

## Corporate Risks at the End of Quarter 2 of the 2017/18 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 The Council has a series of stretch income targets in the budget for the 2017/18 year; in Quarter 2 the income against profile improved. 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	2 - Moderate	2 - Unlikely	4	Green	-

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Risk	Impact (I)	Likelihood Score (I)	Mitigation	Impact (R)	Likelihood Score (R)	Risk Colour	D.O.T.		
			reporting to the Executive monitors income trends and action plans.						
CR 05 Non-delivery of Council Efficiency Plan results in reduction in Central Government funding	3 - Significant	4 - Very Likely	12	CR 05.01 Indicative four-year allocations were announced in the provisional local government settlement. This indicates a significant reduction in settlement funding in the period to 2020. On 22 February 2016 the Council adopted a Medium-term Financial Strategy and will continue to promote growth in housing and business rates to maximise locally-generated growth. The Council will take a four-year approach to the application of reserves to assist with the transition in funding sources and to assist with the management of change. Regular monitoring and reporting of in-year savings and efficiencies reported to the Executive and Scrutiny.	2 - Moderate	2 - Unlikely	4	Green	-
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. The Leader and Corporate Director attend the quarterly Economic Growth Board. The Corporate Director attends the	2 - Moderate	2 - Unlikely	4	Green	-

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Risk	Impact (I)	Likelihood Score (I)	Mitigation	Impact (R)	Likelihood Score (R)	Risk Colour	D.O.T.		
			Place Board which reports directly into the LLEP. The Council, via work on the Local Plan, endeavours to allocate sufficient employment space for businesses to move to and grow in to. A final application for Grow-on Space was submitted to DCLG on 14 July 2017 and discussions with DCLG are on-going to complete the application process. The proposed submission Local Plan allocates 59 hectares of land for employment purposes.						
CR 08 Risk of challengeable planning decisions being taken relating to planning applications / risk of planning appeals being upheld relating to planning applications and consequent costs	3 - Significant	3 - Likely	9	CR 08.01 Ensure an up-to-date, sound local plan is adopted in accordance with established work programmes 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, July 2017. 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	3 - Significant	2 - Unlikely	6	Amber	-

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Risk	Impact (I)	Likelihood Score (I)	Mitigation	Impact (R)	Likelihood Score (R)	Risk Colour	D.O.T.		
			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. Residential planning applications are processed efficiently in order to move towards a five-year land supply as quickly as possible. The Council is progressing a Local Plan towards adoption, as quickly as possible, in order to ensure the achievement of a five-year supply. N.B. the mitigation set out above will not have its maximum impact until the adoption of the Local Plan. Training was provided for all Members of the Planning Committee during the 2017/18 year on the making of robust Planning decisions.						
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 in accordance with established work programmes that meet the Objectively Assessed Housing needs of the District. Ensure the	3 - Significant	2 - Unlikely	6	Amber	-

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Risk	Impact (I)	Likelihood Score (I)	Mitigation	Impact (R)	Likelihood Score (R)	Risk Colour	D.O.T.	
			Local Plan is adopted in accordance with the timescales set out in the up-to-date Harborough Local Development Scheme, July 2017. The HEDNA has been finalised and published. The figures have been accepted by the Council. A proposed submission draft Local Plan was approved by Council on 18 September 2017.					
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	4 - Major	1 - Very Unlikely	4	Green	—

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Risk	Impact (I)	Likelihood Score (I)	Mitigation	Impact (R)	Likelihood Score (R)	Risk Colour	D.O.T.
			<p>The Council is a member of the county-wide emergency planning partnership and this provides a 24/7 support from an emergency planning professional. CR 12.10 A protocol has been developed, and is operation, to update Members, at the time of an incident. 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. Further training for key staff has been scheduled to take place during the 2016/17 year. CR 12.08 Work with LRF to ensure Harborough Emergency Planning procedures are robust, clear to Members, and are tested. CR 12.09 A CMT Emergency Planning rota is in place. CR 12.11 An online training module on Emergency Planning for all staff</p>				

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				was launched in Quarter 4 of the 2016/17 year.					
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 (e.g. recycling, early years). 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.	2 - Moderate	3 - Likely	6	Amber	-
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. Further testing will take place in 2017, followed by on-going refinement of the plans. A multi-agency disaster recovery test in the Symington Building took place on 25 July 2017 and an action plan is being developed which will cover the issues raised.	4 - Major	2 - Unlikely	8	Amber	-

