

Corporate Risks at the End of Quarter 1 of the 2019/20 Year

*D.O.T. (direction of travel)

- ↑ = Increase in risk score compared to previous risk report
- = No change in risk score compared to previous risk report
- ↓ = Reduction in risk score compared to previous risk report
- N = New risk added this Quarter

N.B. A downward direction of travel (D.O.T.) for a risk is good.

Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T
CR 07 Risk of the Council not helping to encourage conditions for new business growth results in the District not benefitting from the LLEP funding	2 - Moderate	3 - Likely	6	CR 07.01 The Council is represented on the LLEP Board through a nominated District Leader representation. The Joint Chief Executive attends the Place Board which reports directly into the LLEP. Two bids were successful in the 2018/19 year, these were: the Town Centres Master plan Project and	2 - Moderate	3 - Likely	6	Amber	-

Appendix A

Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T
				the Grow-on Space Project. The Council has submitted a number of expressions of interest for the Business Rates pooling fund for 2019/20. The Council was successful in securing pilot status for 2019/20 which will retain increased funds within Leicestershire.					
CR 08 Not having a sound Local Plan leads to: risk of challengeable planning decisions being taken relating to planning applications for residential development; risk of planning appeals being upheld relating to residential planning applications; risk of sporadic development	3 - Significant	3 - Likely	9	CR 08.01 Recent adoption of an up-to-date District-wide development plan mitigates the risk of sporadic development and planning decisions that are difficult to defend.	3 - Significant	1 - Very Unlikely	3	Green	↓
CR 12 Lack of a co-ordinated approach to Emergency Planning could result in a failure to effectively respond to the situation	4 - Major	2 - Unlikely	8	CR 12.01 As a member of the Local Resilience Forum (LRF) the Council receives support on responding to emergency situations from a number of partner organisations. Training undertaken by staff is under continual review to ensure compliance with the Local Resilience Forum's guidance	4 - Major	1 - Very Unlikely	4	Green	-

Appendix A

Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T
				<p>and competencies. Severe Weather and Flood Contingency Plans are in place to ensure there is an effective response to any incident. There is a county-wide programme for testing plans which ensures that there is a consistent approach and that plans are tested at appropriate times. The Council is a member of the county-wide emergency planning partnership and this provides 24/7 support from an emergency planning professional. A protocol has been developed, and is in operation, to update Members, at the time of an incident. Emergency Plans have been developed and tested for the high-risk scenarios throughout the District. Joint working arrangements with LCC Highways enable a co-ordinated approach to situations that involve both organisations. Member and Officer training has been provided to ensure their roles are fully understood during an incident. Work with LRF to</p>					

Appendix A

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				ensure Harborough Emergency Planning procedures are robust, clear to Members, and are tested. A CMT Emergency Planning rota is in place. An online training module on Emergency Planning for all staff was launched in Quarter 4 of the 2016/17 year. Corporate Management Team received training in May 2018 regarding management of emergency incidents. An Audit review, conducted in February 2018, made no recommendations. During Quarter 1 of the 2019/20 year, elected members received an emergency plan briefing as part of the Member Induction Programme.					
CR 15 Reduction in public sector funding by all partners leads to service gaps and reduced public sector offer to residents	3 - Significant	3 - Likely	9	CR 15.01 The Council actively engages with partners in shaping future public service provision and to maintain awareness of any further potential reductions (revenue and capital) in funding from all partners. However, the significant changes in Fair Funding and business rate	2 - Moderate	3 - Likely	6	Amber	-

Appendix A

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				changes due in 2020 is leading to a lack of clarity over funding available to partners to support outcomes in the District. The Council partially mitigates this through representation on working groups and the maintenance of contingency and provision budgets to manage the impact of any change in the short-term.					
CR 20 Business Continuity: loss of building(s) / service(s) through unforeseen events	4 - Major	4 - Very Likely	16	CR 20.01 The Business Continuity plans and their dependencies have been updated. A multi-agency disaster recovery test in the Symington Building took place on 25 July 2017 and an action plan was developed which will cover the issues raised. During Quarter 3 of the 2018/19 year, an exercise took place to test the Council's updated Business Continuity Plans. Business Continuity plans were updated during the 2018/19 year and are stored off-site on the Resilience Direct website. A revised ICT disaster recovery solution has been sourced and	4 - Major	2 - Unlikely	8	Amber	-

