

### Appendix 3 Corporate Risks

| High Likelihood and High Impact (9)                                       |                     |               |   |
|---|---------------------|---------------|---|
| Risk  | Responsible officer | Last reviewed | Summary   |
| S.11 - Failure to successfully deliver the Medium Term Financial Strategy | Sanjiv Kohli        | Apr 12/13     | The MTF5 was approved by full Council in February 2012. The key message is that a standstill position in Formula Grant for 2013/14 and 2014/15 or at worst a 5% reduction for each year will be manageable with the support of the Council's Balances and Reserves and allocation of NHB. Any reduction between 5% and 10% will mean that additional savings of £500K to £750K will be needed to balance the budget for 2013/14 and 2014/15. Work has already commenced in identifying these areas of savings for 3 categories. The position will become clearer in October/November of 2012 with the announcement of the Comprehensive Spending Review. It is also critical that the New Housing Trajectory is met in order to secure the forecast NHB. Finance will monitor this with the Planning Service.   |
| S.33 - MIRA RGF Fund  | Bill Cullen         | Apr 12/13     | A draft RGF funding letter was received from BIS in March 2012. An Internal Project Board and Joint Partnership Board with MIRA, the HA, LCC and WCC has been established to progress agreement over contract with BIS and Due Diligence work is currently underway to mitigate risks for HBBC. A key meeting is programme for 19 April with BIS to discuss amendments to offer letter with the target for agreement to a final offer letter by June 2012. Key components of the Due Diligence include a Development Agreement and Delivery Framework between HBBC, MIRA and the HA, a delivery programme and cost profile to ensure effective monitoring and management over the delivery of the infrastructure works. Legal advice is being sought for State Aid Compliance to mitigate risks for HBBC. Auditors will be appointed to conduct regular Due Diligence checks on behalf of HBBC. |

| Medium Likelihood and High Impact (8)  |                                  |               |  |
|--|----------------------------------|---------------|--|
| Risk   | Responsible officer              | Last reviewed | Summary  |
| S.04 - Damage to Reputation/adverse publicity                                    | Steve Atkinson - Chief Executive | May 12/13     | EHRC collaborative work with the Council via a Section 23 Agreement (as a formal assessment) completed and final report awaited. Joint publicity on this will be in terms of outcomes only. Secured 'Achieving' level for Equalities Framework. Net positive media coverage has been maintained. Delivery of Barwell Parish Poll and responses to its outcome, though political not administrative, will be critical to reputation |
| S.29 - Loss of contract for Supporting People funded services                    | Sharon Stacey                    | May 12/13     | Representation made to county regarding procurement process which has put a hold on retendering.<br>Considering alternative method of service delivery as an option to tendering for future contracts.<br>Carrying out scheme viability studies to understand future need/demands.<br>Continue to work with NWLDC to share resource and capacity.  |
| S.30 - Review by the Equalities Commission for Human Rights of disability issues | Steve Atkinson - Chief Executive | May 12/13     | Section 23 Agreement work almost completed, within a much more positive and collaborative approach than originally proposed by EHRC now adopted by EHRC. Final report and publicity awaited. Opportunity to comment on the EHRC Inquiry into Disability Harassment was taken and acknowledged. Opportunity available for further work/comment on this initiative.  |
| S.34 - Safeguarding Children and Young People                                    | Simon D. Jones                   | Apr 12/13     | Safeguarding action plan developed and is being implemented by DSO's<br>Section 11 Audit is being refreshed.<br>Ongoing training and employee awareness sessions scheduled for 2012.<br>Multi agency training sessions planned for 2012.<br>Member training ongoing  |

### Appendix 3 Corporate Risks

| Low Likelihood and High Impact (6)   |                                  |               |  |
|--|----------------------------------|---------------|--|
| Risk   | Responsible officer              | Last reviewed | Summary  |
| S.01 - Failure to focus on priorities and initiatives  | Steve Atkinson - Chief Executive | May 12/13     | With the return of the same political Administration in May 2011, the priorities and initiatives have remained largely the same, but with an increased emphasis on delivery: Hinckley Hub (2012/13), Bus Station development (2014), Argents Mead Enhancements (2012) and Residents' Car Parking. In addition, the Administration has supported the relocation of the Council's Streetscene/Housing Services depot from Middlefiled Lane to Harrowbrook Industrial Estate; currently awaiting Planning permission. The MTF5 remains on course, awaiting announcements from Government - not an issue for the Administration. |
| S.12 - Insufficient Business Continuity Management (incl Disaster recovery) arrangements                                       | Steve Atkinson - Chief Executive | May 12/13     | The review process is ongoing and no major issues have been identified.  |
| S.16 - Failure to adhere to Health and Safety Legislation/ Regulations   | Rob Parkinson                    | Jan 11/12     | The H&S Officer continues support to the depot to a minimum of 2 days per week and is progressing a review of corporate Health and Safety for the Council. Transfer of In House building services supported by consultant to develop new policies and procedures within corporate policy. H&S audits of other work areas are continuing along with BCM preparedness. Lone Worker policy refreshed and new system to be rolled out Q4   |
| S.17 - A reduction in Benefit Subsidy as a result of error and/or poor performance impacting on Medium Term Financial Strategy | Storme Coop                      | Mar 11/12     | The housing benefit subsidy for 2010/2011 was paid in full. Subsidy audit for 2011/2012 commences June 2012.   |
| S.27 - Failure to deliver / ensure sustainability to My Place Project  | Bill Cullen                      | Apr 12/13     | A successful outcome has been secured with the Bondsmen and snagging works and improvements are progressing on the Centre. Membership is now up to 3500 which is underpinning the Business Case. HBBC have representation on the HC4YP Board and a Joint Project Board is in place with HBBC Officers, the Leader and HC4YP representatives to oversee successful delivery of the Business Plan on a quarterly basis.  |

