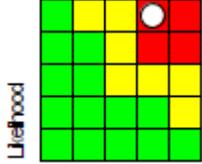
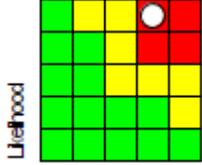
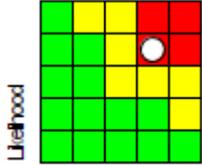


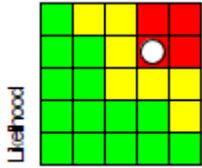
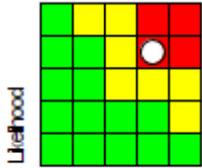
Overview of Corporate Level Risks

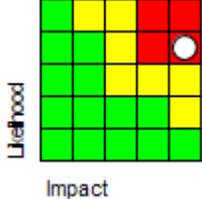
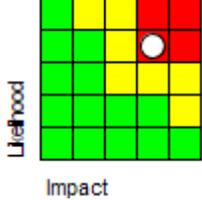
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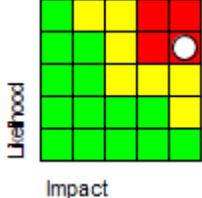
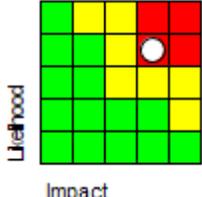
Appendix A

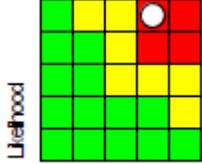
<p>Risk Title</p>	<p>LICTP Partnership</p>	<p>Uncontrolled Risk Score</p>	 <p>Likelihood</p> <p>Impact</p>	<p>20</p>
<p>Risks Category</p>	<p>Contractual / Partnership</p>	<p>Current Controlled Risk Score</p>	 <p>Likelihood</p> <p>Impact</p>	<p>20</p>
<p>Internal Controls</p>		<p>Latest Note</p>	<p>There are a number of concerns linked to the options appraisal related to the future direction of the ICT service. We are assessing the options available to us and understanding the risks of all options.</p>	
		<p>Latest Note Date</p>	<p>09 Jan 2024</p>	

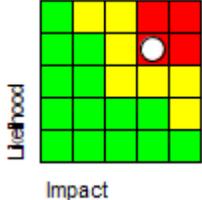
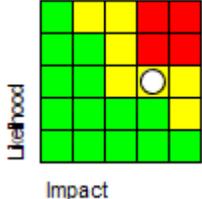
Risk Title	Impact on financial position as a result of lack of certainty around future funding streams (i.e. Business Rates, Fair Funding, New Homes Bonus and Council Tax Equalisation), and cost of living crisis.	Uncontrolled Risk Score		20
Risks Category	Financial	Current Controlled Risk Score		16
Internal Controls	<ul style="list-style-type: none"> • Awareness & Understanding of national policy changes • Balanced budget approved • Deliver Action Plan of Commercialisation Strategy • Maintain an awareness of changing priorities • MTFS in place • Strategy to maximise growth of Business Rates • Working with significant partners • Maintain adequate level of reserves . Financial plan now in place with measures to reduce the budget gap.	Latest Note	No change; changes to local government funding deferred by a further year to 2026/27 but uncertainty still remains.	
		Latest Note Date	09 Jan 2024	

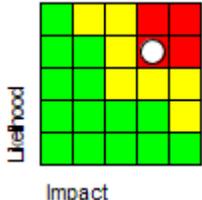
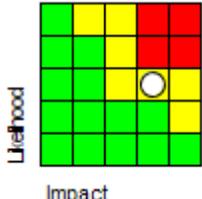
Risk Title	Closure, downsizing of premises or relocation of a major district employer which may cause significant unemployment, retraining requirements and a potential loss of Business Rates	Uncontrolled Risk Score		16
Risks Category	Financial	Current Controlled Risk Score		16
Internal Controls	<ul style="list-style-type: none"> • Review the Council's Economic Development Strategy and resources • Develop the work and skills capacity • Engage regularly with businesses to understand requirements • Work with authorities, landowners, developers & agents • Work with LLEP to secure funding for business development initiatives & schemes 	Latest Note	No change - limited opportunity to mitigate.	
		Latest Note Date	09 Jan 2024	