Appendix A

Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T
				implemented. An initial live failover of core infrastructure technologies has already been tested. A test failover is scheduled to take place in Quarter 2 of the 2019/20 year for the Uni-form and Document Management applications. This will be followed by a test failover of the Express (elections) system. A schedule for testing disaster recovery procedures within service areas is being for devised for completion in Quarters 3 and 4. The Council's ICT disaster recovery arrangements are due to be audited during the 2019/20 year.					
CR 25 The Council does not have sufficient funding to deliver its current services in the medium-term	4 - Major	4 - Very Likely	16	CR 25.01 A robust Medium-term Financial Strategy (MTFS) and appropriate plans are in place to implement the required changes to the Council's operation. This indicates that the Council can deliver a sustainable budget in 2019/20 and anticipates that the Council can balance its budget in the medium-term with limited call on reserves. Levels of reserves	2 - Moderate	2 - Unlikely	4	Green	-

Appendix A

Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T
				are sufficient to manage any unplanned change effectively. The Council's 2019/20 budget was approved in February 2019 and a three-year Capital Programme and Capital Strategy were approved in March 2019. The MTFS will be refreshed in the autumn. The budget (including income and expenditure) is monitored on a quarterly basis and corrective action taken as required.					
CR 27 Risk of reduction of failing to deliver housing in a timely way could lead to reduction in receipts of new homes bonus.	3 - Significant	2 - Unlikely	6	CR 27 The up-to-date adopted District-wide Local Plan contains robust delivery, monitoring and review mechanisms linked to the housing trajectory.	3 - Significant	2 - Unlikely	6	Amber	-
CR 29 Loss of ability to provide a comprehensive service due to cyber security attacks	3 - Significant	2 - Unlikely	6	CR 29.01 The last IT Health Check (ITHC) took place in November 2018 including penetration testing. The next ITHC is due in November 2019. A new firewall system is due to be installed in the early part of Quarter 2 of the 2019/20 year. A review of the Council's Active Directory was undertaken during	2 - Moderate	2 - Unlikely	4	Green	↓

Appendix A

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				<p>Quarter 3 of the 2018/19 year. During Quarter 4, an interdepartmental working group was set up to appraise compliance with Cyber Essentials and ISO, to seek accreditation where relevant. The group attends national workshops which are aimed at cyber resilience, awareness and response. A recent cyber security audit reported that arrangements were 'satisfactory'.</p>					
<p>CR 30 Risk of Loss of Planning decision-making powers on major applications to the Planning Inspectorate due to Special Measures designation as a result of triggering the Appeal threshold for Government Intervention</p>	<p>3 - Significant</p>	<p>4 - Very Likely</p>	<p>12</p>	<p>CR 30.01 The adopted District-wide Local Plan has the effect of reducing the number of planning applications made outside the strategy of the Local Plan. This has the effect of also reducing planning appeals outside of the Local Plan strategy thereby significantly reducing the risk of loss of decision-making powers, special measures and government intervention. The proactive growth team are working closely with applicants for allocated sites in the local plan and ensuring applications</p>	<p>3 - Significant</p>	<p>1 - Very unlikely</p>	<p>3</p>	<p>Green</p>	<p>-</p>

