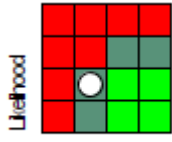
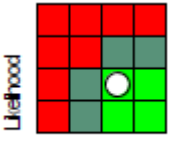





Appendix B - Corporate Risk and Opportunity Register Quarter 3 (2022-2023)

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
COR OP 02 Disposal of Assets for Capital Receipts or Acquisitions to meet expected or current demand.	01-Jul-2021					
Mitigations (Risks) / Actions (Opportunities)						
COR OP 02	Both Naseby Close, Market Harborough and De Verdon Road, Lutterworth are now sold. Naseby Close was sold to Platform Housing (RSL) and De Verdon Road by open-market sale. The Council has acquired 4, Roman Way, Market Harborough to help mitigate the high cost of temporary housing need and is also redeveloping flats held at Ploughman's Yard, Market Harborough. Further, the Council now has in place an Asset Management Plan that records the condition of the Council's current strategic property holdings and highlights future property needs.					
Linked actions						
Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar		Linked Actions Status Icon	Linked Actions Due Date	

--	--	--	--	--

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
--	-----------------------------	-----------	-----------	-------------------------------	--------	--------


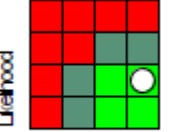



COR OP 04 Income maximisation/ Cost Reduction.	01-Jul-2021	 Likelihood Impact	 Likelihood Impact			
--	-------------	--------------------------	--------------------------	--	--	--

Mitigations (Risks) / Actions (Opportunities)

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 Cabinet monitors income trends and action plans. During the 2021/22 year, the BC25 programme came to a close. The savings and investment opportunities arising will be reported as part of the routine quarterly financial monitoring.
-----------	---

Linked actions

Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
COR OP 05 To work with the other Leicestershire Authorities to explore different structures for delivering Council services for the benefit of residents.	01-Jul-2021					
Mitigations (Risks) / Actions (Opportunities)						
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 in this area.					
Linked actions						
Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar		Linked Actions Status Icon	Linked Actions Due Date	

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
COR OP 06 To support communities during recovery from the Covid-19 pandemic via the County-coordinated Contain and COMF Funding.	01-Jul-2021					

Mitigations (Risks) / Actions (Opportunities)

COR OP 06	Agreed funding for specific projects focused on Covid-19 recovery. £130K of funding was received during Quarter 4 of the 2020/21 year. Approval has been received to continue using this funding into the 2022/23 year, which eases the urgency on spending and allows us to prioritise spending to where it will have the greatest impact.
-----------	---

Linked actions

Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date

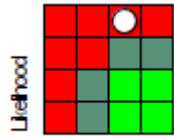
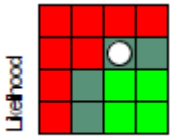
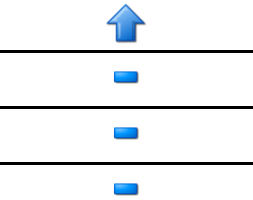


Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
COR OP 07 To ensure that Harborough District Council benefits from the ERDF Welcome Back funding to support the reopening of local town centres and tourism following the Covid-19 pandemic.	01-Jul-2021					

Mitigations (Risks) / Actions (Opportunities)

COR OP 07	To develop and deliver a programme of activities to support the reopening of local town centres and tourism and respond to the medium-term impact of Covid-19. The initial deadline to submit proposals to Government by 30 May 2021 was achieved. Once approved, the delivery of these plans can run through until the end of March 2022. Plans have had to be modified slightly to take account of continuing restrictions and lack of capacity amongst the events industry. Final submission and evidence for was made in early May 2022 and Officers are awaiting confirmation of the funding, or any further clarification from government officials, with a view to receiving the £166K funding retrospectively within the next few months.
-----------	---

Linked actions


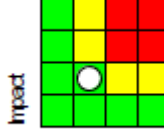



Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
COR OP 08 To maximise the likelihood that Harborough District Council can benefit from Government Levelling Up Funding to support town centre regeneration, investment in local cultural facilities or upgrading local transport Infrastructure.	01-Jul-2021	 <p>Likelihood Impact</p>	 <p>Likelihood Impact</p>			

Mitigations (Risks) / Actions (Opportunities)

