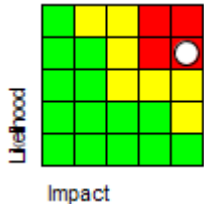
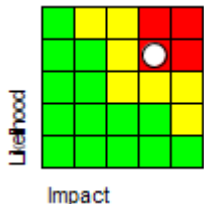
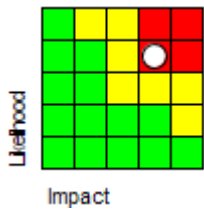
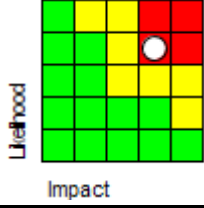


## Overview of Corporate Level Risks

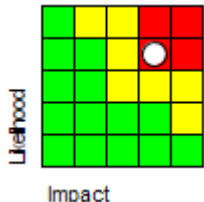
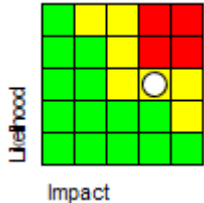
## Appendix A

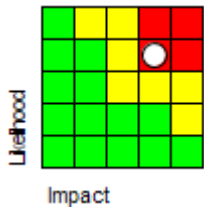
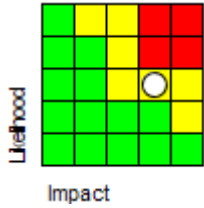
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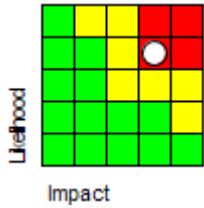
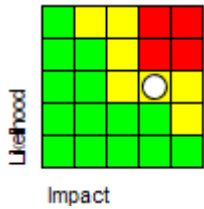
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| <b>Risk Title</b>        | Impact on financial position as a result of lack of certainty around future funding streams (i.e., Business Rates, Fair Funding, New Homes Bonus and Council Tax Equalisation), and cost of living crisis.  | <b>Uncontrolled Risk Score</b>       |    | <b>20</b> |
| <b>Risks Category</b>    | Financial   | <b>Current Controlled Risk Score</b> |    | <b>16</b> |
| <b>Internal Controls</b> | <ul style="list-style-type: none"> <li>• Awareness &amp; Understanding of national policy changes</li> <li>• Balanced budget approved</li> <li>• Deliver Action Plan of Commercialisation Strategy</li> <li>• Maintain an awareness of changing priorities</li> <li>• MTFS in place</li> <li>• Strategy to maximise growth of Business Rates</li> <li>• Working with significant partners</li> <li>• Maintain adequate level of reserves . Financial plan now in place with measures to reduce the budget gap.</li> </ul> | <b>Latest Note</b>                   | No change to current risk rating. Government have not yet commenced their planned consultation and it is widely expected that any changes to the current funding formula will be delayed by a further year. |           |
|                          |   | <b>Latest Note Date</b>              | 06 Sep 2023   |           |

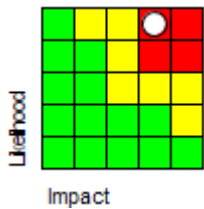
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| <b>Risk Title</b>        | <b>Closure, downsizing of premises or relocation of a major district employer which may cause significant unemployment, retraining requirements, and a potential loss of Business Rates</b>  | <b>Uncontrolled Risk Score</b>       |    | <b>16</b> |
| <b>Risks Category</b>    | Financial  | <b>Current Controlled Risk Score</b> |    | <b>16</b> |
| <b>Internal Controls</b> | <ul style="list-style-type: none"> <li>• Review the Council's Economic Development Strategy and resources</li> <li>• Develop the work and skills capacity</li> <li>• Engage regularly with businesses to understand requirements</li> <li>• Work with authorities, landowners, developers &amp; agents</li> <li>• Work with LLEP to secure funding for business development initiatives &amp; schemes</li> </ul> | <b>Latest Note</b>                   | Whilst larger employers account for a small proportion of businesses within the district, the impact of closure or relocation is significant. At present we are not aware of any potential threats to the current position. |           |
|                          |  | <b>Latest Note Date</b>              | 06 Sep 2023   |           |

