

## Corporate Risks at the End of Quarter 3 of the 2019/20 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 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 a nominated District Leader representation. Two bids were successful in the 2018/19 year, these were: the Town Centres Master plan Project and the Grow-on Space Project. The Council has submitted a number of expressions of interest for the	2 - Moderate	3 - Likely	6	Amber	-

## Appendix A

Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				Business Rates pooling fund for 2019/20. The Council was successful in securing business rates pilot status for 2019/20 which will retain increased funds within Leicestershire. Three bids have been made to the Leicestershire Business Rates Pool which are aimed at promoting economic growth and provides funding for a number of projects in the District.					
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. Training undertaken by staff is under continual review to ensure compliance with the Local Resilience Forum's guidance and competencies. Severe Weather and Flood Contingency Plans are in place to ensure there is an effective response to any incident. There is a county-wide programme for testing plans which ensures that there is	4 - Major	1 - Very Unlikely	4	Green	-

Appendix A

Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				<p>a consistent approach and that plans are tested at appropriate times. 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. A Corporate Management Team Emergency Planning rota is in place. An online training module on</p>					

Appendix A

Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				Emergency Planning for all staff was launched in Quarter 4 of the 2016/17 year. Corporate Management Team received training in May 2018 regarding management of emergency incidents. An Audit review, conducted in February 2018, made no recommendations. During Quarter 3 of the 2019/20 year, elected members received an emergency plan briefing.					
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 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. However, the significant changes in Fair Funding and business rate changes due in 2021 is leading to 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 and the maintenance of contingency and	2 - Moderate	3 - Likely	6	Amber	-

## Appendix A

Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				provision budgets to manage the impact of any change in the short-term.					
CR 20 Business Continuity: loss of building(s) / service(s) through unforeseen events	4 - Major	4 - Very Likely	16	CR 20.01 Disaster recovery facilities are now in place for the hosting of key IT 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.	4 - Major	2 - Unlikely	8	Amber	-
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 25.01 The Cabinet is working through the budget for the 2020/21 year. Levels of reserves are sufficient to manage any unplanned change effectively. The budget (including income and expenditure) is monitored on a quarterly basis and corrective	3 - Significant	3 - Likely	9	Red	↑

## Appendix A

Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				action taken as required. Preparation for the 2021/22 and budget and medium term financial planning will start earlier than in previous years (Spring 2020).					
CR 27 Risk of failing to deliver housing in a timely way could lead to reduction in receipts of new homes bonus.	3 - Significant	2 - Unlikely	6	CR 27.01 The up-to-date adopted District-wide Local Plan contains robust delivery, monitoring and review mechanisms linked to the housing trajectory. Evaluate the Government's proposals on New Homes Bonus, when known, and this will be factored into the medium-term financial plan and future budgets. Maintain and build financial resilience to manage consequences in a measured way.	3 - Significant	2 - Unlikely	6	Amber	-
CR 29 Loss of ability to provide a comprehensive service due to cyber security attacks	3 - Significant	2 - Unlikely	6	CR 29.01 The Council's ICT infrastructure is secured to national standards. We have annual ITC health check testing and we are moving to quarterly penetration testing in November 2019. The Council now has ongoing security and	2 - Moderate	2 - Unlikely	4	Green	-

## Appendix A

Risk	Impact (I)	Likelihood (L)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				benchmarking performed by Microsoft that provides additional recommendations and assurance.					
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 30.01 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. 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.	3 - Significant	1 - Very Unlikely	3	Green	-
CR 32 The Council does not meet its budgeted-for Planning fee income targets, particularly in regard to major applications which	4 - Major	3 - Likely	12	CR 32.01 The proactive growth team works closely with applications for allocated sites in the Local Plan to ensure that	4 - Major	1 - Very Unlikely	4	Green	-

## Appendix A

Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
could have a negative impact on the Council's financial position.				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. At the end of Quarter 3 Planning income was on target.					
CR 33 Costs of planning appeals, and legal challenges, exceed budget	4 - Major	2 - Unlikely	8	CR 33.01 Monitoring of the budget takes place throughout the year. Ensure that all planning decisions taken by Members and Officers are robust and based on sound planning grounds to minimise the risk of a successful appeal/ challenge. Further member training is taking place during the 2019/20 year. Training for elected Members, on planning application decision-making, took place on 28 May	4 - Major	2 - Unlikely	8	Amber	-



## Appendix A

Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				2019. At the end of Quarter 3 of the 2019/20 year legal costs related to planning matters were within budget.					
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 GDPR. Personal and non-personal data is not processed according to legislative and or policy requirements resulting in reputational damage and potential financial penalty.	4 - Major	3 - Likely	12	CR 34.01 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: Appointment of Data Protection Officer (DPO); Mandatory 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. GDPR has been added as a standard item to all report templates and Officers were trained on this. Compliance checking continues	2 - Moderate	2 - Unlikely	4	Green	-

