

Corporate Risk Register

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. There is a risk that activity levels or increased customer base for traded services are not achieved. The risks are being managed through receipt of a marketing consultancy report and revised approach for Trade Waste, Building Control and Lifeline. Project Boards have been set up for Building Control and Lifeline to monitor and grow performance; Specific Monitoring is being undertaken into Planning Fees and Trade Waste Income.; Modelling of potential new income sources commenced; Operating Model previously adopted by Council with a clear focus on income generation; Risks of non-delivery of income targets and adequacy of reserves considered as part of the S151 Officer assessment on the Budget report. Whilst the marketing approach is still being progressed, many of the recommendations are being implemented where possible to enable a greater approach to income generation to be applied during the year. Income levels are monitored on a monthly basis by CMT.	2 - Moderate	3 - Likely	6	Amber
CR 04: Impact on Council's resources of welfare reform changes are 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	2 - Moderate	3 - Likely	6	Amber

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				basis. Impact on HDC resources for the first two months is minimal. Further welfare reform changes announced in the July budget are expected to have an impact on HDC. Some of these changes are yet to be quantified or have implementation dates announced.				
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 remaining the same 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 benefitting from the LLEP funding	2 - Moderate	3 - Likely	6	COR OP 01 Feasibility developed for growth 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. CR 07.01 Budgetary provision to support business initiatives.	2 - Moderate	2 - Unlikely	4	Green
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.	2 - Moderate	3 - Likely	6	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	2 - Moderate	1 - Very Unlikely	2	Green

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				the timescales set out in the up to date Harborough Local Development Scheme, March 2015.				
CR 09 Poor management and monitoring of major contracts (leading to loss of service, financial and/or reputational damage)	3 - Significant	3 - Likely	9	CR 21.04 The Council has a series of major contracts (e.g. Environmental Services, Leisure Services). These are all backed up by legal services 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.	3 - Significant	2 - Unlikely	6	Amber
CR 10 Local Plan Risks: 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 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.	2 - Moderate	1 - Very Unlikely	2	Green
CR 11 Constitution is limited in its delegations and flexibility and leads to delayed decision-making.	2 - Moderate	3 - Likely	6	CR 11.1 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 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	2 - Moderate	2 - Unlikely	4	Green

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				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	<p>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.</p> <p>CR 12.02 Severe Weather and Flood Contingency Plans are in place to ensure there is an effective response to any incident.</p> <p>CR 12.06 There is a county-wide programme for testing plans which ensures there is a consistent approach and that plans are tested at appropriate times.</p> <p>CR 12.04 The Council is a member of the county-wide emergency planning partnership and this provides a 24/7 support from an emergency planning professional.</p> <p>CR 12.05 Emergency Plans have been developed and tested for the high-risk scenarios throughout the District.</p> <p>CR 12.03 Joint working arrangements with LCC Highways enables a co-ordinated approach to situations that involve both organisations.</p> <p>CR 12.07 Member and Officer training has been provided to ensure their roles are fully understood during an incident.</p> <p>CR 12.08 Work with LRF to ensure</p>	4 - Major	1 - Very Unlikely	4	Green

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				<p>Harborough Emergency Planning procedures are robust, clear to Members, and tested.</p> <p>CR 12.09 CMT Emergency Planning rota to commence 4th July.</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. Withdrawal of dry recyclates from 2018/19 being considered as part of Environmental Services Project. Risks of Further reductions mitigated through both Councils having published MTFSs and through ongoing working groups and appraisal of new options.</p>	2 - Moderate	2 - Unlikely	4	Green
CR 18 Failure to procure an affordable waste and environmental service within budget and timescale	4 - Major	3 - Likely	12	<p>CR 21.07 The Environmental Services Contract has been extended to 2022/23 with a break clause at the 1st April 2017 that would need to be notified in April 2016. Potential Increase in net costs of £1.4 million by 2018/19 due to changes in income sources. This is unaffordable. Risks are mitigated through setting up an Environmental Services Project Board to look at re-procurement from 2017/18; Member Project Board established; Specialist technical advice and options appraisal provided by AMEC; Legal support from Freeths; Specialist Project Manager appointed to lead the project; Service redesign option discussed with FCC for continuation of the service until 2022/23; Discussions on waste minimisation and service options discussed with Waste Collection Authority (LCC).</p>	3 - Significant	2 - Unlikely	6	Amber

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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 currently provided by SERCO though the Leisure Trust, SERCO are 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
CR 22 The Council does not meet its service delivery obligations for the Lifeline Service.	4 - Major	3 - Likely	12	CR 22 A Project Board is managing the relocation of the Lifeline service; 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 is underway to ensure resilience of service delivery.	3 - Significant	2 - Unlikely	6	Amber

Corporate Opportunity Register

Opportunity	Impact (I)	Likelihood (I)	Score (I)	Action	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	Linked to:
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 OPP 02 The Council aims to maximise the financial return from the Council's building through: Active Marketing of lettable space within the Council's building; Whole-life costing and business cases developed as part of any asset proposal; Inclusion within the Capital Programme provision for development and speculative land assembly. The Council is exploring the use of property funds for 'surplus' cash investments.	2 - Moderate	3 - Likely	6	Amber	