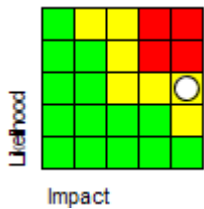
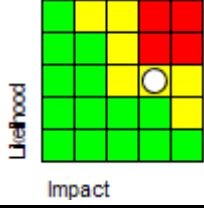
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| <b>Risk Title</b>        | <b>Failure of Leicestershire Building Control Partnership to Meet Financial Position Forecast in the Business Plan</b> | <b>Uncontrolled Risk Score</b>       |   | <b>20</b> |
| <b>Risks Category</b>    | Contractual / Financial / Partnership / Political / Reputational   | <b>Current Controlled Risk Score</b> |   | <b>16</b> |
| <b>Internal Controls</b> |  | <b>Latest Note</b>                   | <p>The current economic climate and downturn in the housing market have led to a significant reduction in demand for Building Control services. This in turn means that income is likely to fall short of the budget by as much as £200,000. Whilst this loss may be partially offset by vacancy savings, it will inevitably lead to an increased net cost of service to all partners. Although a similar result would be expected if there was no partnership in place, it can be expected that partner authorities will raise concerns over performance.</p> |           |
|                          |  | <b>Latest Note Date</b>              | 10 Sep 2023  |           |

|                          |  |                                      |   |           |
|--------------------------|--|--------------------------------------|---|-----------|
| <b>Risk Title</b>        | <b>Failure to recruit and retain the right people for the right jobs</b>   | <b>Uncontrolled Risk Score</b>       |    | <b>16</b> |
| <b>Risks Category</b>    | Professional   | <b>Current Controlled Risk Score</b> |    | <b>12</b> |
| <b>Internal Controls</b> | <ul style="list-style-type: none"> <li>• Learning and development provision, including skills and training needs analysis</li> <li>• Supporting Employee Performance policies and practices</li> <li>• Workforce planning including succession planning and use of market supplements where applicable.</li> </ul> | <b>Latest Note</b>                   | Whilst the overall recruitment picture has improved, some services continue to suffer in terms of availability of required skill set, including Finance, Council Tax and Benefits, Building Control, and ICT. |           |
|                          |  | <b>Latest Note Date</b>              | 06 Sep 2023   |           |

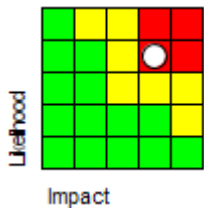
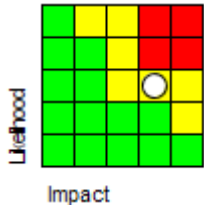
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| <b>Risk Title</b>        | <b>Failure to provide affordable housing and supporting infrastructure in the district in line with identified need.</b>  | <b>Uncontrolled Risk Score</b>       |  | <b>16</b> |
| <b>Risks Category</b>    | Political   | <b>Current Controlled Risk Score</b> |  | <b>12</b> |
| <b>Internal Controls</b> | <ul style="list-style-type: none"> <li>• Agreement on countywide housing distribution</li> <li>• Council adoption of appropriate housing needs policies</li> <li>• Feedback to consultation processes</li> <li>• Input into Strategic Planning Groups</li> <li>• Review of options to deliver affordable housing &amp; balanced housing market</li> </ul> | <b>Latest Note</b>                   | No change to existing rating.   |           |
|                          |   | <b>Latest Note Date</b>              | 06 Sep 2023   |           |