COR OP 08	Whilst it is recognised that this is likely to be a very difficult case to make, given that Harborough District is classed as a Category 3 (the lowest) area, Council Officers are working with consultants to submit a credible application for to Round 2 of Levelling Up Funding in early July 2022, focussed on Market Harborough town centre. Whilst it is recognised that this is a very competitive process, every effort is being made to ensure that this is as strong an application as possible and experienced consultants have been commissioned to assist with this work, learning from the experiences of Round 1.
-----------	---

Linked actions				
Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	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	01-Apr-2021					

Mitigations (Risks) / Actions (Opportunities)


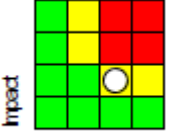








Partnership Activity	Council is represented on the LLEP board through a nominated District Leader representation.
Other (Likelihood)	Lutterworth Town centre master plan approved by the Council in 2021. (See linked projects) St Mary's Quarter, Market Harborough being progressed with a feasibility study Late 2022
External funding	Funding received for two projects from the Business rates polling fund for 2019/20. Overseen by the LLEP - Delayed due to covid












Linked actions				
Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date

Lutterworth Town centre Master Plan	David Wright	<input type="text" value="0%"/>		31-Mar-2025
-------------------------------------	--------------	---------------------------------	--	-------------

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CR 12 Lack of a co-ordinated approach to Emergency Planning could result in a failure to effectively respond to situations.	01-Jul-2021	 Impact Likelihood	 Impact Likelihood	 		
Mitigations (Risks) / Actions (Opportunities)						
Training Staff	<p>Training undertaken by staff is under continual review to ensure compliance with the Local Resilience Forum's guidance and competencies.</p> <p>Corporate Management Team received training in May 2018 regarding management of emergency incidents. An online training module on Emergency Planning for all staff was launched in Quarter 4 of the 2016/17 year. Throughout the pandemic the Council has stood up its own response structure and an internal audit on the Council's initial response to the pandemic, with a primary focus on management of the recovery stage, including re-establishing effective governance and internal control arrangements, was carried out</p>					
Training Exercises	<p>During Quarter 2 of the 2020/21 year, a multi-agency exercise was carried out remotely across Leicestershire.</p> <p>Quarter 4 2022/03 – planned training exercise</p>					
Partnership Activity	<p>As a member of the Local Resilience Forum (LRF) the Council receives support on responding to emergency situations from a number of partner organisations. Severe Weather and Flood Contingency Plans are in place to</p>					

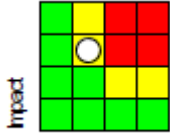
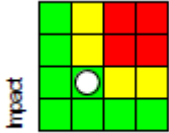



	<p>ensure there is an effective response to any incident. There is a county-wide programme for testing plans which ensures that there is a consistent approach and that plans are tested at appropriate times.</p> <p>The Council is a member of the county-wide emergency planning partnership and this provides 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. We work with the LRF to ensure Harborough Emergency Planning procedures are robust, clear to Members, and are tested</p>			
Members Training	During Quarter 3 of the 2019/20 year, elected members received an emergency plan briefing..			
Policy/strategy review				
Working practices	<p>A Corporate Management Team Emergency Planning rota is in place.. An Audit review, conducted in February 2018, made no recommendations. The audit concluded there was substantial assurance in the controls in place in the organisation.</p> <p>The Corporate Management Team and Service Managers are in continual liaison to ensure that there is an appropriate level of management cover in The Symington Building. During Quarter 1 of the 2022/23 year the Council's Emergency Planning Response Structure was changed to facilitate an agile response from both the Corporate Management Team and Service Managers.</p> <p>The council will continue to work with the LLR Local Resilience Forum to ensure compliance with the National Resilience Standards and will provide relevant representation on the training and exercise programme</p>			
Linked actions				
Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CR 15 Reduction in public sector funding by all partners leads to service gaps and reduced public sector offer to residents.	01-Jul-2021	 Likelihood	 Likelihood	     		
Mitigations (Risks) / Actions (Opportunities)						
Finance – Budget monitoring	<p>In respect of the Council’s own budget, the government issued a one-year financial settlement for 2022/23. In February 2022, Council approves a balanced budget for 2022/23 and the entire period of the MTFS. However the 2022/23 quarter 2 financial performance report is currently indicating a forecast deficit of circa £810K.; Primarily due to impacts of inflation (October at 10.1%) reducing incomes and the underachievement of savings. The council is exploring opportunities to help mitigate these costs. Similar inflationary impacts are being felt across all services across within the Public sector.</p> <p>Note the inherent risk score moved from 9 to 12 in quarter 1 due to reflect worsening financial pressures.</p>					
Partnership Activity	<p>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.</p> <p>However, the expected significant changes in future funding due to formulae adjustment and business rates, now expected to be implemented in 2023/24 continues to provide 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, responses to public consultations and working with other local districts.</p>					
Linked actions						
Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar		Linked Actions Status Icon	Linked Actions Due Date	

