

Appendix 1

| Corporate Plan | Objective | Risk Name | Risk | Background | Likelihood | Impact | Risk Owner | Inherent Risk Score | | | Controls already in place | Residual Risk Score | | | Foreseeable Risk Score | | | Additional actions to mitigate risk (4Ts) | Target Date |
|--------------------------------------|----------------------------|---|---|--|--|---|-----------------|---------------------|--------------|-------|---|---------------------|--------------|-------|------------------------|--------------|-------|---|------------------------|
| | | | | | | | | Likelihood | Impact | Score | | Likelihood | Impact | Score | Likelihood | Impact | Score | | |
| Corporate Priorities | More and better housing | CR03 - Lack of suitable housing numbers and mix of housing | If the town lacks sufficient housing and also does not provide a suitable housing mix, it will not attract or retain residents | The town requires a suitable housing mix to attract new and retain existing residents for an evolving and sustainable community. Supply must be balanced with demand and housing need, taking into account National Housing and Planning policies. As part of that mix, housing for local people that is genuinely affordable remains a high priority for the Council. | Lack of funding to build new homes. Lack of available land. Low land values. Lack of Local Plan (or non-approval due to failure to demonstrate Duty to Cooperate). Reluctance of housing developers to build out approved schemes will limit the supply of affordable housing as a proportion of private developments. Government policy in relation to social housing may limit the supply of affordable housing. | Lack of Local Plan could create lack of local control or direction. Lack of suitable area. Inability to generate sufficient affordable housing. Impact on right population mix. | Andrew Bramidge | Likely (4) | Major (4) | 21 | Local Plan Examination took place March/April 2019 and the inspector's initial report was received in December 2019, proposing his modifications of the Plan with adoption expected summer 2020. Due to the Covid 19 pandemic the consultation period on the modifications to the Local Plan was extended to the end of May. Following this, the Planning Inspectorate asked all local authorities to provide more evidence on household projections and this work took place during July and August. The Inspector's draft final report was received in October and adoption of the Local Plan is now scheduled for the 10 th December Council meeting. | Unlikely (2) | Major (4) | 14 | Unlikely (2) | Major (4) | 14 | Direct delivery of council housing. Delivery of Harlow and Gilton Garden Town will spur the development of a wider housing offer. | |
| | | CR04 - Lack of adequate Council housing | If the Council does not provide adequate Council Housing it will not be able to fulfil housing needs. | Investment in the existing Council Housing stock is required to fulfil housing needs, maintain Decent Homes standards and improve housing conditions and Housing Options for tenants. | Lack of investment in Council Housing stock. Changes in government policy in relation to housing finance affects ability of the Council to maintain Decent Homes Standards. | Lack of suitable mix and quality of Council Housing stock. Increasing numbers on Housing Needs Register. Impact on homelessness. | Andrew Murray | Moderate (3) | Moderate (3) | 13 | Most recently approved Housing development pipeline approved by Cabinet in January 2020 outlines the funding and programmes for Housing delivery which includes Council Housing proportions. Recently approved house repurchase scheme (45) adding additional Council housing stock approved by Cabinet in September 2020. Response to Covid-19 Pandemic currently in place. Recovery Plans being reviewed and aligned to council priorities and governance. Work processes adapted to take account of Covid 19 guidance and risk assessment. Work from home arrangements have been and likely to continue in the short term. Bad debt provision being increased in the short term as benefit claims increase and lock down arrangements continuing | Moderate (3) | Moderate (3) | 13 | Moderate (3) | Moderate (3) | 13 | Proposed implementation of LDP. Approved action Plan from regular Landlord Survey. HTS Group Ltd (H&R Company) governance established in 2018. In March 2020, updated governance approved by Cabinet aligning to regeneration/corporate plan priorities. Implement any proposed changes to HTS Property & Environment/Group Board structure and Housing and Regeneration Strategy. Continuation of planning and modelling of HRA business plan. Programme of purchase, additional capacity provided, established in September 2020 to forward forecast and manage risks to ensure any payback of Right to Buy retained receipts and interest/penalties is minimised by 31 March 2021. | |