|                          |  |                                      |   |           |
|--------------------------|--|--------------------------------------|---|-----------|
| <b>Risk Title</b>        | <b>Structural, legislative and budgetary changes in other Public Sector organisations (e.g. DWP, Health, Police, Leicestershire CC).</b>                         | <b>Uncontrolled Risk Score</b>       |    | <b>16</b> |
| <b>Risks Category</b>    | Financial / Social   | <b>Current Controlled Risk Score</b> |    | <b>12</b> |
| <b>Internal Controls</b> | <ul style="list-style-type: none"> <li>• Maintain awareness &amp; respond to implications of emerging changes in public sector delivery organisations</li> </ul> | <b>Latest Note</b>                   | No change to rating but financial position of County Council represents a potential threat to funding of Blaby initiatives. |           |
|                          |  | <b>Latest Note Date</b>              | 06 Sep 2023   |           |

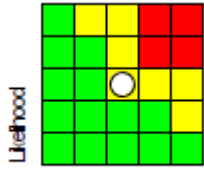
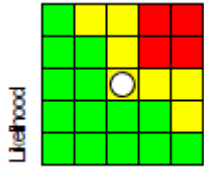
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| <b>Risk Title</b>        | <b>Cost of living crisis leading to increased demand for services.</b>   | <b>Uncontrolled Risk Score</b>       |                               | <b>20</b> |
| <b>Risks Category</b>    | Financial / Social   | <b>Current Controlled Risk Score</b> |                               | <b>12</b> |
| <b>Internal Controls</b> | <ul style="list-style-type: none"> <li>• CAB service * Earmarked reserve in place to support cases of serious hardship.</li> <li>• Communication with food banks to be able to provide support</li> <li>• Supporting residents in times of crisis</li> <li>• Grant funding available from government as part of Energy Bill Support Scheme (additional funding and alternative fuels)</li> </ul> | <b>Latest Note</b>                   | No change to risk although the recruitment of a new Welfare Support Officer represents an additional mitigation. |           |
|                          |  | <b>Latest Note Date</b>              | 06 Sep 2023  |           |

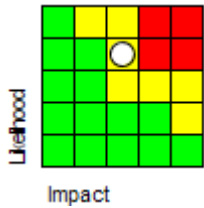
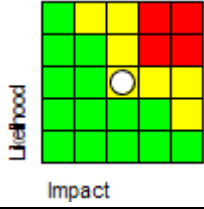
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| <b>Risk Title</b>        | <b>Huncote Leisure Centre and surrounding site - risk of elevated levels of methane from landfill site.</b>   | <b>Uncontrolled Risk Score</b>       |                | <b>15</b> |
| <b>Risks Category</b>    | Financial / Reputational / Health & Safety  | <b>Current Controlled Risk Score</b> |                | <b>12</b> |
| <b>Internal Controls</b> | <ul style="list-style-type: none"> <li>• Additional monitoring and venting wells installed.</li> <li>• Rear of site remains closed pending completion and monitoring of new boreholes.</li> <li>• Regular communication with partners on site.</li> </ul> | <b>Latest Note</b>                   | Trenching works around leisure centre are in progress. RAG rating to be reviewed upon completion. |           |
|                          |   | <b>Latest Note Date</b>              | 06 Sep 2023   |           |

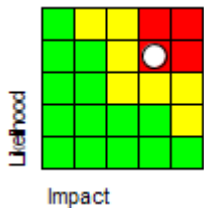
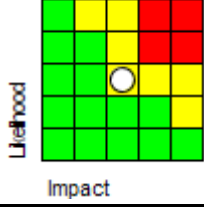


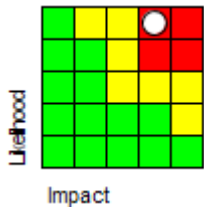
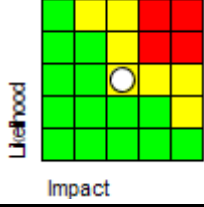
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| <b>Risk Title</b>        | <b>Officer and Member welfare is impacted by ongoing service demand and financial pressures</b>  | <b>Uncontrolled Risk Score</b>       |  | <b>16</b> |
| <b>Risks Category</b>    | Physical   | <b>Current Controlled Risk Score</b> |  | <b>12</b> |
| <b>Internal Controls</b> | <ul style="list-style-type: none"> <li>• Policies and procedures being revised and reviewed together with guidance documents for staff and managers</li> <li>• Employee helpline in place</li> <li>• Continuous review with teams and individuals</li> <li>• Being flexible with working policies.</li> <li>• Member Induction Programme.</li> </ul> | <b>Latest Note</b>                   | No change   |           |
|                          |  | <b>Latest Note Date</b>              | 06 Sep 2023   |           |