Risk ('CR' or 'CV') / Opportunity ('COR OP')		Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CR 20 Business Continuity: loss of building(s) / service(s) through unforeseen events.		01-Jul-2021	 Likelihood	 Likelihood	      		
Mitigations (Risks) / Actions (Opportunities)							
Training Exercises		Disaster recovery facilities are now in place for the hosting of key ICT systems in the event of a disaster recovery incident. Testing has been completed on bringing business applications, such as TLC (Land Charges) and elections, online. The Elections system has been tested by the service area. Next stage: service areas to test using the recovered systems. Other activities include testing individual business continuity plans with service areas and review priority services and accommodation, if necessary. All of the Business Continuity plans were updated during Quarter 1 of the 2020/21 year. A Business Continuity exercise on ICT Disaster Recovery is scheduled to take place during the 2022/23 year.					
Linked actions							
Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar			Linked Actions Status Icon	Linked Actions Due Date	

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CR 25 The Council does not have sufficient funding to deliver its current services in the medium term.	01-Jul-2021	 Impact Likelihood	 Impact Likelihood			
Mitigations (Risks) / Actions (Opportunities)						
Finance – Budget monitoring	<p>The budget (including income and expenditure) is monitored on a quarterly basis and corrective action taken as required. In respect of:</p> <ul style="list-style-type: none"> - 2022/23 Approved Budget: Council approved a Budget of £11.6m and over the MTFS that is balanced for each year. This includes the conclusions of the Budget Challenge 2025 review that was conducted during 2020/21; this programme achieved annual savings of £3.1m by 2024/25 - However, in 2025/26 the MTFS starts to show an unplanned budget gap, due to the compounding impacts of pay, increases in Environmental Services costs and the impacts of the governments Fair Funding Review but this pressure is met from reserves. Consequently, the Council must continue with its service transformation programme and deliver agreed savings to ensure that it can deliver sustainable services over the medium term. Over the MTFS period, all reserves far exceed the minimum 20% threshold. • 2022/23 Quarter 2: The Council is currently forecasting a net deficit of Circa £810K. this is primarily due to the impacts of inflation (£385K) underachieving of savings (£560K) and net savings from normal operational delivery (£135k). • The Council currently holds £15.7 million in reserves which includes a mix of usable and unusable reserves. • In respect of usable reserve, the council has more than £6 Million which should give it sufficient time to take appropriate action to address the currently known budgetary pressures. 					

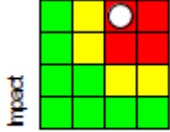
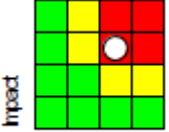



Linked actions				
Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CR 27 Risk of reduction of failing to deliver housing in a timely way could lead to reduction in receipts of new homes bonus (NHB).	01-Jul-2021	 Impact Likelihood	 Impact Likelihood			

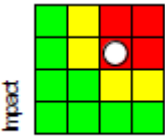
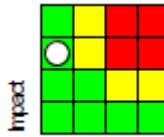








Mitigations (Risks) / Actions (Opportunities)

Working practices	The government has undertaken a consultation on New Homes Bonus, but the results have not yet been disclosed. It is expected that there will be a further round of NHB for 2023/24 and potentially for 2024/25. The Council continues to have a good five-year housing supply so if the government does introduce a “new housing” based funding stream, it is anticipated that the Council should continue to be appropriately rewarded.
-------------------	--

