)</p>	<p>High</p>	<p>High</p>	<p>Treat</p>	<p>Forward Budget Planning over a number of years.</p> <p>Lobby to maintain current funding contribution that the council makes towards the service and for an increased contribution if members want the current levels of service to be maintained.</p> <p>Continually seek external funding options</p>	<p>Hannah Peate</p>
<p>Place/ Support provision of cultural facilities and activities throughout the District</p>	<p>Managing large Capital projects (CS1)</p>	<p>Med</p>	<p>V High</p>	<p>Treat</p>	<p>Ongoing dialogue with funders</p> <p>Support from internal and external specialists re legal and financial issues</p> <p>Financial monitoring/attendance of CPAM meetings</p>	<p>Malcolm Roseburgh</p>
<p>Place/ Support provision of cultural facilities and activities throughout the District</p>	<p>Failure of Contracts e.g. leisure centres (CS2)</p>	<p>Med</p>	<p>High</p>	<p>Treat</p>	<p>Contracts in place or held over.</p> <p>Regular (monthly) contract monitoring meetings for main contracts</p>	<p>Malcolm Roseburgh</p>
<p>Place/ Support provision of cultural facilities and activities throughout the District</p>	<p>Memorial monuments falling causing injury (CS3)</p>	<p>Low</p>	<p>Med</p>	<p>Treat</p>	<p>Informal checks undertaken and programme of rolling checks reintroduced</p>	<p>Malcolm Roseburgh</p>

Outcomes/ Maintain Financial Health	Accidents at Play Areas (CS4)	Med	High	Treat	<p>Inspections carried out by dedicated member of staff.</p> <p>Insurance company inspect annually</p> <p>Park keepers on some sites</p> <p>New play areas are designed to meet current standards. Need to arrange further back-up cover for inspections when Inspector is absent.</p>	Malcolm Roseburgh
Place/ Support provision of cultural facilities and activities throughout the District	Dilapidation of Leisure/Community Facilities (CS5)	Med	High	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)	High	High	Treat	<p>Monthly performance meetings</p> <p>Annual Review of Business Plan</p> <p>Development and implementation of new strategy</p> <p>Increase involvement of Forestry Commission in business planning</p>	Malcolm Roseburgh

Place/ Support provision of cultural facilities and activities throughout the District	Urban Core Cemetery Space running out (CS7)	V High	Med	Treat	Continued internal meetings with Planning and Property Services to identify land opportunities	Malcolm Roseburgh
Place/ Support provision of cultural facilities and activities throughout the District	Failing infrastructure at Rosliston Forestry Centre. (CS8)	V High	High	Treat	Complete condition survey Seek estimates for priority work. Alert senior management team Six monthly review of risk	Malcolm Roseburgh
People/Prote ct and help support the most vulnerable, including those affected by financial challenges	Sustainability of the voluntary sector (CM1)	V High	Med	Treat	Service Development proposal to continue community partnership scheme in future years. Continue partnership working with CVS and rest of VCS	Chris Smith
Place/ Support provision of cultural facilities and activities throughout the District	Failure of Sharpe's Pottery Museum (CM2)	Med	Med	Treat	Councillor representation on board  Attendance on board meetings by Officers  Support from Community Partnership Officer when required	Chris Smith