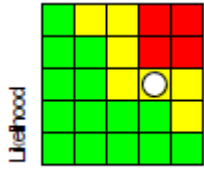
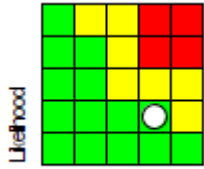
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| <b>Risk Title</b>        | <b>District Partners Do Not Accept the Increased Financial Cost Arising From New Lightbulb Contract</b>   | <b>Uncontrolled Risk Score</b>       |    | <b>16</b> |
| <b>Risks Category</b>    | Contractual / Financial / Partnership / Political / Reputational  | <b>Current Controlled Risk Score</b> |    | <b>12</b> |
| <b>Internal Controls</b> | Regular board meetings in place; recognition of partners' financial position; regular monitoring of budget; meetings held with partners as part of the contract planning process; inclusion on Internal Audit Plan. | <b>Latest Note</b>                   | Blaby is in the process of reviewing the partnership structure ahead of contract renewal in April 2024. As part of the process, Blaby is looking to seek full recovery of its overheads incurred in hosting Lightbulb. Partners have consistently that they are not able to accept an increase in costs other than those that reflect pay increases. There is a risk that this could lead to the partnership being unsustainable going forward. |           |
|                          |   | <b>Latest Note Date</b>              | 10 Sep 2023   |           |

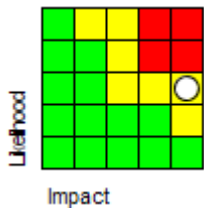
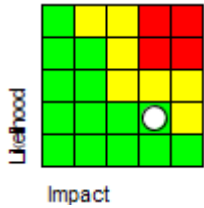
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| <b>Risk Title</b>        | <b>Engagement of elected members negatively impacting on decision making process</b>  | <b>Uncontrolled Risk Score</b>       |   | <b>9</b> |
| <b>Risks Category</b>    | Political   | <b>Current Controlled Risk Score</b> |   | <b>9</b> |
| <b>Internal Controls</b> | <ul style="list-style-type: none"> <li>• Cabinet &amp; Leader awareness and development</li> <li>• Code of conduct</li> <li>• Member development strategy/ supporting roles &amp; responsibilities</li> <li>• Recruitment/member succession</li> <li>• Audit &amp; Corporate Governance Committee</li> <li>• Training/Cabinet development</li> <li>• Induction Programme for new members</li> </ul> | <b>Latest Note</b>                   | Not all new members have committed to meetings or attended planned training. This could lead to issues regarding proper decision making. |          |
|                          |   | <b>Latest Note Date</b>              | 06 Sep 2023  |          |

|                          |  |                                      |   |           |
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| <b>Risk Title</b>        | That the Council is unable to deliver a new local plan and cannot identify 5 years worth of housing land required by National Policy, which could make relevant local policies out of date when determining planning applications. | <b>Uncontrolled Risk Score</b>       |  | <b>12</b> |
| <b>Risks Category</b>    | Social   | <b>Current Controlled Risk Score</b> |  | <b>9</b>  |
| <b>Internal Controls</b> | <ul style="list-style-type: none"> <li>• To identify additional sites for residential development through the Delivery DPD</li> <li>• To release appropriate sites for residential development</li> </ul>                          | <b>Latest Note</b>                   | No change to existing rating.   |           |
|                          |  | <b>Latest Note Date</b>              | 06 Sep 2023   |           |