| | | CR09 - Provision of repairs, maintenance landscape and streetscene services | If HTS (Property and Environment) Limited is unable to provide its contracted services, then Harlow Council may be unable to comply with its obligations with regards those services | Repairs, maintenance, landscape and streetscene services are currently contracted to HTS (Property and Environment) Limited. If HTS becomes unviable or finds itself unable to provide its contracted services, Harlow Council will need to arrange alternative provision of those contracted services to meet its obligation to residents | Capacity of HTS management to manage contractual obligations within agreed budget. Non-compliance with outsourced statutory obligations. Unsatisfactory delivery of contracted services. Capacity of HDC management to adequately monitor HTS performance. | Significant reputational, contractual and compliance implications if HTS are unable to comply with contracted obligations. Additional costs, fines or penalties from inadequate or unsatisfactory service provision. Financial impact if HDC are required to take management of HTS due to lack of capacity of HTS management. Procurement of new contractor(s) required if HTS became unsustainable as a business. | Andrew Murray | Unlikely (2) | Major (4) | 14 | Recently established Covid-19 recovery plan approved by Member working group September 2020. Updated risk register with Covid-19 implications mitigated in October 2020. Updated Business Continuity Plan reviewed October 2020. Services Agreement 2017/18. Contract wording and specifications confirm contractor requirements. Monthly performance reviews involving Portfolio holders and three year Best Value review. HTS have regular reviews of Efficiency Plan and Risk Register. HTS risk register reviewed quarterly at SMB/HTS quarterly meetings. There are regular Governance Audits to ensure effectiveness and value for money. Last Audit March 2019 with outcome of Substantial Assurance. Response to Covid 19 Pandemic currently in place. Recovery Plans being reviewed and aligned to council priorities and governance. Work processes adapted to take account of Covid 19 guidance and risk assessment. Work from home arrangements have been and likely to continue in the short term. Bad debt provision being increased in the short term as benefit claims increase and | Unlikely (2) | Major (4) | 14 | Unlikely (2) | Major (4) | 14 | Business Continuity Plans required relating to provision of the contracted services. | |
| Regeneration and a thriving economy | | CR02 - The Harlow Offer | If the Harlow Offer is poor, then the town will fail to attract new or retain current businesses | A lack of private sector investment and/or disinvestment by retailers and landowners in the Town Centre could lead to a further decline in its attractiveness as a shopping and leisure destination. The Harlow Offer is key to retaining and attracting new investment in | The macro economic impact on the retail sector is very uncertain. Low land values hinder investment. The retail sector has been significantly affected by Covid 19, and is unlikely to return to the position prior to the outbreak. | Delays or failure to deliver regeneration. Damaged reputation and perception towards the town. Potential loss of jobs and employment. Reduction in amount of income to the Council. | Jane Greer | Moderate (3) | Major (4) | 18 | Town centre improvements. Housing mix. Enterprise Zone delivery lead. Economic Development Strategy. Discover Harlow Campaign. Bid for Future High Street Fund funding submitted in July 2020. Town Investment Plan submitted 30/1/20. Government grants may support some businesses | Moderate (3) | Moderate (3) | 13 | Moderate (3) | Moderate (3) | 13 | Continued work with ECC to deliver road and transport infrastructure improvements. Develop forward plan for improving transport infrastructure in Harlow. Take forward EZ skills plan to support development of a skilled workforce. Town Centre public realm improvements. | |
| Wellbeing and social inclusion | | CR05 - Inability to fulfill Community Wellbeing role | If the Council is unable to fulfil its community wellbeing role, then partnering and strategic opportunities may be lost, impacting on strategic plans and the future of discretionary | Discretionary services are dependent upon the Council's community leadership role which relies to some extent on co-production and co-operation of other agencies and organisations | Health and wellbeing of the community could be affected due to inability to bring together partners and agencies to deliver adequate services. Discretionary services budget likely to be restricted or removed. | Residents unable to access adequate services. Frustration of community cohesion. Perception of Harlow Offer could deteriorate. | Jane Greer | Moderate (3) | Moderate (3) | 13 | Health and Wellbeing Strategy. Safer Harlow Partnership. Regeneration Strategy | Moderate (3) | Moderate (3) | 13 | Unlikely (2) | Moderate (3) | 9 | Crime and anti-social behaviour partnerships. Communications Plan (e.g. to tackle perceptions). Review of financial sustainability and delivery models of discretionary services. Mental Health Strategy. | |