Appendix A

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				are submitted in a timely fashion to enable delivery in accordance with the local plan housing trajectory.					
CR 32 The Council does not meet its budgeted-for Planning fee income targets, particularly in regard to major applications which could have a negative impact on the Council's financial position.	4 - Major	3 - Likely	12	CR 32.01 The proactive growth team works closely with applications for allocated sites in the Local Plan to ensure that applications are submitted in a timely fashion to enable delivery to take place in accordance with the Local Plan housing trajectory and also to ensure that Planning application fee income levels are maintained. The Corporate Management Team monitors planning fee income on a regular basis particularly in regard to fees for major applications and this information is fed into an overview of the Council's financial status.	4 - Major	1 – Very Unlikely	4	Green	-
CR 33 Costs of planning appeals, and legal challenges, exceed budget	4 - Major	2 - Unlikely	8	CR 33.01 Monitoring of budget throughout the year. Ensure that all planning decisions taken by Members and Officers are robust and based on sound planning grounds to minimise the risk of a	4 - Major	2 - Unlikely	8	Amber	↓

Appendix A

Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T
				successful appeal/ challenge. Additional Member training is scheduled to take place during the 2019/20 year. At the end of Quarter 4 of the 2018/19 year, the Council had exceeded its budget for legal fees related to Planning. Training for elected Members, on planning application decision-making, took place on 28 May 2019. At the end of Quarter 1 of the 2019/20 year legal costs related to planning matters were within budget.					
CR 34 The Council fails to meet its information governance and records management obligations under various enactments such as the Data Protection Act 2018 and GDPR. Personal and non-personal data is not processed according to legislative and or policy requirements resulting in reputational damage and potential financial penalty.	4 - Major	3 - Likely	12	CR 34.01 A series of measures have been put in place to ensure that the Council is compliant with the requirements of the Data Protection Act 2018: Appointment of Data Protection Officer (DPO); Mandatory GDPR training for all staff; training and guidance for elected members; all existing policies, procedures and working practices reviewed for compliance; introduction of Information Governance Board (Chaired by SIRO); introduction	2 - Moderate	2 - Unlikely	4	Green	-

Appendix A

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				of Data Protection Impact Assessments (DPIA) and on-going programme of Information management inspections; on-going training and review of systems, working practices and control mechanisms. Internal Audit undertook a six-month review during Quarter 3. GDPR has been added as a standard item to all report templates and Officers trained on this.					
CR 35 Possible vulnerability with the provision of Revenues and Benefits software due to the financial position of the provider and the exit from the existing contracts by other government bodies	4 - Major	1 - Very Unlikely	4	CR 35.01 Awareness maintained of supplier's financial situation and this item is now a quarterly standing item at Revenues and Benefits Management Board Meetings. Regular meetings are held with the software account manager to ensure that we are kept informed of any changes to provision of local government software services (the supplier has a number of local government contracts). We are reviewing the existing contractual arrangements with Capita and specifically the	2 - Moderate	1 - Very Unlikely	2	Green	-

Appendix A

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				Escrow arrangement.					
CR 36 Uncertainty following the United Kingdom's imminent departure from the European Union.	4 - Major	3 - Likely	12	CR 36.01 Continue to monitor information provided by the Local Government Association. Maintain robust business continuity arrangements, including with partners and suppliers. Continue to work with the Leicestershire Resilience Forum (LRF) to coordinate plans and responses to operational or civil eventualities. The Council is represented on County-wide groups which are planning and preparing for potential implications. Two workshops were held in January 2019 to consider the implications for the Council and Members were advised via a Briefing Note in March 2019. Regular updates are made to the LRF and staffing arrangements have been made to cover the EU exit 'no-deal' period. Local businesses have been made aware that support is available. The Council will continue to work with the LRF and participate in the agreed	4 - Major	3 - Likely	12	Red	-

Appendix A

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				reporting process to identify any local emerging issues.					
CR 37 Increase in homeless presentations results in an increased demand in Council support for relief	3 - Significant	4 - Very Likely	12	CR 37.01 Following the introduction of the Homelessness Act 2017, the Council introduced a new Housing and Homelessness Prevention Strategy which highlighted key actions that the Council is taking to meet its statutory responsibilities. As part of this ongoing work, the Council is reviewing future provision of temporary accommodation to meet the needs of homeless residents in the most cost-effective manner.	3 - Significant	3 - Likely	9	Red	N

Corporate Opportunities at the End of Quarter 1 of the 2019/20 Year

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N.B. An upward direction of travel (D.O.T.) for an opportunity is good.