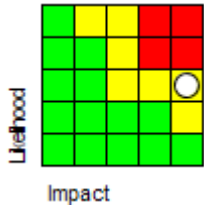
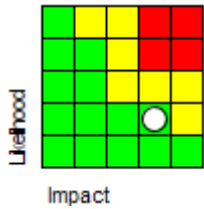
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| <b>Risk Title</b>        | <b>Failure to provide appropriate temporary accommodation for homeless households</b> | <b>Uncontrolled Risk Score</b>       |    | <b>16</b> |
| <b>Risks Category</b>    |   | <b>Current Controlled Risk Score</b> |    | <b>9</b>  |
| <b>Internal Controls</b> | Continue to source alternative provision of temporary accommodation in the District.  | <b>Latest Note</b>                   | Reviewed by Corporate Risk Group 5th September. Slight fall in numbers but demand and complexity remains high compared to pre-pandemic. External funding of circa £1.4m secured to provide 11 additional temporary housing units. |           |
|                          |   | <b>Latest Note Date</b>              | 06 Sep 2023   |           |

|                          |  |                                      |  |           |
|--------------------------|--|--------------------------------------|--|-----------|
| <b>Risk Title</b>        | <b>Impact of Industrial Action on Services &amp; Residents</b>   | <b>Uncontrolled Risk Score</b>       |   | <b>20</b> |
| <b>Risks Category</b>    | Environmental / Financial / Reputational   | <b>Current Controlled Risk Score</b> |   | <b>9</b>  |
| <b>Internal Controls</b> | Alternative workforce where possible; mental health support in place; arbitration measures; regular communication to staff, members, and residents; SLT presence at depot. | <b>Latest Note</b>                   | Planned industrial action scheduled for July was averted after negotiation. The original ballot result means that further industrial action could take place up to December, but the Council has agreed with the union to look at various working practices so likelihood appears to have reduced. |           |
|                          |  | <b>Latest Note Date</b>              | 06 Sep 2023  |           |

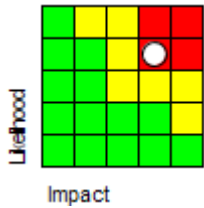
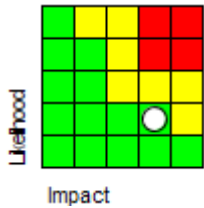
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| <b>Risk Title</b>        | Blaby District Plan is not deliverable within available resources. If we do not deliver the corporate objectives the quality of life of residents and those who work in the district will not be improved.  | <b>Uncontrolled Risk Score</b>       | <br>Likelihood<br>Impact | 12 |
| <b>Risks Category</b>    | Political   | <b>Current Controlled Risk Score</b> | <br>Likelihood<br>Impact | 8  |
| <b>Internal Controls</b> | <ul style="list-style-type: none"> <li>• All service plans aligned to Blaby District Plan objectives</li> <li>• Be clear about expected outcomes</li> <li>• Monitor delivery of Blaby District Plan</li> <li>• Review Blaby District Plan priorities regularly</li> </ul> | <b>Latest Note</b>                   | New plan under development.   |    |
|                          |   | <b>Latest Note Date</b>              | 06 Sep 2023   |    |

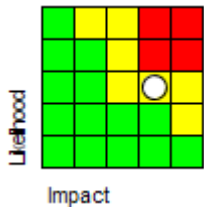
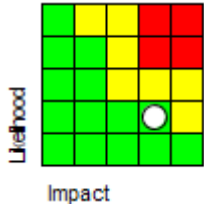
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| <b>Risk Title</b>        | <b>Failure to have effective safeguarding arrangements and a plan in place to safeguard children and vulnerable adults may place people in danger</b>  | <b>Uncontrolled Risk Score</b>       |                                 | <b>15</b> |
| <b>Risks Category</b>    | Competitive / Reputational / Social  | <b>Current Controlled Risk Score</b> |                                 | <b>8</b>  |
| <b>Internal Controls</b> | <ul style="list-style-type: none"> <li>• Active Member of District DSO Group</li> <li>• Continuous training of designated officers, review of policies</li> <li>• Ensuring enough trained officers are available</li> <li>• Policies in place and effectively communicated to staff</li> </ul> | <b>Latest Note</b>                   | No change to risk score. Numbers of cases not increasing although the complexity of issues arising is on the rise. |           |
|                          |  | <b>Latest Note Date</b>              | 06 Sep 2023  |           |

