

## Corporate Risks at the End of Quarter 4 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	3 - Significant	2 - Unlikely	6	CR 01.01 Ambitious but realistic income targets were set in the 2018/19 budget. Regular budget reporting to the Corporate Management Team, on a monthly basis, and to Executive and Scrutiny on a quarterly basis. Traded services are monitored as part of the Council's commercial portfolio, including	2 - Moderate	2 - Unlikely	4	Green	-

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				current and future activity levels. The Council has healthy reserves that can help to mitigate any in-year shortfall in income.					
CR 07 Risk of the Council not helping to encourage conditions for new business growth results in the District not benefitting from the LLEP funding	2 - Moderate	3 - Likely	6	CR 07.01 The Council is represented on the LLEP Board through two district Leaders (Hinckley and Bosworth Borough Council and Blaby District Council). The Corporate Director attends the 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 has been submitted to the Ministry of Housing, Communities and Local Government (MHCLG) and it is being considered during April 2018. Council approved the acquisition of an alternative site and approved the additional capital and revenue budget. Four bids are being developed for submission to the LLEP, in April 2018, for funding associated with	2 - Moderate	2 - Unlikely	4	Green	-

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				economic growth projects.					
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 that meet 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 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 submitted its Local Plan for examination in March	3 - Significant	2 - Unlikely	6	Amber	-

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				2018. 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 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. The Council submitted its Local Plan for examination in March 2018. N.B. the mitigation set out above will not have its maximum impact until the adoption of the Local Plan.	3 - Significant	2 - Unlikely	6	Amber	-

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
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 12.13 An Audit review, conducted in February 2018, made no recommendations. 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 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	4 - Major	1 - Very Unlikely	4	Green	-

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				<p>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 A CMT Emergency Planning rota is in place. CR 12.12 Corporate Management Team received training in July 2017 regarding management of emergency incidents CR 12.11 An online training module on Emergency Planning for all staff was launched in Quarter 4 of the 2016/17 year.</p>					
CR 15 Reduction in public sector funding by all partners leads to service gaps and reduced public sector offer to residents	2 - Moderate	2 - Unlikely	4	CR 15.01 Reductions in Partner Organisation Funding were factored into 2018/19 budget without an impact on service provision (for example dry	2 - Moderate	1 - Very Unlikely	2	Green	↓

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				recycles). The Council actively responds to consultations and works with partners in reshaping public services. The Council's MTFS and Corporate Delivery Plan will prioritise service levels going forward.					
CR 20 Business Continuity: loss of building(s) / service(s) through unforeseen events	4 - Major	4 - Very Likely	16	CR 20.01 The Business Continuity plans and their dependencies have been updated. A multi-agency disaster recovery test in the Symington Building took place on 25 July 2017 and an action plan is being developed which will cover the issues raised. Further testing will take place in 2018, followed by on-going refinement of the plans.	4 - Major	2 - Unlikely	8	Amber	-
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. The Annual Budget includes an assessment of the robustness of the estimates, budgetary risks, adequacy of reserves. Based on this assessment, the risk of not balancing the budget for the next financial year is viewed as low.	2 - Moderate	2 - Unlikely	4	Green	-

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
CR 25 The Council does not have sufficient funding to deliver its current services in the medium-term	4 - Major	4 - Very Likely	16	CR 25 A robust Medium-term Financial Strategy (MTFS) and appropriate plans are in place to implement the required changes to the Council's operation. 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 housing development not coming forward.	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 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. The Council submitted its Local Plan for examination in March 2018.	3 - Significant	2 - Unlikely	6	Amber	-



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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
CR 29 Loss of ability to provide a comprehensive service due to cyber security attacks	4 - Major	2 - Unlikely	8	CR 29 Complete the programme of work to improve security as dictated by risks highlighted within the Council's annual Penetration Test and IT Health Check (ITHC) and implement Action Plan from the ICT Cyber Security Review (July 2017). Annual penetration testing will take place, as usual, during the 2018/19 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 of the 2016/17 year (12 out of 37 Members [32.4%] of Members attended the training session). The latest available data published by MHCLG indicates that the Council's position has improved however, it is unclear which time period the Government will use to measure	3 - Significant	2 - Unlikely	6	Amber	-

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Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				performance at the end of the 2017/18 year. Therefore, the risk remains at Amber (6) at the end of Quarter 4.					

## Corporate Opportunities at the End of Quarter 4 of the 2017/18 Year

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

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

N.B. An upward direction of travel (D.O.T.) for an opportunity is good.

Opportunity	Impact (I)	Likelihood (I)	Score (I)	Action	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T
COR OP 01: Business growth leading to Business Rates retention	3 - Significant	3 - Likely	9	COR OP 01: An application for Move-on Space was submitted to DCLG on 14 July 2017. Discussions are underway to bring forward key employment sites within the District, identified within the draft Local Plan. The Harborough Innovation Centre contract provides a year-round support programme that encourages businesses	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
				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 is ongoing on site; a business case on the site at Naseby Close, Market Harborough will be considered during the 2018/19 year. 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 income targets takes place and is informed by current and future activity levels. Regular	3 - Significant	3 - Likely	9	Green	-

Opportunity	Impact (I)	Likelihood (I)	Score (I)	Action	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T
				monitoring by the Corporate Management Team and quarterly reporting to the Executive monitors income trends and action plans.					