Linked actions				
Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CR 29 Loss of ability to provide a comprehensive service due to cyber security attacks.	22-Nov-2021	 Likelihood	 Likelihood			
Mitigations (Risks) / Actions (Opportunities)						
CR 29	<p>The Council's ICT infrastructure is secured to national standards. We have annual ITC health check testing. The Council now has ongoing security and benchmarking performed by Microsoft that provides additional recommendations and assurance. During Quarter 4 of the 2020/21 year, the potential for a global security issue occurred. The Council's swift implementation of its Emergency Patching Procedure meant that it was unaffected by the incident. A revised ICT Strategy was prepared during the 2021/22 year and approved by Council on 21 June 2021. A review of this risk has increased due to a better understanding of the impact as a better from local authority examples.</p>					
Training Exercises	<p>We have annual ITC health check testing. The Council now has ongoing security and benchmarking performed by Microsoft that provides additional recommendations and assurance</p>					
Working practices	<p>During Quarter 4 of the 2020/21 year, the potential for a global security issue occurred. The Council's swift implementation of its Emergency Patching Procedure meant that it was unaffected by the incident. A revised ICT Strategy was prepared during the 2021/22 year and approved by Council on 21 June 2021. A review of this risk has increased due to a better understanding of the impact as a better from local authority examples</p>					
National Standards	<p>The Council's ICT infrastructure is secured to national standards..</p>					
Linked actions						

Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date


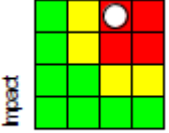



Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CR 30 Risk of Loss of Planning decision-making powers on major applications to the Planning Inspectorate due to Special Measures designation as a result of triggering the Appeal threshold for Government Intervention.	01-Jul-2021	 Likelihood	 Likelihood	     		

Mitigations (Risks) / Actions (Opportunities)

Working practices	<p>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.</p> <p>The proactive growth team is working closely with applicants for allocated sites in the Local Plan and ensuring applications are submitted in a timely fashion to enable delivery in accordance with the Local Plan housing trajectory. The Council ensures that it meets Statutory deadlines for determination of applications through the use of agreed extensions of time with applicants. The Council uses software to manage deadlines and monitor performance.</p>
-------------------	---

Linked actions

Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date
----------------------	--------------------------------	-----------------------------	----------------------------	-------------------------

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
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.	01-Jul-2021					
Mitigations (Risks) / Actions (Opportunities)						
CR 32	<p>The proactive growth team works closely with applicants on 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. The growth team and Director of Planning and Regeneration also proactively monitor and forecast planning fee income on a regular basis: this enables early awareness of increases or decreases in income levels to be highlighted. Strategic Planners and Officers in Development Management are also proactively monitoring the delivery of the housing trajectory in the Local Plan to establish the extent to which there is a likelihood of major planning applications coming forward. The robust monitoring framework in place has shown that the Council is not going to achieve the income expected from planning applications for the remainder of 2022/23. The key reason for this is that the delivery of two major allocations from the sound, adopted district wide local plan have become delayed for reasons beyond the control the Council. Due to these delays, planning applications to progress the delivery of these key sites have also become delayed, as have the associated fee income. Officers are working to minimise these delays to delivery and to get</p>					

	<p>these major sites back on track as soon as possible. The robust planning income monitoring system continues to function well. For this reason, the residual risk score remains at 4. This system still provides the Council with real-time financial information about planning income and enables accurate financial forecasting. A recent Growth Projections Audit report provided Good Assurance for both the Control and Compliance Environments which provides further evidence around the robust nature of the Council's ability to forecast growth and the associated income arising.</p>
Finance – Budget monitoring	<p>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. The growth team and Director of Planning and Regeneration also proactively monitor and forecast planning fee income on a regular basis: this enables early awareness of increases or decreases in income levels to be highlighted.</p> <p>The robust monitoring framework in place has shown that the Council is not going to achieve the income expected from planning applications for the remainder of 2022/23.</p> <p>The robust planning income monitoring system continues to function well. For this reason, the residual risk score remains at 4. This system still provides the Council with real-time financial information about planning income and enables accurate financial forecasting. A recent Growth Projections Audit report provided Good Assurance for both the Control and Compliance Environments which provides further evidence around the robust nature of the Council's ability to forecast growth and the associated income arising.</p>
Working practices	<ul style="list-style-type: none"> • The proactive growth team works closely with applicants on 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
Issued raised	<p>The key reason for this is that the delivery of two major allocations from the sound, adopted district wide local plan have become delayed for reasons beyond the control the Council. Due to these delays, planning applications to progress the delivery of these key sites have also become delayed, as have the associated fee income. Officers are working to minimise these delays to delivery and to get these major sites back on track as soon as possible.</p>
Future planning	<p>Strategic Planners and Officers in Development Management are also proactively monitoring the delivery of the housing trajectory in the Local Plan to establish the extent to which there is a likelihood of major planning applications coming forward.</p>