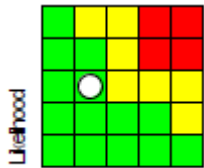
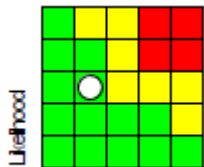


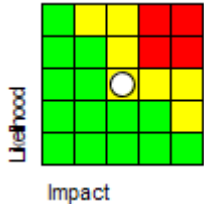
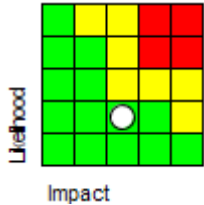
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| <b>Risk Title</b>        | Failure to ensure adherence to internal control arrangements would leave the council open to fraud, affecting reputation and breaches of the council's procedures, policies and legal responsibilities.  | <b>Uncontrolled Risk Score</b>       |  | <b>15</b> |
| <b>Risks Category</b>    | Fraud / Legal  | <b>Current Controlled Risk Score</b> |  | <b>8</b>  |
| <b>Internal Controls</b> | <ul style="list-style-type: none"> <li>• Anti Fraud &amp; Corruption/Benefit Fraud policies reviewed &amp; adopted. Staff/Member training</li> <li>• Employees adhere to governance procedures</li> <li>• Ensure we do not employ staff with false records</li> <li>• Use of NAFN bulletins to maintain awareness of latest threats</li> <li>• Policies and procedures ensure segregation of duties</li> </ul> | <b>Latest Note</b>                   | No change.  |           |
|                          |  | <b>Latest Note Date</b>              | 06 Sep 2023   |           |

|                          |  |                                      |   |           |
|--------------------------|--|--------------------------------------|---|-----------|
| <b>Risk Title</b>        | <b>Lack of effective Emergency Planning and Business Continuity arrangements</b>   | <b>Uncontrolled Risk Score</b>       |    | <b>15</b> |
| <b>Risks Category</b>    | Professional   | <b>Current Controlled Risk Score</b> |    | <b>8</b>  |
| <b>Internal Controls</b> | <ul style="list-style-type: none"> <li>• All key EP &amp; BC documents on Resilience Direct</li> <li>• Internal EP &amp; BC working group meeting</li> <li>• Periodic training with SLT &amp; key officers of plans</li> <li>• Out of hours Emergency Contact Centre Contract (First Call)</li> <li>• Partnership with the Leicestershire Resilience Forum</li> <li>• Senior Leadership Team On Call Rota</li> </ul> | <b>Latest Note</b>                   | Recent internal audit report gave a satisfactory rating. Blaby's experience in handling major emergencies, such as the landfill gas issue at Huncote, sets us in good stead for handling similar incidents. |           |
|                          |  | <b>Latest Note Date</b>              | 06 Sep 2023   |           |

|                          |   |                                      |   |           |
|--------------------------|---|--------------------------------------|---|-----------|
| <b>Risk Title</b>        | <b>Failure to identify, record, monitor and report health and safety risks.</b>   | <b>Uncontrolled Risk Score</b>       |    | <b>16</b> |
| <b>Risks Category</b>    | Physical  | <b>Current Controlled Risk Score</b> |    | <b>8</b>  |
| <b>Internal Controls</b> | <ul style="list-style-type: none"> <li>• Effective Health &amp; Safety Committee</li> <li>• Effective Health &amp; Safety procedures</li> <li>• Service blueprints</li> </ul> | <b>Latest Note</b>                   | There is an increased perception of aggression towards staff. Working group established to review procedures, and training to be scheduled to look at de-escalation methods and awareness of complex needs and self-harm. |           |
|                          |   | <b>Latest Note Date</b>              | 06 Sep 2023   |           |