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Risk	Impact (I)	Likelihood (L)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
CR 23 Not Balancing Budget for the next financial year	2 - Moderate	2 - Unlikely	4	CR 23 The Section 151 Officer has legal duties to: propose and set a balanced budget, maintain adequate level of Reserves and to deliver financial sustainability through a MTFS. The Council set a balanced budget in February 2017 relating to 2017/18. Monitoring at Quarter 2 indicates that a small surplus will be achieved against the approved budget for 2017/18.	2 - Moderate	2 - Unlikely	4	Green	-
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 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 effectively any change programme.	2 - Moderate	2 - Unlikely	4	Green	-
CR 27 Local Plan: Risk of reduction in receipts from New Homes Bonus and increased uncertainty of timely housing delivery as a result of	3 - Significant	2 - Unlikely	6	CR 27 Ensure that the Local Plan has a robust delivery, monitoring and review chapter that is linked to the housing trajectory supporting	3 - Significant	2 - Unlikely	6	Amber	-



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Risk	Impact (I)	Likelihood (L)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
housing development not coming forward.				the Plan's Spatial Strategy. The developers have an integral role in ensuring the deliverability of The Plan, both through its preparation and subsequent implementation. A proposed submission Draft Local Plan was approved by Council on 18 September 2017 for a period of public representation.					
CR 29 Loss of ability to provide a comprehensive service due to cyber security attacks	3 - Significant	2 - Unlikely	6	CR 29 Complete the programme of work to improve security as dictated by risks highlighted within the Council's annual Penetration Test and IT HealthCheck (ITHC) and implement Action Plan from the ICT Cyber Security Review (January 2017). Annual penetration testing will take place, as usual, during the 2017/18 year.	2 - Moderate	2 - Unlikely	4	Green	—
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	4 - Very Likely	12	CR 30 In November 2016 the Government published a revised national policy related to the quality of decision making concerning planning applications. In response to the new policy, training for all Members on planning decision-making was undertaken in Quarter 4 (12 out of	3 - Significant	2 - Unlikely	6	Amber	—

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Risk	Impact (I)	Likelihood Score (I)	Mitigation	Impact (R)	Likelihood Score (R)	Risk Colour	D.O.T.
			<p>37 Members [32.4%] of Members attended the training session). The latest available data published by DCLG on 10 August 2017 indicates that the Council's position has improved however, it is unclear which time period the Government will use to measure performance at the end of the 2017/18 year. Therefore, the risk remains at Amber (6) at the end of Quarter 2.</p>				

## Corporate Opportunities at the End of Quarter 2 of the 2017/18 Year

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

- ↑ = Increase in opportunity score compared to previous risk report
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- ↓ = Reduction in opportunity score compared to previous risk report
- 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: An application for Grow-on Space was submitted to DCLG on 14 July 2017 and the Council is in discussions with DCLG to develop a final application that is likely to be successful. Discussions are underway to bring forward key employment sites within the District, identified within the draft Local Plan. The Harborough	3 - Significant	4 - Very Likely	12	Green	-

Opportunity	Impact (I)	Likelihood (I)	Score (I)	Action	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				Innovation Centre contract provides a year-round support programme that encourages businesses throughout the District to grow.					
COR OP 02: Acquisition 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; development at Paget Road, Lubenham has commenced; discussions are underway about the site at Naseby Close, Market Harborough. Asset opportunities continue to be assessed as they arise.	3 - Significant	3 - Likely	9	Green	—
COR OP 03: Combined Authority	2 - Moderate	1 - Very Unlikely	2	COR OP 03: The Monitoring Officers have completed work on the Constitution and the operating agreement. A report will be considered by the Executive and then Council when the Order has been published by central government.	2 - Moderate	3 - Likely	6	Amber	—
COR OP 04: Income maximisation/ Cost Reduction	3 - Significant	2 - Unlikely	6	COR OP 04: Regular monitoring takes place alongside a monthly review by the relevant Portfolio Holder. Regular re-profiling of	3 - Significant	3 - Likely	9	Green	—

Opportunity	Impact (I)	Likelihood Score (I)	Action	Impact (R)	Likelihood Score (R)	Risk Colour	D.O.T.
			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.				