## Appendix A

Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				as a matter of course. Refresher training on GDPR has been launched for all Officers (due for completion during Quarter 3 of the 2019/20 year). During the 2019/20 year regular Governance Board meetings are taking place involving the Chief Executives and Statutory Officers.					
CR 35 Possible vulnerability with the provision of Revenues and Benefits software due to the financial position of the provider and the exit from the existing contracts by other government bodies	4 - Major	1 - Very Unlikely	4	CR 35.01 The financial stability of the software supplier has stabilised and therefore is no longer being monitored by the Partnership Management Board. The account manager arrangements are being changed by the supplier and we are awaiting further details regarding this.	2 - Moderate	1 - Very Unlikely	2	Green	-
CR 36 Uncertainty following the United Kingdom's imminent departure from the European Union.	4 - Major	3 - Likely	12	CR 36.01 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	4 - Major	1 - Very Unlikely	4	Green	↓

Appendix A

Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
				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. Two workshops were held in January 2019 to consider the implications for the Council and Members were advised via a Briefing Note in March 2019. Local businesses have been made aware that support is available. The Council will continue to work with the LRF and participate in the agreed reporting process to identify any local emerging issues. During Quarter 2 of the 2019/20 year, the Council held a service workshop and undertook an assurance assessment in line with the MHCLG checklist. During Quarter 3, all previous no-deal arrangements were stood down nationally.					
CR 37 Increase in homeless presentations results in an increased demand in Council	3 - Significant	4 - Very Likely	12	CR 37.01 Following the introduction of the Homelessness Act 2017, the	2 - Moderate	3 - Likely	6	Amber	↓

Appendix A

Risk	Impact (I)	Likelihood (I)	Score (I)	Mitigation	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
support for relief.				Council introduced a new Housing and Homelessness Prevention Strategy which highlighted key actions that the Council is taking to meet its statutory responsibilities. As part of this on-going work, the Council is reviewing future provision of temporary accommodation to meet the needs of homeless residents in the most cost-effective manner. During Quarter 3 the Council submitted an offer on a property consisting of three flats to use as temporary accommodation for homeless households.					

## Corporate Opportunities at the End of Quarter 3 of the 2019/20 Year

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

- ↑ = Increase in opportunity score compared to previous Quarter report
- = No change in opportunity score compared to previous Quarter report
- ↓ = Reduction in opportunity score compared to previous Quarter 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: The Local Plan has identified employment sites and made provision for key sector demand, for example logistics. The Economic Development Team has good relationships with existing industries such as those engaged within the construction/ property sector, LLEP and others to identify inward investment and growth	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.
				opportunities. Provision of business support and skills agenda to encourage businesses to grow. The construction of the Council-owned Grow-on Centre was completed in Quarter 3. The Invest in Harborough website will provide core information, and demonstrates why the District is in a good location, for any businesses looking to establish themselves in the area. A pilot project for the Leicestershire Business Rates Retention Pool has been approved. Three bids have been made to the Leicestershire Business Rates Pool which are aimed at promoting economic growth.					
COR OP 02: Acquisition/development of Assets to Generate Income Opportunities	2 - Moderate	3 - Likely	6	COR OP 02 An Outline Business Case for Naseby Close, Market Harborough has been approved and a planning application has been submitted. Following postponement of the planning decision, the Council is currently considering amendments to the planning application and	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.
				reworking the Business Case for Cabinet decision. An outline Business Case for De Verdon Road, Lutterworth has been approved. A planning application has been submitted and pre-construction works continue with a view to start on site in early 2020 subject to the full business case being approved by Cabinet. Further housing and commercial development opportunities are being considered. The Cabinet and Council has approved the acquisition of land in Market Harborough for development, subject to due diligence being carried out. The Council's wholly-owned company has acquired the Tesco and B&M units.					
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 monitoring by the Corporate Management Team and	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.
				<p>quarterly reporting to the Cabinet monitors income trends and action plans. The Environmental Services team has recently taken on Grounds Maintenance services via FCC with Rutland County Council. The costs of running the Council's Building Control service have reduced significantly since the Council became a member of the Leicestershire Building Control Partnership. The cost to the Council of the Lifeline Control Centre has been reduced by increasing income through marketing and increasing customer numbers, and by reducing costs through efficiencies; this will continue during 2020-21. The Council undertakes an annual review of budgets, including fees and charges, which highlights opportunities for income generation and cost reduction.</p>					
COR OP 05 To work with the other Leicestershire Authorities to explore different structures for	4 - Major	2 - Unlikely	8	COR OP 05 The Leader of the Council has committed to working collaboratively for the	4 - Major	2 - Unlikely	8	Amber	-



Opportunity	Impact (I)	Likelihood (I)	Score (I)	Action	Impact (R)	Likelihood (R)	Score (R)	Risk Colour	D.O.T.
delivering Council services for the benefit of residents.				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.					