

Corporate Risks

Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour
CR 01 The Council does not meet its income Generation Aspirations and Targets	4 - Major	3 - Likely	12	CR 21.02 The Council has a series of stretch income targets in the budget for 2015/16 and 2016/17; marketing support was commissioned and revised marketing initiatives commenced; underachievement of income targets in 2015/16 for Lifeline being managed through a project board. All other targets meeting budget targets; Operating Model previously adopted by Council with a clear focus on income generation; income levels are monitored on a monthly basis by the Corporate Management Team (CMT).	2 - Moderate	2 - Unlikely	4	Green
CR 04: Impact on Council's resources of welfare reform changes is not yet known	3 - Significant	4 - Very Likely	12	CR 04.01 Universal Credit is now live in part of the Council's area (Market Harborough Job Centre Plus area). An agreement is in place between HDC and DWP and is being monitored on a monthly basis. Impact on HDC resources for the first two quarters is minimal:	2 - Moderate	3 - Likely	6	Amber

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				during the first two quarters there was only one claimant of Universal credit in Harborough District. Information regarding the government's plans for transfer of staff to deal with Universal Credit is awaited. It is anticipated that this work will be completed by the end of the 2019/20 year.				
CR 05 Significant changes to national financial situation	3 - Significant	4 - Very Likely	12	CR 21.03 Nationwide Public Sector Finances are expected to contract significantly in the period of this parliament. There is a comprehensive spending review due to be announced in the autumn. The risks are managed through the Council's MTFS including the use of reserves to support longer-term planning; external financial consultants and forecasting VFM of services. Due to the potential for significant volatility, uncertainty and scale of future funding reductions the above actions help to manage the risk within the context of a MTFS but do not directly mitigate the impact of any changes and the need for savings and efficiencies. Hence, the residual score remains the same as the inherent score.	3 - Significant	4 - Very Likely	12	Red
CR 07 Risk of the Council not helping to encourage conditions for new business growth results in the District not	2 - Moderate	3 - Likely	6	CR 07.01 CR 07.01 The Council is represented on the LLEP Board. The Leader and Corporate Director -	2 - Moderate	2 - Unlikely	4	Green

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benefitting from the LLEP funding				Community Resources attend the quarterly LLEP Board Meetings; the Council, via work on the Local Plan, endeavours to allocate sufficient employment space for businesses to move to and grow in to; the format of the LLEP grant process has now been finalised by the LLEP Board. A submission to the ESIF funding programme has been made with LCC and the likely confirmation date will be December 2015.				
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 in accordance with established work programmes and budgets that meets the Objectively Assessed Housing needs of the District. Ensure the Local Plan is adopted in accordance with the timescales set out in the up-to-date Harborough Local Development Scheme, March 2015. In addition to progressing the Local Plan, and to ensure that this risk is adequately managed ahead of the Local Plan being adopted, the Council is making every effort to achieve a five-year land supply at the earliest possible date through positively granting planning permissions to support the delivery of housing whenever possible and appropriate.	3 - Significant	2 - Unlikely	6	Amber

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<p>CR 09 Poor management and monitoring of major contracts (leading to loss of service, financial and/or reputational damage)</p>	<p>3 - Significant</p>	<p>3 - Likely</p>	<p>9</p>	<p>CR 21.04 The Council has a series of major contracts (e.g. Environmental Services, Leisure Services) These are all backed-up by the Council's Legal Services Team and managed through the Contracted Services team. Risks are managed through monthly operational meetings with associated KPIs, Contractor Scorecard, Quality, Health and Safety assessment. Strategic Meetings are held with FCC and Harborough District Leisure Trust where delivery is monitored, change discussed, risks assessed. Communication messages are also discussed.</p>	<p>3 - Significant</p>	<p>2 - Unlikely</p>	<p>6</p>	<p>Amber</p>
<p>CR 10 Local Plan Risks: lack of a sound Local Plan may lead to sporadic development and the inability to defend appeals.</p>	<p>3 - Significant</p>	<p>4 - Very Likely</p>	<p>12</p>	<p>CR 10.01 Ensure a 'sound', up-to-date and NPPF-compliant Local Plan is prepared and adopted by the Council in accordance with established work programmes and budgets. Ensure that development is managed and delivered in areas and locations across the District that meet the Spatial Strategy of the Local Plan and ensure that sustainable development objectives are met.</p>	<p>2 - Moderate</p>	<p>2 - Unlikely</p>	<p>4</p>	<p>Green</p>
<p>CR 11 Constitution is limited in its delegations and flexibility and leads to delayed decision-making.</p>	<p>2 - Moderate</p>	<p>3 - Likely</p>	<p>6</p>	<p>CR 11.01 The Monitoring Officer has a duty to review the Constitution on a regular basis to ensure it is up to date with legislative changes and fits the needs of the authority. Transformation 2</p>	<p>2 - Moderate</p>	<p>2 - Unlikely</p>	<p>4</p>	<p>Green</p>

