

## Corporate Risks at the End of Quarter 4 of the 2018/19 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 01 The Council does not meet its income Generation Aspirations and Targets	4 - Major	3 - Likely	12	CR 01.01 Ambitious but realistic income targets were set in the 2018/19 budget. Regular budget reporting to the Corporate Management Team, on a monthly basis, and to Executive and Scrutiny on a quarterly basis. Traded services are monitored as part of the Council's commercial portfolio,	2 - Moderate	2 - Unlikely	4	Green	-

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				including current and future activity levels. The Council has healthy reserves that can help to mitigate any in-year shortfall in income. At the end of the 2018/19 year the Council had met its budgeted levels of income.					
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. Four bids have been submitted into the Business Rates Pooling Fund in 2018 and from these four bids two have been approved. The two bids which have been approved are for the Town Centres Master plan Project and the Grow-on Space Project. The Council is successful in securing pilot status for 2019/20 which will retain increased funds within Leicestershire. Input into redesign of business rates pool allocation methodology and	2 - Moderate	3 - Likely	6	Amber	-

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				evaluation.					
CR 08 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.	3 - Significant	3 - Likely	9	CR 08.01 Ensure an up-to-date, sound local plan is adopted. The Examination hearings were successful and the Inspector complimented the Plan. Some modifications were required and these were published for a six-week public consultation week commencing 14 January 2019. The representations received were sent to the Inspector for review and the Council is awaiting the final report. In addition to progressing the Local Plan, and to ensure that this risk is adequately managed ahead of the Local Plan being adopted, during Quarter 2 the Council achieved a five-year Housing Land Supply. This will be further reinforced once the Local Plan is adopted. Residential planning applications are processed efficiently in order to maintain the five-year Housing Land Supply. Additional training was provided for all Members, during Quarter 2 of the 2018/19 year, on the	3 - Significant	2 - Unlikely	6	Amber	-

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				making of robust Planning decisions. N.B. the mitigation set out above will not have its maximum impact until the adoption of the Local Plan.					
CR 10 Local Plan: lack of a sound Local Plan may lead to sporadic development and the inability to defend appeals.	3 - Significant	4 - Very Likely	12	CR 10.01 Ensure an up-to-date, sound local plan is adopted. The Examination hearings were successful and the Inspector complimented the Plan. Some modifications were required and these were published for a six-week public consultation week commencing 14 January 2019. The representations received were sent to the Inspector for review and the Council is awaiting the final report. In addition to progressing the Local Plan, and to ensure that this risk is adequately managed ahead of the Local Plan being adopted, during Quarter 2 the Council achieved a five-year Housing Land Supply. This will be further reinforced once the Local Plan is adopted. Residential planning applications are processed efficiently in order to maintain the	3 - Significant	2 - Unlikely	6	Amber	-

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				five-year Housing Land Supply. Additional training was provided for all Members, during Quarter 2 of the 2018/19 year, on the making of robust Planning decisions. N.B. the mitigation set out above will not have its maximum impact until the adoption of the Local Plan.					
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 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	4 - Major	1 - Very Unlikely	4	Green	-

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				<p>of the county-wide emergency planning partnership and this provides a 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 enables 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 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</p>					

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				training in July 2017 regarding management of emergency incidents. An Audit review, conducted in February 2018, made no recommendations.					
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 In February 2016 the Council adopted a four-year Medium Term Financial Strategy (MTFS) which provided visibility and provision for savings proposals included in Leicestershire County Council's MTFS. The Council actively engages with partners in shaping future public service provision and being aware of any further potential reductions (revenue and capital) in funding from all partners. However, the significant changes in Fair Funding and business rate 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	2 - Moderate	3 - Likely	6	Amber	-

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				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-sit on the Resilience Direct website.	4 - Major	2 - Unlikely	8	Amber	-
CR 23 Not Balancing Budget for the next financial year	2 - Moderate	2 - Unlikely	4	CR 23.01 The 2018/19 budget is forecasting a surplus. The 2019/20 budget was considered by Scrutiny, the Executive and approved by the Council in February 2019.	2 - Moderate	2 - Unlikely	4	Green	-

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
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 (approved by Council on 22 February 2016). This indicates that the Council can deliver a sustainable budget within the MTFS period. Levels of Reserves are sufficient to manage any 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 is under review and will be updated during the 2019/20 year.	2 - Moderate	2 - Unlikely	4	Green	-
CR 27 Risk of reduction in receipts from New Homes Bonus and increased uncertainty of timely housing delivery as a result of housing development not coming forward.	3 - Significant	2 - Unlikely	6	CR 27.01 Ensure that the Local Plan has a robust delivery, monitoring and review chapter that is linked to the housing trajectory supporting the Plan's Spatial Strategy. The developers have an integral role in ensuring the deliverability of The Plan, both through its preparation and	3 - Significant	2 - Unlikely	6	Amber	-