Opportunity	Impact (I)	Likelihood (I)	Score (I)	Action	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T
COR OP 01: Business growth leading to Business Rates retention	3 - Significant	3 - Likely	9	COR OP 01: The Local Plan has identified employment sites and made provision for key sector demand, for example logistics. The Economic Development Team has good relationships with existing industries such as those engaged within the construction/ property sector, LLEP and others to identify inward investment and growth	3 - Significant	3 - Likely	9	Green	-

Opportunity	Impact (I)	Likelihood (I)	Score (I)	Action	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T
				opportunities. Provision of business support and skills agenda to encourage businesses to grow. The Council-owned Grow-on Space is anticipated to be in operation from October 2019. During Quarter 4, the Council launched the 'Invest in Harborough District' website at an event at Bruntingthorpe Proving Ground which was well attended with over 80 guests. The website will provide core information, and demonstrates why the District is in a good location, for any businesses looking to establish themselves in the area. A pilot project for the Leicestershire Business Rates Retention Pool has been approved and detailed submissions for funding are being developed.					
COR OP 02: Acquisition/development of Assets to Generate Income Opportunities	2 - Moderate	3 - Likely	6	COR OP 02 Regarding garage sites: Development at St. Cuthbert's Avenue, Great Glen and Paget Road, Lubenham are complete. A Business Case for Naseby Close, Market	3 - Significant	3 - Likely	9	Green	-

Opportunity	Impact (I)	Likelihood (I)	Score (I)	Action	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T
				<p>Harborough has been approved and a planning application has been submitted. Pre-construction works continue with commencement dependent upon vacant possession of the Waterloo Housing properties. An outline Business Case for De Verdon Road, Lutterworth has been approved. A planning application has been submitted and pre-construction works continue with a view to start on site in January 2020 subject to the full business case being approved. Further housing and commercial development opportunities are being considered. The Cabinet has approved the acquisition of land in Market Harborough for development, subject to Council agreeing the funding in July 2019. The Council' wholly-owned company has acquired the Tesco and B&M units. A Property Investment Strategy has been drafted and has been considered by Scrutiny, with the report to be considered by</p>					

Opportunity	Impact (I)	Likelihood (I)	Score (I)	Action	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T
				Cabinet and Council in September 2019. In April 2019 Cabinet approved the acquisition of an industrial unit in Market Harborough which will generate rental income.					
COR OP 04: Income maximisation/ Cost Reduction	3 - Significant	2 - Unlikely	6	COR OP 04: Regular monitoring takes place alongside a monthly review by the relevant Portfolio Holder. Regular re-profiling of income targets takes place and is informed by current and future activity levels. Regular monitoring by the Corporate Management Team and quarterly reporting to the Executive monitors income trends and action plans. At the end of Quarter 4, several service areas had exceeded their income targets. These included: Street Naming and Numbering, Land Charges, Garden Waste and Lifeline. The Environmental Services team has recently agreed a delegation agreement with Rutland County Council to provide a grounds maintenance service. The costs of running the	3 - Significant	3 - Likely	9	Green	-

Opportunity	Impact (I)	Likelihood (I)	Score (I)	Action	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T
				Council's Building Control service have reduced significantly since the Council became a member of the Leicestershire Building Control Partnership. The Council undertakes an annual review of budgets, including fees and charges, which highlights opportunities for income generation and cost reduction.					
COR OP 05 To work with the other Leicestershire Authorities to explore different structures for delivering Council services for the benefit of residents.	4 - Major	2 - Unlikely	8	COR OP 05 The Leader of the Council has committed to working collaboratively for the potential benefit to the residents of Harborough District. Some preparatory work has been completed to identify the scope of the project. A scope has been agreed between a number of Leicestershire Authorities on further collaboration and work is continuing to commission external support.	4 - Major	2 - Unlikely	8	Amber	-