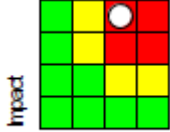
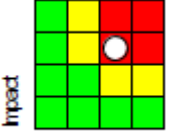



Linked actions				
Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CR 33 Cost of planning appeals and legal challenges significantly weaken the Council's financial position	01-Jul-2021	 Impact Likelihood	 Impact Likelihood			

Mitigations (Risks) / Actions (Opportunities)

Finance – Budget monitoring	Ongoing Monitoring of the PI on costs associated to Judicial reviews
Members Training	Ensure all members of the Planning Committee receive the necessary training. Put in place training records for all committee members and review dates.

Linked actions				
Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date
Training for Members of the planning Committee	Adrian Eastwood	<input type="text" value="0%"/>		01-Mar-2024

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
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 UK GDPR.	01-Jul-2021	 Likelihood	 Likelihood			
Mitigations (Risks) / Actions (Opportunities)						
CR 34	<p>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: The appointment of Data Protection Officer (DPO); Mandatory UK 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 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. UK GDPR has been added as a standard item to all report templates and Officers were trained on this. Compliance checking continues as a matter of course. Refresher training on UK GDPR and Freedom of Information (FOI) was rolled out in the 2020/21 year and will be a rolling programme year on year. New Records Management policy to be drafted and introduced, with reference to any impacts resulting from the ICT strategy and informed by future ICT infrastructural arrangements. New Records Management policy to be drafted and introduced, with reference to any impacts resulting from the ICT strategy and informed by future ICT infrastructural arrangements. Record of Processing Activities, Information Asset Register, Privacy Notices, Information Risk Register and Retention Management policies/documents all to be interfaced throughout 2023.</p> <p>Currently there is a risk of informational retention beyond what is necessary. Where that information does not</p>					

	<p>relate to personal data processing, the resulting risk is inherently lower. However, there are some risks where there is long stored personal data. This is being tended to by Service Managers as a result of CMT briefing 01/11/2022 and other work with regards MS TEAMS data migrations. This will ensure retention policy compliance in all services in preparation for the data migration. Though this will reduce the resulting risk, the current risk rating must be scored slightly higher until that work is completed.</p>
Training Staff	<ul style="list-style-type: none"> • Mandatory UK GDPR training for all staff
Staffing	<ul style="list-style-type: none"> • The appointment of Data Protection Officer (DPO);;
Members Training	training and guidance for elected members
Compliance mechanism	Individual service area spot checks to be introduced (2023/24) to assess compliance with processing and storage requirements under UK GDPR and DPA 2018
Working practices	<p>All existing policies, procedures and working practices continually reviewed for compliance. Reporting of IG related matters to CMT to begin on a quarterly basis beginning in March 2023. CEO is the current SIRO and will be fully apprised of IG related concerns. Data Protection Impact Assessments (DPIA) processes are in place, with some work to do regarding the appropriateness of usage in some areas; on going programme of data sanitisation is taking place to support Sharepoint migrations; on-going training and review of systems, working practices and control mechanisms. Service spot checks to be introduced in 2023/24 to assess the effectiveness of data sanitisation. UK GDPR has been added as a standard item to all report templates and Officers were trained on this. Compliance checking continues as a matter of course. Refresher training on UK GDPR and Freedom of Information (FOI) was rolled out in the 2018 and will be a rolling programme year on year. 2023's training will be held back until after local elections in May to harmonise rollout to both staff and elected members.</p> <p>New Information Asset Register has been compiled, which will function as both IAR and Record Of Processing Activities (ROPA) under the legislation, and as part of an internal audit recommendation.</p> <p>Currently there is a risk of informational retention beyond what is necessary. Where that information does not relate to personal data processing, the resulting risk is inherently lower. However, there are some risks where there is long stored personal data. This is being tended to by Service Managers as a result of CMT briefing 01/11/2022 and other work with regards MS TEAMS data migrations (aforementioned Sharepoint). This will ensure retention policy compliance in all services in preparation for the data migration. Though this will reduce the resulting risk,</p>

the current risk rating must be scored slightly higher until that work is completed.