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				subsequent implementation. The Council is awaiting the Inspector's report on the draft Local Plan. During Quarter 2 a dedicated Strategic Growth Team was established within Development Management to oversee and promote the delivery of Strategic Development. An internal accountability framework has been established within which the team leader will report on progress to senior managers and the Planning Portfolio Holder. The 2019 allocation was within £12,000 (0.48%) of the project housing delivery.					
CR 29 Loss of ability to provide a comprehensive service due to cyber security attacks	4 - Major	3 - Likely	6	CR 29.01 The last ITHC took place in November 2018 including penetration testing. During Quarter 2, a new Firewall system was procured and implemented. A review of the Council's Active Directory was undertaken during Quarter 3 of the 2018/19 year. During Quarter 4, an interdepartmental working group was set up to appraise	3 - Significant	2 - Unlikely	6	Amber	↑

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				compliance with Cyber Essentials and ISO, to seek accreditation where relevant.					
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	3 - Significant	3 - Likely	9	CR 30.01 In November 2016 the Government published a revised national policy related to the quality of decision-making concerning planning applications. Additional training was provided for all Members, during Quarter 2 of the 2018/19 year, on the making of robust Planning decisions. In addition, the Council's Planning Committee is kept informed, via a standard quality-of-decision-making, standard agenda item. The latest available data published by MHCLG indicates that the Council's position for the period 1 April 2016 to 31 March 2018 does not trigger the risk of government intervention. However, the risk remains at Amber (residual score of 6) at the end of Quarter 4 of the 2018/19 year due to the government being yet to announce its approach to future	3 - Significant	1 - Very Unlikely	3	Green	↓

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				monitoring. A Planning Advisory Service (PAS) review was carried out during Quarter 3. The PAS report was received in Quarter 4 and the Planning Committee considered the findings of this and approved an implementation programme relating to the recommendations.					
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 Work closely with developers and seek to enter into a Planning Performance Agreement (PPA) wherever appropriate. During Quarter 3, a second PPA was entered into linked to the delivery of the Scraftoft North Strategic Development Area. This was in addition to the PPA for the Lutterworth East Strategic Development Area agreed in Quarter 2. At the end of the 2018/19 year the Council had met its budgeted-for income from Development Management.	4 - Major	1 - Very Unlikely	4	Green	↓
CR 33 Costs of planning appeals, and legal challenges, exceed	4 - Major	2 - Unlikely	8	CR 33.01 Monitoring of budget throughout the year. Ensure that all planning decisions taken by	3 - Significant	4 - Very Likely	12	Red	↑

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
budget				Members and Officers are robust and based on sound planning grounds to minimise the risk of a successful appeal/ challenge. During Quarter 2, training took place with Members of the Planning Committee on the need to take quality decisions on planning applications and effectively implement government policy. Additional Member training is scheduled to take place in 2019/20. At the end of Quarter 4 the Council had exceeded its budget for legal fees related to Planning.					
CR 34 The Council fails to meet data protection requirements of the Data Protection Act 2018 (UK Implementation of GDPR). Personal data is not processed according to legislative 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	2 - Moderate	2 - Unlikely	4	Green	-

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				(Chaired by SIRO); introduction 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	-

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				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 Partnership 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.	4 - Major	3 - Likely	12	Red	-

## Corporate Opportunities at the End of Quarter 4 of the 2018/19 Year

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

- ↑ = Increase in opportunity score compared to previous Quarter report
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- N = New opportunity added this Quarter

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	-

				opportunities. Provision of business support and skills agenda to encourage businesses to grow. 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.					
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 is complete. Re. Paget Road, Lubenham: construction works have completed and the bungalow is under offer. Despite a boundary dispute in the original scheme, the development will still return a surplus. A Business Case for Naseby Close, Market Harborough has been approved and the pre-construction phase	3 - Significant	3 - Likely	9	Green	-

				<p>is progressing with a planning application due to be submitted in June 2019. In Quarter 3 the Executive approved an outline Business Case for De Verdon Road, Lutterworth with funding to be approved by Council in Quarter 4. Pre-construction works have commenced and a planning application is due to be submitted in June 2019. Further housing and commercial development opportunities are being considered. A Property Investment Strategy has been drafted and is due to be considered for adoption during Quarter 1 of the 2019/20 year. The Council has acquired the Tesco and B&amp;M units through a local authority wholly-owned company. The properties are located adjacent to the Commons Carpark which is already owned by the Council and provides potential long-term development opportunities which is underpinned by a short-term financial return.</p>					
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	3 - Significant	3 - Likely	9	Green	-

				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.					
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	4 - Major	2 - Unlikely	8	Amber	-

				external support.					
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