| A Clean and green environment | | CR06 - Lack of Resources and Capacity, Council and key partners | If the resources and capacity of the Council and key partners are diminished, the Council may not be able to fulfil its community aspirations | Tension between expectations of residents, priorities and resources available for street cleaning, waste & recycling, unadopted highways maintenance & landscaping requires careful prioritisation and management of expectations | Lack of resources and/or capacity deliver services, failure to communicate objectives and initiatives, customer expectations not managed | Environmental services actions delayed, recycling rates stagnate or diminish. Resources diverted to reactive rather than proactive actions e.g. increase fly tipping. Reduced resident satisfaction. | Andrew Bramidge | Moderate (3) | Major (4) | 18 | Essex Waste Management Plan, Waste Collection Contract, Street Scene 'contract' with HTS, Landscapes 'contract' with HTS (however due to Covid 19 much of the landscape programme was frozen in mid-March), Town Park regeneration project. NEPP. New Landscape Officer post recruited in January 2020. | Moderate (3) | Major (4) | 18 | Unlikely (2) | Moderate (3) | 9 | Devise and implement new project plan for landscape and streetscene maintenance and improvement. Implement actions from resident satisfaction surveys and budget survey, increase transparency, Communications Strategy. (Continue review of scope and spec of services). Work with HTS to re-implement landscape programme frozen by Covid-19 | |
| | | CR09 - Provision of repairs, maintenance landscape and streetscene services | If HTS (Property and Environment) Limited is unable to provide its contracted services, then Harlow Council may be unable to comply with its obligations with regards those services | Repairs, maintenance, landscape and streetscene services are currently contracted to HTS (Property and Environment) Limited. If HTS becomes unviable or finds itself unable to provide its contracted services, Harlow Council will need to arrange alternative provision of those contracted services to meet its obligation to residents | Capacity of HTS management to manage contractual obligations within agreed budget. Non-compliance with outsourced statutory obligations. Unsatisfactory delivery of contracted services. Capacity of HDC management to adequately monitor HTS performance. | Significant reputational, contractual and compliance implications if HTS are unable to comply with contracted obligations. Additional costs, fines or penalties from inadequate or unsatisfactory service provision. Financial impact if HDC are required to take management of HTS due to lack of capacity of HTS management. Procurement of new contractor(s) required if HTS became unsustainable as a business. | Andrew Murray | Unlikely (2) | Major (4) | 14 | Recently established Covid-19 recovery plan approved by Member working group September 2020. Updated risk register with Covid-19 implications mitigated in October 2020. Updated Business Continuity Plan reviewed October 2020. Services Agreement 2017/18. Contract wording and specifications confirm contractor requirements. Monthly performance reviews involving Portfolio holders and three year Best Value review. HTS have regular reviews of Efficiency Plan and Risk Register. HTS risk register reviewed quarterly at SMB/HTS quarterly meetings. There are regular Governance Audits to ensure effectiveness and value for money. Last Audit March 2019 with outcome of Substantial Assurance. Response to Covid 19 Pandemic currently in place. Recovery Plans being reviewed and aligned to council priorities and governance. Work processes adapted to take account of Covid 19 guidance and risk assessment. Work from home arrangements have been and likely to continue in the short term. Bad debt provision being increased in the short term as benefit claims increase and | Unlikely (2) | Major (4) | 14 | Unlikely (2) | Major (4) | 14 | Business Continuity Plans required relating to provision of the contracted services. | |