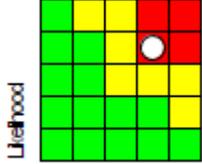
Risk Title	Failure of ICT systems leaves us unable to deliver services.	Uncontrolled Risk Score		20
Risks Category	Technological / Reputational	Current Controlled Risk Score		16
Internal Controls	<ul style="list-style-type: none"> • Adoption of standards around service desk management (LICTP) • Additional measures implemented in response to Capita cyber attack (LICTP) • Managed internet access (Blaby) • File storage resilience (Blaby) • Broadband lines audit (Blaby) • Cyber security - network and ICT security upgrades in progress (LICTP) • Data Centre - servers and storage upgrades/migration in progress (LICTP) 	Latest Note	No change to RAG rating but concerns over the impact on service response arising from Blaby's potential decision to leave the partnership.	
		Latest Note Date	09 Jan 2024	

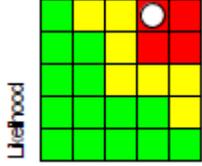
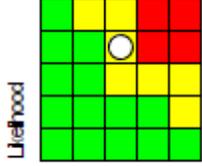
Risk Title	ICT security breaches and non-compliance with Government security standards.	Uncontrolled Risk Score		20
Risks Category	Technological / Reputational	Current Controlled Risk Score		16
Internal Controls	Perimeter Security, Systems and data is backed up, Annual IT Health checks, Cyber Essentials and PSN accreditation, Security Working Group, policies in place to support and advise staff, ICT monthly articles and newsletters aimed at increasing staff cyber awareness, Encryption detection software, Antivirus software, Mail Filtering, Sophos Unified Threat Manager, Intrusion detection software.	Latest Note	No change. We are still unable to obtain insurance cover for cyber threats but this position is kept under review with our broker. The threat of cyber attack remains high across the public sector, although no known instances arising recently which affect Blaby.	
		Latest Note Date	06 Sep 2023	

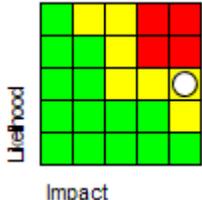
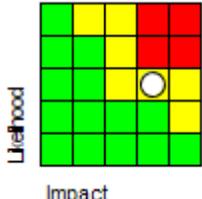
Risk Title	The Leicestershire Building Control Partnership doesn't generate sufficient income to maintain or improve Blaby's financial position.	Uncontrolled Risk Score		20
Risks Category	Contractual / Financial / Partnership / Political / Reputational	Current Controlled Risk Score		16
Internal Controls		Latest Note	No change, income remains considerably below profile.	
		Latest Note Date	09 Jan 2024	

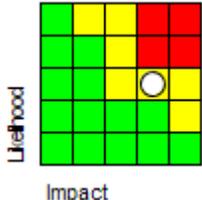
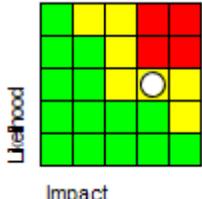
Risk Title	Failure to recruit and retain the right people for the right jobs	Uncontrolled Risk Score		16
Risks Category	Professional	Current Controlled Risk Score		12
Internal Controls	<ul style="list-style-type: none"> • Learning and development provision, including skills and training needs analysis • Supporting Employee Performance policies and practices • Workforce planning including succession planning and use of market supplements where applicable. 	Latest Note	Generally an improving picture although some areas, including Council Tax and Benefits, are still struggling to recruit with necessary experience.	
		Latest Note Date	09 Jan 2024	

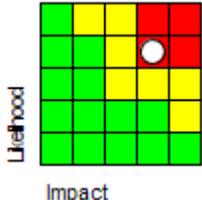
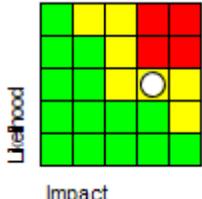
Risk Title	Failure to provide affordable housing and supporting infrastructure in the district in line with identified need.	Uncontrolled Risk Score		16
Risks Category	Political	Current Controlled Risk Score		12
Internal Controls	<ul style="list-style-type: none"> • Agreement on countywide housing distribution • Council adoption of appropriate housing needs policies • Feedback to consultation processes • Input into Strategic Planning Groups • Review of options to deliver affordable housing & balanced housing market 	Latest Note	No change.	
		Latest Note Date	09 Jan 2024	