Linked actions

Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date
Data protection Guidelines	Stuart Done	<input type="text" value="0%"/>		31-Mar-2024
Information Sharing Protocol	Stuart Done	<input type="text" value="0%"/>		31-Mar-2024

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CR 37 Increase in homeless presentations results in an increased demand in Council support for reactive temporary accommodation that exceeds the current budget and weakens the Council's financial position.	01-Jul-2021	<p>Impact Likelihood</p>	<p>Impact Likelihood</p>			

Mitigations (Risks) / Actions (Opportunities)






Working practices	<ul style="list-style-type: none"> The majority of temporary accommodation is currently procured on the nightly spot purchase market i.e. hotels. The unit night cost fluctuates but is on an upward trend likely driven by wider economic inflationary costs i.e. increased overheads and staff costs. Cost increases can be mitigated through the Council providing the accommodation directly through purchase and new build – particularly where the Council can avail itself of low cost long-term borrowing from HM Treasury or similar. There are 10 additional units of accommodation being developed which will provide accommodation more cheaply than hotels.
-------------------	---

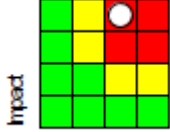

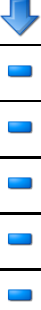


	<ul style="list-style-type: none"> • Preventing homelessness could reduce the use of temporary accommodation however options in the private sector are now largely unavailable for the majority of the households with which we work. We will continue to focus our work with registered providers to support their purchase of land to provide affordable homes and those through S106 planning agreements as a priority
--	--



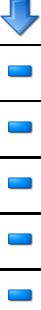


Issued raised	<ul style="list-style-type: none"> • There are several potential external factors which may further drive demand for temporary accommodation including • The cost of living • domestic abuse, • the war in Ukraine, • Asylum seekers (receiving refugee status alongside the existing Afghan and Syrian resettlement schemes – over which the Council has negligible if any control)
---------------	---







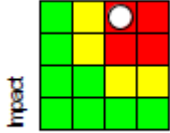
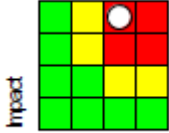







Linked actions				
-----------------------	--	--	--	--

Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CR 38 Risk of Environmental Services contractor defaulting leads to an inability to fulfil the statutory obligation to collect waste.	01-Jul-2021					
Mitigations (Risks) / Actions (Opportunities)						
CR 38	Regular engagement with contractor. The Council has had a healthy working relationship with the contractor over a number of years.					
Linked actions						
Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar		Linked Actions Status Icon	Linked Actions Due Date	

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CR 39 Risk of leisure contractor defaulting leads to an inability to deliver leisure services.	01-Jul-2021					
Mitigations (Risks) / Actions (Opportunities)						
Working practices	<p>Regular engagement with contractor. The Council has had a healthy working relationship with the contractor over a number of years</p> <p>Oversight of the contract appears regularly on Council Committee agendas to ensure it continues to be discussed regularly at Scrutiny panel</p> <p>The contract with the current provider ends on 1 April 2024 and work is underway to procure this new contract. Utilities risks are mitigated by the current contractor and over recent months customer footfall has increased, allowing the contractor and the Council to be more confident in their ability to continue to deliver leisure services</p>					
Linked actions						
Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar		Linked Actions Status Icon	Linked Actions Due Date	

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CR 40 Service transformation propositions are not delivered resulting in underachievement of identified savings.	01-Jul-2021					
Mitigations (Risks) / Actions (Opportunities)						
Working practices	Council's savings and efficiency measures are being closely controlled and monitored and include a number of key attributes that aim to ensure that propositions are deliverable, realistic and achieve the expected savings/investment; including: independent project management, comparison data to similar councils; positive ownership of proposals as reviews developed by service managers; political sponsorship of service/delivery changes proposals; strategic 'critical' leadership review of service/delivery proposals. Subsequent service transformation is then embedded into the Council's Change Programme, which then has further strategic officer and political oversight. Implementation is led by service managers based on the Council project management methodology, including the development of detailed business cases and associated plans.					
Linked actions						
Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar		Linked Actions Status Icon	Linked Actions Due Date	