| Successful children and young people | | CR07 - Ability to support children and family aspirations | If we are unable to support children and young people's (and their families) aspirations, this will adversely impact the skills and educational attainment of school | Engagement of young people (and their families) and opportunities for all in education employment and the community will provide opportunities to raise aspirations and the current skill | Lack of leisure opportunities for children; youth services; health services; clubs e.g. scouts. Low levels of 'school readiness'. | Lack of educational attainment and aspirations leading to restriction in future employment opportunities for school leavers. | Jane Greer | Moderate (3) | Moderate (3) | 13 | Signposting for residents (often through ECC), Partner agencies (statutory, voluntary, schools), promotion of and support to UTC, ARU and college, Youth Council, Harlow School Readiness project and other similar initiatives. Ensure council activities are available "virtually" | Unlikely (2) | Moderate (3) | 9 | Unlikely (2) | Moderate (3) | 9 | Support creation and development of apprenticeships for young people. Engage with a range of partners to support families with complex needs. The Harlow School Readiness project has been extended across town | |
| Corporate Principles | Being the Community Leader | CR10 - Inability to fulfill Community Leadership role | If the Council is unable to fulfil its community leadership role, then partnering and strategic opportunities may be lost | The Council should take a leading role in promoting Harlow as a great place to live and work, and to champion the need for new infrastructure to enable Harlow to | Lack of lobbying, promotion and funding. Lack of buy-in from stakeholders and partners | Stagnation, lack of town development and growth, lack of identity and recognition | Brian Keane | Likely (4) | Major (4) | 21 | Climate Emergency measures, lobbying for new infrastructure e.g. hospital, road network. Town Centre Improvements and funding Town Centre Award | Unlikely (2) | Major (4) | 14 | Unlikely (2) | Major (4) | 14 | Continue to lobby and liaise with stakeholders | |
| | Sound Resource Management | CR01 - Financial Resilience | If a sustainable budget is not secured, then the Council will lack financial resilience | The Government's fiscal policy in respect of deficit reduction reducing public sector funding combined with the Council's limited ability to raise income could result in the Council's financial resilience being at risk. In addition uncertainty exists in respect of the Government's plans for local government funding reform and business rates retention | Options for increasing revenue to enable the Council to compensate for reduced Government Funding are becoming extremely limited. Given the budget reductions already made further budget savings will be extremely challenging if services are to be protected. Pressures are now evident not only in the General Fund but also the Housing Revenue Account as a result of Government policy on rents. | The impact of any further significant budget cuts to enable a balanced budget to be delivered could have a major impact on delivery of the Council's corporate objectives. Over the period of the MTF5 there could be an impact on Council's ability to meet statutory responsibilities and community aspirations in respect of discretionary services. | Simon Freeman | Likely (4) | Major (4) | 21 | Development of the Council's MTF5 and the detailed planning of future budgets is now undertaken early in the financial year and is an on-going process rather than an annual review and is linked with the monthly Budget Monitoring process. The council has approved a three year MTFP which reflects that there are very small projected budget gaps over the period 2020/21 - 2022/23 subject to the outcomes of the anticipated Government funding review. | Moderate (3) | Major (4) | 18 | Moderate (3) | Moderate (3) | 13 | Whilst the pressures generated in the Council's grant income are largely driven by Government policy the financial situation continues to be monitored at a high frequency. The Administration will continue to be provided with detailed financial information and will be appropriately supported in reaching decisions upon how these financial challenges can be faced. | |