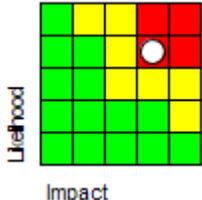
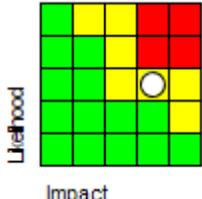
Risk Title	Structural, legislative and budgetary changes in other Public Sector organisations (e.g. DWP, Health, Police, Leicestershire CC).	Uncontrolled Risk Score		16
Risks Category	Financial / Social	Current Controlled Risk Score		12
Internal Controls	<ul style="list-style-type: none"> • Maintain awareness & respond to implications of emerging changes in public sector delivery organisations 	Latest Note	No change.	
		Latest Note Date	09 Jan 2024	

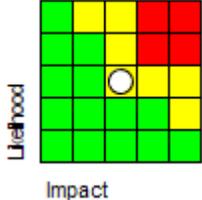
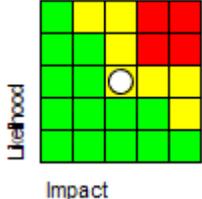
Risk Title	Cost of living crisis leading to increased demand for services.	Uncontrolled Risk Score		20
Risks Category	Financial / Social	Current Controlled Risk Score		12
Internal Controls	<ul style="list-style-type: none"> • CAB service * Earmarked reserve in place to support cases of serious hardship. • Communication with food banks to be able to provide support • Supporting residents in times of crisis • Grant funding available from government as part of Energy Bill Support Scheme (additional funding and alternative fuels) 	Latest Note	No change - pressure on some services is still being felt.	
		Latest Note Date	09 Jan 2024	

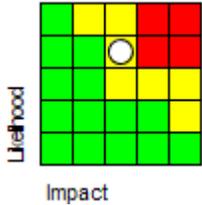
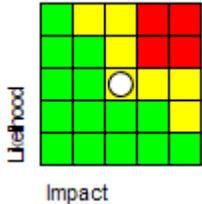
Risk Title	Huncote Leisure Centre and surrounding site - risk of elevated levels of methane from landfill site.	Uncontrolled Risk Score		15
Risks Category	Financial / Reputational / Health & Safety	Current Controlled Risk Score		12
Internal Controls	<ul style="list-style-type: none"> • Additional monitoring and venting wells installed. • Regular communication with partners on site. • Trenches installed around perimeter of building, including a pump and pipework to drain water away to land at rear of site. • A further active ventilation stack to be installed to draw gas away from building. 	Latest Note	No change to risk but further mitigations now in place, in the form of trenching around the outside perimeter of the building and an additional active ventilation stack.	
		Latest Note Date	09 Jan 2024	

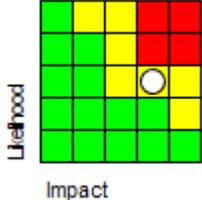
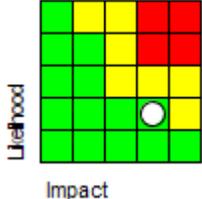
Risk Title	The Council's ambition to meet the 2030 net zero carbon reduction target has a detrimental impact on our financial position..	Uncontrolled Risk Score		12
Risks Category	Environmental / Financial / Reputational	Current Controlled Risk Score		12
Internal Controls	<ul style="list-style-type: none"> • Carbon reduction action plan in place. • Dedicated officer working on "green" initiatives.. • Cross service working group in place to maintain high profile and awareness. • Fleet replacement strategy under review. 	Latest Note	Increased to reflect the additional cost attributable to moving our fleet from HVO to electric.	
		Latest Note Date	09 Jan 2024	

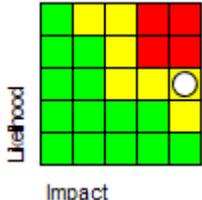
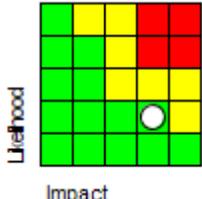
Risk Title	Officer and Member welfare is impacted by ongoing service demand and financial pressures	Uncontrolled Risk Score		16
Risks Category	Physical	Current Controlled Risk Score		12
Internal Controls	<ul style="list-style-type: none"> • Policies and procedures being revised and reviewed together with guidance documents for staff and managers • Employee helpline in place • Continuous review with teams and individuals • Being flexible with working policies. • Member Induction Programme. • Improvement in signposting. • Wellness action plans in place. 	Latest Note	No change.	
		Latest Note Date	09 Jan 2024	