### Appendix 3 Corporate Risks

| Medium Likelihood and Medium Impact (5)   |                                  |               |  |
|---|----------------------------------|---------------|--|
| Risk  | Responsible officer              | Last reviewed | Summary  |
| S.14 - Dealing with numerous Public Enquiries   | Bill Cullen                      | Apr 12/13     | 2011/12 saw a significant improvement in the success of Planning Appeals. A slight reduction in targets for determining Planning Applications will continue to allow for effective negotiation on proposals potentially reducing the number of appeals going forward.  |
| S.15 - Failure to successfully adopt and deliver the LDF leads to:  | Bill Cullen                      | Apr 12/13     | Following a Capacity Review of the Planning Policy Team, SLB and Executive have agreed to provide additional capacity resource to support delivery of new Local Plan documents. A review of the programme following the publication of the NPPF is underway. Progress on the Area Action Plan for the SUE's is being impacted on delays by LCC on transport modelling. To mitigate delivery impacts for the new development, a planning application has now been submitted with the Developers Transport Assessment for Barwell SUE. Work is underway on assessing Gypsy and Traveller Needs Assessment and outcomes from consultancy work is expected by June 2012. |
| S.19 - Failure to improve sickness absence  | Steve Atkinson - Chief Executive | May 12/13     | At end of 2011/12, absence rate had shown improvement on previous year, for the fourth year running! Annual level of sickness absence now 6.2 days, less than half that of 2006/07. Issues continue to be addressed by the Chief Executive with relevant managers.   |
| S.22 - Failure of County Council Support/ engagement for the Local Strategic Partnership                      | Bill Cullen                      | Apr 12/13     | At the Annual Review meeting of the LSP in March 2012, membership of the LSP was confirmed with the Deputy Leader of HBBC as Chair and LCC being a key Partner.  |
| S.25 - Failure to provide a fit for purpose Leisure Centre  | Bill Cullen                      | Apr 12/13     | Work is progressing on an Options Study for a new or refurbished Leisure Centre. A presentation on progress was provided to Executive in March 2012. The outcomes of the Study and consultant's recommendations will be reported to the Project Team in June 2012. A report on the preferred option will be targeted for Council in September 2012.  |
| Low Likelihood and Medium Impact (3)  |                                  |               |  |
| Risk  | Responsible officer              | Last reviewed | Summary  |
| S.20 - Non-compliance with Financial Regulations - Caused by: misunderstanding or non-application by officers | Sanjiv Kohli                     | Apr 12/13     | <p>This risk was reduced to Net Amber in February 08 following a favorable Internal Audit report in respect of compliance with Financial Regulations. At the year end review Mar 09 it was considered the net likelihood of this risk occurring should be reduced to low facilitating 6-monthly review. This position remains unchanged as at Sept 09.</p> <p>The position at the end of March 2010 remains unchanged. No significant issues arose during the year. The position at 31 March 2011 remains unchanged. Risk reviewed in April 2012 - added progress to additional mitigation plan</p>  |

### Appendix 3 Corporate Risks

#### Low Likelihood and Low Impact (1)

| Risk   | Responsible officer | Last reviewed | Summary  |
|--|---------------------|---------------|--|
| S.06 - Failure to implement the Town Centre Plan | Bill Cullen         | Apr 12/13     | Bus Station CPO outcome now confirmed from the SoS given the green light for delivering the Bus Station scheme. Work is being programmed with Tin Hat Partnership to progress implementation of scheme. The Atkins Project continues to perform successfully. A report is being presented to Council on 17 April 2012 to secure additional funding for sub dividing the top floor to accommodate tenant demand. Awaiting confirmation from LCC over implementation of residents parking in the Druid Quarter linked to Atkins and new College development. |

#### Risk opportunity

| Risk   | Responsible officer              | Last reviewed | Summary   |
|--|----------------------------------|---------------|---|
| S.21 - Use of Rolling Revenue Budget Reports for movement of resources | Steve Atkinson - Chief Executive | May 12/13     | Despite uncertainties arising from economy (local and national) and from pending announcements from Government during the remainder of 2012, the opportunities are being taken to identify further efficiencies and plan beyond 2013, using reserves which have been expanded due to around £1m underspend/increased income from 2011/12. This has changed the remit of this opportunity, but in a more positive direction. |