| | Equalities and Fairness | CR08 - Equality and Diversity | If the Council does not promote Equalities and Fairness, then residents and employees may not enjoy an environment that is free from discrimination, harassment, victimisation and bullying | The aims of equality and diversity are to ensure that everyone has access to the same opportunities and the same, fair treatment. The Council is committed to improving the outcomes for all and preventing any form of discrimination and works to meet all its legal duties under the Equality Act 2010 regarding equality | Decision making not open, transparent or fair. Lack of recognition of diversity of Harlow Reputation | Discrimination, harassment and victimisation and other conduct prohibited by the Equality Act. | Brian Keane | Almost Certain (5) | Major (4) | 23 | Corporate Equalities Policy Safeguarding Policies and Training Equality training for all Officers and Councillors Partnership working with the Health and Wellbeing Board Procurement Strategy reflects values of Fairness and Equality Men's Shed project 'time credit' scheme in conjunction with Essex County Promotion of volunteering amongst Harlow's residents. | Moderate (3) | Major (4) | 18 | Moderate (3) | Major (4) | 18 | Implement the Corporate Equalities Action Plan Publication of information relating to people who share protected characteristics who are employees and people affected by the Council's policies and procedures. Implement recommendations from the Religious Diversity Working Party. | Annual review 31/03/21 |

Revised Corporate Risk Register for Harlow District Council

| Corporate Plan | Objective | Risk Name | Risk | Background | Likelihood | Impact | Risk Owner | Likelihood | Impact | Score | Controls already in place | Likelihood | Impact | Score | Likelihood | Impact | Score | Additional actions to mitigate risk (4Ts) | Target Date |
|------------------------|-------------------------|--|--|--|--|---|-------------|--------------------|------------------|-------|---|--------------|--------------|-------|--------------|--------------|-------|---|--|
| New Corporate Priority | Resilience and recovery | CR11 - Business Resilience | If the Council does not have adequate Business Continuity arrangements, then it may struggle to recover from disasters or emergencies | Having a comprehensive Business Continuity Plan ensures the Council is prepared for emergencies or business disruption events, facilitates protection of essential assets, minimises potential for loss of life and property and integrates multiple plans and procedures, thereby helping key stakeholders to make informed decisions and ensure timely recovery. | Meteorological (e.g. extreme temperatures - hot and cold- flood, lightning, snow and ice, storms); Biological (Food-borne illnesses, Infectious/communicable/epidemic/pandemic diseases); Accidental Cause (building/structure collapse, entrapment, explosion/fire, fuel/resource shortage, hazardous material spill r release, equipment failure,transporation incident, unavailability of key employees); Intentional Cause (arson, bomb threat, demonstrations/civil disturbance/riot, acts of war, cyber security incidents, robbery/theft/fraud,strike or labour dispute, suspicious package, terrorism, vandalism/sabotage); Technological (Hardware, software and network connectivity interruption, disruption or failure, utility interruption, disruption or failure). | People (Employees, Residents); Property (Civic Buildings, Housing, Commercial Property); Operations; Statutory Duties; Environment; Supply Chains, Reputation | Brian Keane | Almost Certain (5) | Major (4) | 23 | Emergency Planning, Business Continuity Plans including Disaster Recovery, Insurance Policies including Terrorism, Property maintenance plans, Engineering Inspection Contract, Statutory Testing of equipment, heating systems, electrical, Fire Risk Assessments, Cyber Security | Moderate (3) | Moderate (3) | 13 | Moderate (3) | Moderate (3) | 13 | BCP Training/communication/Testing | Weekly Review during Covid-19 Recovery phase |
| | | CR11a - Business Resilience: meteorological events | If the Council does not have adequate Business Continuity arrangements in respect of adverse weather, then it may suffer business interruption or disruption when such an event occurs | Natural weather events cannot be controlled. Therefore, the council should be prepared through Business Continuity Planning and adequate risk management for adverse weather conditions which could affect property, disrupt council operations or necessitate council's assistance to affected members. | Meteorological (e.g. extreme temperatures - hot and cold- flood, lightning, snow and ice, storms) | People (Employees, Residents); Property (Civic Buildings, Housing, Commercial Property); Operations; Statutory Duties; Environment; Supply Chains, Reputation | Brian Keane | Moderate (3) | Minor (2) | 8 | Winter weather plans | Moderate (3) | Minor (2) | 8 | Moderate (3) | Minor (2) | 8 | | |