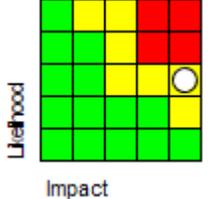
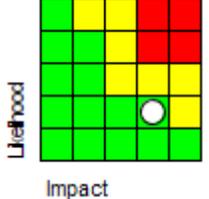
Risk Title	District Partners Do Not Accept The Increased Financial Cost Arising From New Lightbulb Contract	Uncontrolled Risk Score		16
Risks Category	Contractual / Financial / Partnership / Political / Reputational	Current Controlled Risk Score		12
Internal Controls	Regular board meetings in place; 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.	Latest Note	Left unchanged. Report to Cabinet Executive on 15th January 2024 includes a proposal to investigate the pros and cons of setting up a Home Improvement Agency.	
		Latest Note Date	09 Jan 2024	

Risk Title	Engagement of elected members negatively impacting on decision making process	Uncontrolled Risk Score		9
Risks Category	Political	Current Controlled Risk Score		9
Internal Controls	<ul style="list-style-type: none"> • • Cabinet & Leader awareness and development • Code of conduct • Member development strategy/ supporting roles & responsibilities • Recruitment/member succession • Audit & Corporate Governance Committee • Training/Cabinet development • Induction Programme for new members 	Latest Note	No change.	
		Latest Note Date	09 Jan 2024	

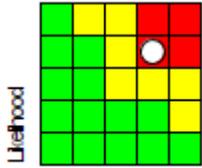
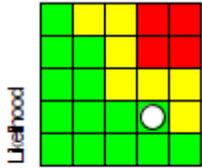
Risk Title	That the Council is unable to deliver a new local plan and cannot identify 5 years worth of housing land required by National Policy, which could make relevant local policies out of date when determining planning applications.	Uncontrolled Risk Score		12
Risks Category	Social	Current Controlled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

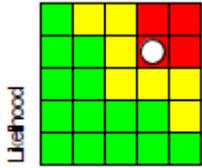
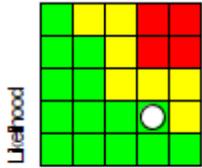
Risk Title	Blaby District Plan is not deliverable within available resources. If we do not deliver the corporate objectives the quality of life of residents and those who work in the district will not be improved.	Uncontrolled Risk Score		12
Risks Category	Political	Current Controlled Risk Score		8
Internal Controls	<ul style="list-style-type: none"> • All service plans aligned to Blaby District Plan objectives • Be clear about expected outcomes • Monitor delivery of Blaby District Plan • Review Blaby District Plan priorities regularly 	Latest Note	No change, to be reviewed following outcome of budget setting.	
		Latest Note Date	09 Jan 2024	

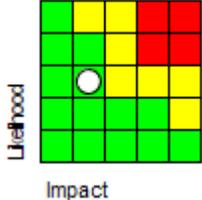
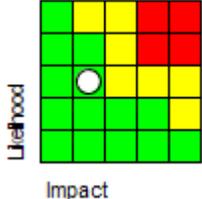
Risk Title	Failure to have effective safeguarding arrangements and a plan in place to safeguard children and vulnerable adults may place people in danger	Uncontrolled Risk Score		15
Risks Category	Competitive / Reputational / Social	Current Controlled Risk Score		8
Internal Controls	<ul style="list-style-type: none"> • Active Member of District DSO Group • Continuous training of designated officers, review of policies • Ensuring enough trained officers are available • Policies in place and effectively communicated to staff 	Latest Note	No change, County reporting an improving picture.	
		Latest Note Date	09 Jan 2024	