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				recommended a review of the Constitution as a result of LGA Peer Challenge. Planning call-in and delegation to Officers: a programme of work has been approved and is ongoing. Members decided to carry forward the review to 2015/16. Final reports are due to be considered at the next scheduled meeting of the Constitutional review Committee in October 2015 and at an extraordinary meeting to be held in September 2015. A final report with proposed amendments is due to be considered by Council in December 2015.				
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. CR 12.02 Severe Weather and Flood Contingency Plans are in place to ensure there is an effective response to any incident. CR 12.06 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. CR 12.04 The Council is a member of the county-wide emergency planning partnership and this provides a 24/7 support from an	4 - Major	1 - Very Unlikely	4	Green

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				<p>emergency planning professional. CR 12.05 Emergency Plans have been developed and tested for the high-risk scenarios throughout the District. CR 12.03 Joint working arrangements with LCC Highways enables a co-ordinated approach to situations that involve both organisations. CR 12.07 Member and Officer training has been provided to ensure their roles are fully understood during an incident. CR 12.08 Work with LRF to ensure Harborough Emergency Planning procedures are robust, clear to Members, and are tested. CR 12.09 CMT Emergency Planning rota is in place.</p>				
CR 15 Impact of Leicestershire County Council Budget Reductions on Council Services	3 - Significant	3 - Likely	9	<p>CR 21.08 The County Council approved a four-year Medium Term Financial Strategy (MTFS). There is visibility of the savings proposals with the majority of savings (recycling, early years) already built into the Council's MTFS; impact of Summer Budget and Comprehensive Spending Review on LCC budget shared through Section 151 Officer discussions; risks of further reductions mitigated through both councils having published MTFSs and through ongoing working groups and appraisal of new options.</p>	2 - Moderate	3 - Likely	6	Amber
CR 18 Failure to procure an affordable waste and environmental service within	4 - Major	3 - Likely	12	<p>CR 21.07 The Environmental Services Contract was extended to 2022/23 on</p>	2 -	1 - Very	2	Green

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budget and timescale				the 21 September; savings have been identified to address the reduction of funding arising from changes in recycle and materials funding; Green Waste Charging framework and price scheduled for a full Council meeting in November; Officer and Member Environmental Services Project Board scheduled to the end of 2015/16.	Moderate	Unlikely		
CR 20 Business Continuity: loss of building(s) / service(s) through unforeseen events	4 - Major	4 - Very Likely	16	CR 20.02 ICT Disaster Recovery Plan in place CR 20.01 Business Continuity Plan in place. Further work is planned in 2015/16 to test service managers' understanding of their business continuity plans.	2 - Moderate	2 - Unlikely	4	Green
CR 21 Leisure Contract: Business Continuity	2 - Moderate	3 - Likely	6	CR 21.06 Leisure Services are currently provided by SERCO through the Leisure Trust, SERCO is withdrawing from the Leisure Market. Discussions with HDLT indicate Leisure Centres will be transferred to a new provider as a going concern. Contractual Liabilities are being established through a dilapidations survey and discussions with HDLT. In addition, an Officer task group is being set up to review the service need and procurement options regarding the future of Leisure Services post 2019.	2 - Moderate	2 - Unlikely	4	Green

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<p>CR 22 The Council does not meet its service delivery obligations for the Lifeline Service.</p>	<p>4 - Major</p>	<p>3 - Likely</p>	<p>12</p>	<p>CR 22 A Project Board is developing commercialisation of the Lifeline service; Business Continuity arrangements are in place (recently tested); a review of the current working arrangements was undertaken and the service was successfully relocated to different premises. As a result of the review additional resilience was built into the Lifeline team.</p>	<p>3 - Significant</p>	<p>2 - Unlikely</p>	<p>6</p>	<p>Amber</p>
<p>CR 23 Not Balancing Budget</p>	<p>2 - Moderate</p>	<p>2 - Unlikely</p>	<p>4</p>	<p>CR 23 The Section 151 Officer has a legal duty to propose and set a balanced budget; adequate level of Reserves to support the MTFS; development of a revised MTFS for the period to 2019/20.</p>	<p>2 - Moderate</p>	<p>2 - Unlikely</p>	<p>4</p>	<p>Green</p>

Corporate Opportunities

Opportunity	Impact (I)	Likelihood (I)	Score (I)	Action	Impact (R)	Likelihood (R)	Score (R)	Risk Colour
COR OP 01: Business growth leading to Business Rates retention	3 - Significant	3 - Likely	9	COR OP 01 Feasibility developed for grow-on space to retain businesses in the locality. In July 2015, the Council submitted an expression of interest to the Place Board. The Place Board approved the expression of interest to proceed to the next stage.	2 - Moderate	3 - Likely	6	Amber
COR OP 02: Acquisition of Assets to Generate Income Opportunities	3 - Significant	3 - Likely	9	COR OP 02 Bid submitted to ESIF for funding for move-on space; business cases approved for development of two garage sites.	2 - Moderate	3 - Likely	6	Amber
COR OP 03: Combined Authority	2 - Moderate	3 - Likely	6	COR OP 03: A report is due to be considered by the Executive on 30 November 2015. Following decision by the Executive a report will be considered by Council. Subject to a Council decision, a bid to form a combined authority would be submitted to the government. The future scoring of this opportunity will depend on the outcome of this bidding process.	2 - Moderate	3 - Likely	6	Amber

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COR OP 04: Trading	3	3	9	COR OP 04 Business plans for each trading unit are being developed; overhead and recharge models are being developed.	2	3	6	Amber
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