|                          |  |                                      |  |           |
|--------------------------|--|--------------------------------------|--|-----------|
| <b>Risk Title</b>        | <b>Budgetary pressures prevent us from achieving our 2030 net zero carbon reduction target.</b>  | <b>Uncontrolled Risk Score</b>       |   | <b>12</b> |
| <b>Risks Category</b>    | Environmental / Financial / Reputational   | <b>Current Controlled Risk Score</b> |   | <b>8</b>  |
| <b>Internal Controls</b> | <ul style="list-style-type: none"> <li>• Carbon reduction action plan in place.</li> <li>• Dedicated officer working on "green" initiatives..</li> <li>• Cross service working group in place to maintain high profile and awareness.</li> <li>• Fleet replacement strategy under review.</li> </ul> | <b>Latest Note</b>                   | No change although it is recognised that there is often a significant cost attached to the achievement of net zero measures. |           |
|                          |  | <b>Latest Note Date</b>              | 06 Sep 2023  |           |

|                          |  |                                      |  |          |
|--------------------------|--|--------------------------------------|--|----------|
| <b>Risk Title</b>        | <b>Failure to comply with legislation, resulting in us not meeting our statutory obligations</b><br><b>The organisation promotes and demonstrates the principles and values of good governance</b>   | <b>Uncontrolled Risk Score</b>       |   | <b>6</b> |
| <b>Risks Category</b>    | Legal  | <b>Current Controlled Risk Score</b> |   | <b>6</b> |
| <b>Internal Controls</b> | <ul style="list-style-type: none"> <li>• Constitution regularly reviewed and kept up to date</li> <li>• Annual Governance Statement</li> <li>• Independent Member Committees</li> <li>• Skilled workforce</li> <li>• Training/CPD</li> </ul> | <b>Latest Note</b>                   | Slight increase in risk due to loss of experienced staff and competing demands potentially leading to governance processes not being followed. |          |
|                          |  | <b>Latest Note Date</b>              | 06 Sep 2023  |          |

|                          |   |                                      |   |          |
|--------------------------|---|--------------------------------------|---|----------|
| <b>Risk Title</b>        | <b>Contracts may fail to deliver intended outcomes if not managed effectively, and improvements/efficiencies may not be delivered.</b>  | <b>Uncontrolled Risk Score</b>       |  | <b>9</b> |
| <b>Risks Category</b>    | Contractual / Partnership   | <b>Current Controlled Risk Score</b> |  | <b>6</b> |
| <b>Internal Controls</b> | <ul style="list-style-type: none"> <li>• Ensure that effective contract management arrangements are put in place as part of procurement process.</li> <li>• Manage SLM Contract through quarterly governance meetings.</li> </ul> | <b>Latest Note</b>                   | No update.  |          |
|                          |   | <b>Latest Note Date</b>              | 24 Mar 2023   |          |

|                          |  |                                      |   |          |
|--------------------------|--|--------------------------------------|---|----------|
| <b>Risk Title</b>        | <b>Operating Cost of Hospital Enablement Team Contract Becomes Unsustainable</b>   | <b>Uncontrolled Risk Score</b>       |    | <b>9</b> |
| <b>Risks Category</b>    | Contractual / Financial / Partnership / Political / Reputational   | <b>Current Controlled Risk Score</b> |    | <b>6</b> |
| <b>Internal Controls</b> | Regular board meetings in place; recognition of partners' financial position; regular budget monitoring; 100% external funding in place. | <b>Latest Note</b>                   | A new three-year contract has been agreed with increased external funding to cover an enhanced structure and Blaby's overheads. |          |
|                          |  | <b>Latest Note Date</b>              | 10 Sep 2023   |          |