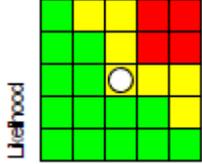
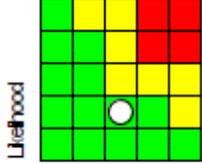
Risk Title	Failure to ensure adherence to internal control arrangements would leave the council open to fraud, affecting reputation and breaches of the council's procedures, policies and legal responsibilities.	Uncontrolled Risk Score		15
Risks Category	Fraud / Legal	Current Controlled Risk Score		8
Internal Controls	<ul style="list-style-type: none"> • Anti Fraud & Corruption/Benefit Fraud policies reviewed & adopted. Staff/Member training • Employees adhere to governance procedures • Ensure we do not employ staff with false records • Use of NAFN bulletins to maintain awareness of latest threats • Policies and procedures ensure segregation of duties 	Latest Note	No change.	
		Latest Note Date	09 Jan 2024	

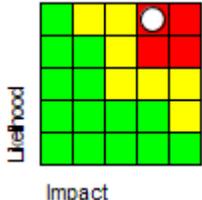
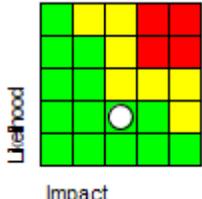
Risk Title	Lack of effective Emergency Planning and Business Continuity arrangements	Uncontrolled Risk Score		15
Risks Category	Professional	Current Controlled Risk Score		8
Internal Controls	<ul style="list-style-type: none"> • All key EP & BC documents on Resilience Direct • Internal EP & BC working group meeting • Periodic training with SLT & key officers of plans • Out of hours Emergency Contact Centre Contract (First Call) • Partnership with the Leicestershire Resilience Forum • Senior Leadership Team On Call Rota 	Latest Note	No change.	
		Latest Note Date	09 Jan 2024	

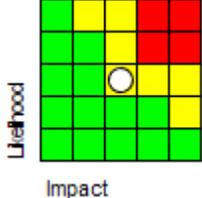
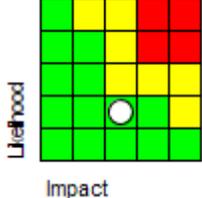
Risk Title	Failure to identify, record, monitor and report health and safety risks.	Uncontrolled Risk Score	 <p>Likelihood</p> <p>Impact</p>	16
Risks Category	Physical	Current Controlled Risk Score	 <p>Likelihood</p> <p>Impact</p>	8
Internal Controls	<ul style="list-style-type: none"> • Effective Health & Safety Committee • Effective Health & Safety procedures • Service blueprints 	Latest Note	No change, good health and safety assessment received for depot.	
		Latest Note Date	09 Jan 2024	

Risk Title	Failure to provide appropriate temporary accommodation for homeless households	Uncontrolled Risk Score		16
Risks Category		Current Controlled Risk Score		8
Internal Controls	Continue to source alternative provision of temporary accommodation in the District.	Latest Note	No change yet. External funding in place to enable purchase of 16 properties to alleviate reliance on bed and breakfast accommodation.	
		Latest Note Date	09 Jan 2024	

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

Risk Title	Contracts may fail to deliver intended outcomes if not managed effectively, and improvements/efficiencies may not be delivered.	Uncontrolled Risk Score		9
Risks Category	Contractual / Partnership	Current Controlled Risk Score		6
Internal Controls	<ul style="list-style-type: none"> • Ensure that effective contract management arrangements are put in place as part of procurement process. • Manage SLM Contract through quarterly governance meetings. 	Latest Note	No change.	
		Latest Note Date	09 Jan 2024	

Risk Title	Impact of Industrial Action on Services & Residents	Uncontrolled Risk Score		20
Risks Category	Environmental / Financial / Reputational	Current Controlled Risk Score		6
Internal Controls	Alternative workforce where possible; mental health support in place; arbitration measures; regular communication to staff, members, and residents; SLT presence at depot.	Latest Note	We have now gone beyond the deadline in December 2023, before which further industrial action could be called.	
		Latest Note Date	09 Jan 2024	

Risk Title	Operating Cost of Hospital Enablement Team Contract Becomes Unsustainable	Uncontrolled Risk Score		9
Risks Category	Contractual / Financial / Partnership / Political / Reputational	Current Controlled Risk Score		6
Internal Controls	Regular board meetings in place; recognition of partners' financial position; regular budget monitoring; 100% external funding in place.	Latest Note	No change.	
		Latest Note Date	09 Jan 2024	