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CR 41 Disruption/ uncertainty arising from the war in Ukraine	05-Apr-2022			 		
Mitigations (Risks) / Actions (Opportunities)						
Government policy	<ul style="list-style-type: none"> 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. 					
Linked actions						
Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar		Linked Actions Status Icon	Linked Actions Due Date	
Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CR 42 Loss of income, as economic activity reduces, weakens the Council's cashflow and financial sustainability.	01-Jul-2021			    		
Mitigations (Risks) / Actions (Opportunities)						

Finance – Budget monitoring	<ul style="list-style-type: none"> When the Council set its 2022/23 Budget and MTFs, it recognised reductions in: <ol style="list-style-type: none"> Corporate income (business rates and council tax) through both the use of the new Tax Income Guarantee Scheme (TIG) and revisions to Collection Fund provisions. To help mitigate future impacts, the budget included the establishment of a “Covid-19 Internal Recovery Reserve”. Some service budgets, as this was the first year that the full impact of the conclusions of BC25 were included. Some significant reductions were seen in car parking budgets to reflect expected reduction in demands following Covid-19. As the year has progressed the demand risk has continued. Both service expenditure and income budgets will be closely monitored as part of the routine quarterly monitoring process. As noted elsewhere, at quarter 2, the Council is forecasting an outturn deficit of £810K, Where savings can be vired from other budgets, this will be actioned first but where significant shortfalls can only be met from the use of reserves, such reserves will be applied. The Council maintains its General Fund (Unallocated) Reserves at 20% of Net Expenditure, for 2022/23 this equates to £2.4m. The Council continues to monitor Coronavirus-related impacts and reports as required to government on such impacts
-----------------------------	--

Linked actions

Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CR 43 The Council fails to put in place an up to date, sound and adoptable new Local Plan, the updated strategic planning framework for the district	19-Oct-2022					

Mitigations (Risks) / Actions (Opportunities)

Partnership Activity	<ul style="list-style-type: none"> The Council is working positively and proactively across councils boundaries with partner Councils in Leicester
----------------------	---

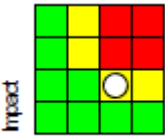
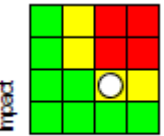



	and Leicestershire housing market area to ensure that the new local plan meets the statutory requirements of the duty to cooperate. part of meeting that duty is the need for the council to approve and sign a statement of common ground on the potential distribution of amounts of housing and employment need across the county, including the harborough district. Officer are using all means available to raise awareness of the importance of approving and signing the document with member of the council. officers are also working closely with colleagues at Leicestershire county council around that councils capacity to support the district council in producing its local plan to the timetable needed to ensure place led development continues in the Harborough District.
Policy/strategy review	<ul style="list-style-type: none"> The Council has an up to date and adopted district wide local plan in place.

Linked actions

Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date
The Local plan	Michael Curtis; Tess Nelson	<input type="text" value="0%"/>		31-Mar-2028
Delivery of local plan		<input type="text" value="0%"/>		01-Apr-2025

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CR 44 Disruption and uncertainty arising from the instability in central Government	19-Oct-2022	 Likelihood	 Likelihood	 		
Mitigations (Risks) / Actions (Opportunities)						
Linked actions						

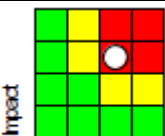
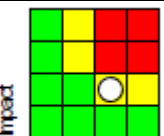



Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CR 45 Possibility of an unplanned General Election prior to 2024	14-Nov-2022	 Likelihood	 Likelihood			

Mitigations (Risks) / Actions (Opportunities)

Linked actions

Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CR 47 Government changes in planning regulations may result in the Council not having a Local plan in place (2025-2027) to resist speculative housing developments.	08-Mar-2023	 Likelihood	 Likelihood			

Mitigations (Risks) / Actions (Opportunities)