| | | CR11b - Business Resilience: biological events | If the Council does not have adequate Business Continuity arrangements in respect of illnesses and disease, then it may suffer business interruption or disruption when such an event occurs | The council should be prepared for biological risks such as food-borne illnesses and infectious/communicable diseases/pandemics to minimise disruption to council operations and coordinate local response where required. | Biological (Food-borne illnesses, Infectious/communicable/epidemic/pandemic diseases) | Employees and residents could become ill. Civic and commercial buildings may need to be shut, have restricted access or be repurposed. Housing property may be subject to restrictions, rules or guidelines; Operations may be affected; Statutory Duties may be more difficult to fulfil; Supply Chains may be affected; Reputation may be affected. | Brian Keane | Almost Certain (5) | Major (4) | 23 | Covid-19 Response and Internal Recovery Group Cross party COVID-19 Recovery Working group Risk Assessments, working from home guidance Environmental Health operations (foodborne illnesses, such as salmonella or E. Coli, can usually be minimised by correct food processing and handling techniques) | Moderate (3) | Moderate (3) | 13 | Moderate (3) | Moderate (3) | 13 | Continue to monitor Covid-19 situation and Government direction Develop Covid-19 response and recovery plans for generic epidemic/pandemic event | Weekly Review during Covid-19 Recovery phase |
| | | CR11c - Business Resilience: accidental cause | If the Council does not have adequate Business Continuity arrangements in respect of accidental events, then it may suffer business interruption or disruption when such an event occurs | Human-Caused risks vary degrees of severity. Accidental Human-Caused events can be avoided or mitigated through adequate risk management and adherence to standards plus adequate business continuity arrangements. | Accidental Cause (building/structure collapse, entrapment, explosion/fire, fuel/resource shortage, hazardous material spill release, equipment failure,transporation incident, unavailability of key employees) | People (Employees, Residents) may be locked out of buildings. People could be injured; Property could be damaged; Operations could be restricted; Statutory Duties may be more difficult to achieve; Environment could suffer; Supply Chains might be disrupted; Reputation could be affected. | Brian Keane | Unlikely (2) | Catastrophic (5) | 19 | Property maintenance plans Electrical and Gas statutory inspections Engineering Inspection Contract Insurance Policies Emergency Planning Fire Safety Plans | Unlikely (2) | Moderate (3) | 9 | Unlikely (2) | Moderate (3) | 9 | | |
| | | CR11d - Business Resilience: intentional cause | If the Council does not have adequate Business Continuity arrangements in respect of intentional or malicious events, then it may suffer business interruption or disruption when such an event occurs | Human-Caused risks vary degrees of severity. Intentional Human-Caused events can be difficult to predict and minimize but business continuity arrangements may minimise disruption or interruption to operations if such an event occurs. | Intentional Cause (arson, bomb threat, demonstrations/civil disturbance/riot, acts of war, cyber security incidents, robbery/theft/fraud,strike or labour dispute, suspicious package, terrorism, vandalism/sabotage) | People (Employees, Residents) may be locked out of buildings or locked in. Employees could be attacked; Property may be attacked and damaged; Operations could be restricted; Statutory Duties may be more difficult to achieve; Environment could suffer; Supply Chains might be disrupted; Data breach could occur; Reputation could suffer | Brian Keane | Rare (1) | Moderate (3) | 6 | Emergency Planning Disaster Recovery Plans Terrorism Insurance | Rare (1) | Moderate (3) | 6 | Rare (1) | Moderate (3) | 6 | | |
| | | CR11e - Business Resilience: technological events | If the Council does not have adequate Business Continuity arrangements in respect of the technology it uses, then it may suffer business interruption or disruption when such an event occurs | Technological risks to business are increasingly common due to a growing reliance on technology. The council should ensure it has necessary prevention measures in place and effective plans to minimise disruption or interruption to operations | Technological (Hardware, software and network connectivity interruption, disruption or failure, utility interruption, disruption or failure) | Employees may be unable to connect to systems. Council may be unable to provide online services. Residents may be unable to access website, contact the council or make payments to the council; Operations may be affected; Reputation | Brian Keane | Moderate (3) | Moderate (3) | 13 | Disaster Recovery plans IT Maintenance and security testing (preventative measures) Back-up generator and testing Computer insurance | Unlikely (2) | Minor (2) | 5 | Unlikely (2) | Minor (2) | 5 | Further IT systems improvements to increase resilience. Continue to maintain and upgrade existing software and hardware. | |