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Risk/Opportunity	Impact (I)	Likelihood (I)	Inherent Score (I)	Mitigation	Impact (R)	Likelihood (R)	Residual Score (R)	Risk Colour
COR OPP 01: Business growth leading to Business Rates retention	3 - Significant	3 - Likely	9	C OP 07.02 Feasibility developed for grow-on space to retain businesses in the locality	2 - Moderate	3 - Likely	6	Amber
COR OPP 02: Acquisition of Assets to Generate Income Opportunities	3 - Significant	3 - Likely	9	<p>COR OPP 02 The Council aims to maximise the financial return from the Council's building through:</p> <ul style="list-style-type: none"> • 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 	2 - Moderate	3 - Likely	6	Amber
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	2 - Moderate	3 - Likely	6	Amber

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				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.				
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 basis. Impact on HDC resources for the first 2 months is minimal.	2 - Moderate	2 - Unlikely	4	Green
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 the next parliament. There is a new budget to be announced on the 8th July and a comprehensive spending review soon after. 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	3 - Significant	4 - Very Likely	12	Red

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				for savings and efficiencies. Hence, the residual remaining the same score.				
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 Budgetary provision to support business initiatives CR 07.02 Feasibility developed for grow-on space to retain businesses in the locality	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. In the meantime investigate all possible interim initiatives such as developing an Interim Housing Policy for example, with the intention of ensuring robust and resilient interim measures are put in place without delay to enable this matter to be successfully managed prior to the sound Local Plan being adopted: which is anticipated being in 2017.	2 - Moderate	1 - Very Unlikely	2	Green
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.	3 - Significant	2 - Unlikely	6	Amber

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				Strategic Meetings are held with FCC and Harborough District Leisure Trust where delivery is monitored, change discussed, risks assessed. Communication messages are also discussed				
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 to locations areas and locations across the District that meet the Spatial Strategy of the Local Plan and ensures 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 11.02 Monitoring Officer has duty to review Constitution on a regular basis to ensure it is up to date with legislative changes and fits the needs of the authority. CR 11.01 Transformation 2 recommended review of Constitution as a result of LGA Peer Challenge. Planning call-in and delegation to officers a programme of work has been approved and is ongoing. A final report is due as determined by the Constitutional Review Committee.	2 - Moderate	2 - Unlikely	4	Green
CR 12: Lack of a co-ordinated approach to Emergency Planning could result in a failure to effectively	4 - Major	2 - Unlikely	8	CR 12.06 There is a countywide programme for testing plans which ensures there is a consistent	4 - Major	1 - Very Unlikely	4	Green

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respond to the situation				<p>approach and that plans are tested at appropriate times. CR 12.04 The council is a member of the countywide emergency planning partnership and this provides a 24/7 support from an emergency planning professional. CR 12.02 Severe Weather and Flood Contingency Plans are in place to ensure there is an effective response to any incident. 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 tested. CR 12.03 Joint working arrangements with LCC Highways enables a co-ordinated approach to situations that involve both organisations. CR 12.09 CMT Emergency Planning rota to commence 4th July 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 12.05 Emergency Plans have been developed and tested for the high risk scenarios throughout the district.</p>				
CR 15: Impact of Leicestershire County Council Budget Reductions on Council Services	3 - Significant	3 - Likely	9	CR 21.05 The County Council approved a four-year Medium Term Financial Strategy (MTFS). There is visibility of the savings proposals	2 - Moderate	2 - Unlikely	4	Green

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				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 MTFs and through ongoing working groups and appraisal of new options.				
CR 17: Risks of delays arising from the slow preparation of viability assessments and their resultant delayed submission to the Council by developers seeking planning permission and the consequent risk that this scenario results it not being possible to process planning applications efficiently and effectively.	4 - Major	2 - Unlikely	8	CR 17.01 Ensure that strong working relationships between the Council and all Developers that are progressing development that requires viability assessments to support them are always in place from the start of the process of preparing the planning application. Ensure a strong, two - way partnership is in place between the Council and the Developer's concerned from the outset. Deploy Planning Performance Agreements to assist in ensuring strong and resilient working relationships are always in place between the Council and the Developers concerned. Use the utility this approach provides to ensure that viability evidence is always provided to the Council in a timely way to enable the Council to process planning applications in line with all established timescales and deadlines.	3 - Significant	1 - Very Unlikely	3	Green
CR 18: Failure to procure an affordable waste and environmental	4 - Major	3 - Likely	12	CR 21.05 The Environmental Services Contract has been extended	3 - Significant	2 - Unlikely	6	Amber

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service within budget and timescale				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).				
CR 20: Business Continuity: loss of building(s) / service(s) through unforeseen events	4 - Major	4 - Very Likely	16	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. CR 20.02 ICT Disaster Recovery Plan in place	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	2 - Moderate	2 - Unlikely	4	Green

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			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.				
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