Other (Impact) Work is being undertaken to reduce the impact by understanding the proposed sites in the 6-10 year plan that may

	come forward in the gap.
Government policy	Still uncertainty around what the new LDF system – so additional risks in knowing what will be needed in April 2027.
Working practices	<ul style="list-style-type: none"> • Working to prepare a new Local Plan as soon as is feasible given uncertain changes to Government planning policy • Actively monitoring housing delivery and risks associated with strategic development sites, in order to maintain a 5 year housing supply • Closely monitoring changing Government policy around Local Plan delivery and 5 year housing supply requirements. • Implementing Government policy around Local Plan preparation and 5 year housing supply and adapting quickly to changing requirements to make the most of opportunities emerging • Supporting Development management colleagues in decision making • Assessing the need for further actions to support housing delivery







Linked actions

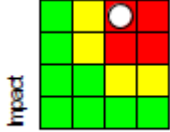
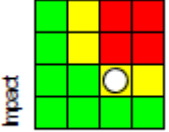



Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date
The Local plan	Michael Curtis; Tess Nelson	<input type="text" value="0%"/>		31-Mar-2028

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CR46 Reaching the councils Net Zero emissions target by 2033	02-Feb-2023			 		

Mitigations (Risks) / Actions (Opportunities)

Training Staff	Ongoing training with Staff through the Internal Climate group to seek opportunities to reduce carbon footprint
----------------	---

	and work on activities to contribute to the plan			
Partnership Activity	The council is part of the Green living Leicestershire partnership. Work here focuses on buildings solutions where carbon is high.			
Other (Impact)	Working with Asset management to review all facilities and making adaptations where possible such as Boiler replacement schemes, Renewal Energy opportunities. Planned activities for the next financial year for TSB, Market hall			
Members Training	Members briefing took place in February 2023 to raise awareness of the climate plan actions taken. More training to take place as part of members inductions May 2023			
Carbon offsetting	Recording tree planting in Environmental services and as part of the planning requirements for new developments . Investigating opportunities for renewal energy farms in the district Investigate other carbon neutralising offsetting options			
Linked actions				
Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar	Linked Actions Status Icon	Linked Actions Due Date
The council commits to demonstrate political and corporate leadership in acting on climate change	Elaine Bird	<div style="width: 20%;"><div style="width: 20%;"></div></div> 20%		01-Apr-2030
Work with residents and communities to help them reduce their emissions and improve their resilience to climate change	Elaine Bird; Helen Chadwick	<div style="width: 20%;"><div style="width: 20%;"></div></div> 20%		01-Apr-2030
Work with business to reduce their carbon emissions and become more resilient to climate change	Helen Chadwick	<div style="width: 15%;"><div style="width: 15%;"></div></div> 15%		01-Apr-2030
Ensure development is designed to be low carbon resilient to climate change	Helen Chadwick	<div style="width: 10%;"><div style="width: 10%;"></div></div> 10%		01-Apr-2030
Develop resilient natural systems that ensure that the impacts of climate change are minimised	Helen Chadwick	<div style="width: 0%;"><div style="width: 0%;"></div></div> 0%		01-Apr-2030
KA.03.05 All Council activities will work towards being carbon neutral by 2030	Helen Chadwick	<div style="width: 0%;"><div style="width: 0%;"></div></div> 0%		31-Mar-2023

Risk ('CR' or 'CV') / Opportunity ('COR OP')	Original Risk Original Date	Score (I)	Score (R)	Assessment History Trend Icon	Status	D.O.T.
CV 02 Unforeseen, unfunded financial burdens as a result of responding to the ongoing situation weaken the Council's financial stability.	01-Jul-2021	 Likelihood	 Likelihood			
Mitigations (Risks) / Actions (Opportunities)						
CV 02	<p>The Council is now meeting pandemic-related costs within its normal service budgets and is reporting accordingly. The government has now ceased reimbursing councils for losses of income or additional expenditure, although this does not include support to the local community in respect of business and community grant schemes. In setting the 2021/22 Budget and MTFS the Council set aside a specific ear-marked reserve in respect of Covid and has been prudent in setting its Council Tax base and its estimates for Council Tax and Business Rates income. In respect of 2022/23, the Draft Budget and MTFS approved by Cabinet continues to manage the financial risks relating to the pandemic, including reductions in Car Parking Income, Investment Income and the impacts on Council Tax and Business Rates collection and still maintains a CV19 related reserve for the entire period of the MTFS.</p>					
Linked actions						
Linked Actions Title	Linked Actions Administered By	Linked Actions Progress Bar		Linked Actions Status Icon	Linked Actions Due Date	