

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date		
What is the issue:			(See Scoring Table)	Impact	Likelihood		Risk	(See Scoring Table)	Impact				Likelihood	Risk
what is the root cause/														

Deletions

STRATEGIC AREA - Adult Social Care

<p>1. Adult Social Care & Safeguarding – Integration agenda/STP. Risks associated with large programme of change in challenging financial context.</p>	<p>– Failure against national commitments on integration – Services are not aligned – Financial risk – Conflict between priorities of organisations – Transformation programme targets are not met</p>	<p>– High visibility at partnership forums – Support to frontline staff to maintain operational relationship management – Communication strategy for transformation in context of integration includes partners.</p>	4	4	16	<p>– Establish clear partnership arrangement to agree and deliver Integrated Care in Leicester – Maximise Better Care Fund (BCF) opportunity.</p>	3	3	9		Ruth Lake	31.10.2018 Ongoing
<p>2. Adult Social Care & Safeguarding – Failure to meeting statutory need; keeping people safe Difficult financial climate; complexities with funding arrangement; integration and pooled budgets – risk of inadequate resources to meet need</p>	<p>– ASC overspends – Insufficient resources to meet need – Vulnerable people not receiving sufficient care packages resulting in legal challenge and increase in complaints.</p>	<p>– Robust mechanisms (such as revised Resource Allocation System) to ensure resources proportionate matched to eligible needs to protect funding – Budget monitoring – Demand monitoring – Use of BCF and iBCF programme to plan for new funding arrangements and requirements.</p>	3	5	15	<p>– Further work on BCF to protect social care services and promote efficiencies across the Health & Social Care system – Work to review packages of care to maximise resources for those at greatest need – Delivery plan now in place – to be progressed over 16/17 – Maximise income and debt recovery through work with operational finance / legal</p>	3	3	9		Ruth Lake	31.10.2018 Ongoing
<p>3. Care Services & Commissioning (ASC) – Spending Review 4 2019/20. Review of Independent Living services (ILS) part of £5.5m ASC savings Failure to carry out effective statutory consultation will result in financial and reputational damage to the council.</p>	<p>– Council could face legal challenge through judicial review.</p>	<p>– Consultations being run as a dedicated project overseen by a senior manager with some temporary additional resource – Ensure time is built into each review. – development of all strategies etc. to allow for consultation.</p>	5	4	20	<p>– Stakeholder engagement strategy in place and we always seek advice from legal services and corporate consultation team – Legal services sign off all consultation materials and agree the approach and methodology – Officers to seek guidance from the corporate consultation team when needed</p>	4	3	12	A JR legal challenge could cost the authority several millions if the methodology used by the Council is not robust.	Tracie Rees	31.10.2018 Ongoing

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
4. Care Services & Commissioning (ASC) – Quality of care in the Independent regulated services including; residential homes, domiciliary care and supported living providers falls below standards	– Detriment (harm) to individuals, groups or the Council (financial or reputational)	– High level Audit processes in places via Adult Social Care contracts and assurance team (This is in addition to Care Quality Commission inspections) – Introduction of the MAIPP process /weekly internal information sharing with the Providers.	5	4	20	– Quality Assurance Framework to be used to support identified failing providers. – Risk Management process in place to identify appropriate action to be taken in the event of failing providers.	5	3	15		Tracie Rees	31.10.2018 Ongoing
5. Care Services & Commissioning (ASC) – Implementation of the Sustainability and Transformation Plan (STP)	– Financial impact/legal challenge	– An LLR Programme Board has been established that includes health and social care chief officers	5	4	20	– An LLR Programme Board has been established that includes health and social care chief officers	3	3	9		Tracie Rees	01.01.2019
8. Care Services & Commissioning (ASC) – Extra Care and Supported Living Developments; Impact of the loss of exemption from the Local Housing Allowance (LHA) for this type of provision.	– Inability to develop extra care and supported housing as the market unable to make sure developments viable as a result of this exemption.	– Government has confirmed that LHA cap will not be applied. Awaiting government announcement on funding consultation . Discussion with the market	4	4	16	– To explore options to develop options not reliant on the LHA cap	4	3	12	Loss of capital funds for ASC developments	Tracie Rees	31.10.2018 Ongoing
9. Care Services & Commissioning (ASC) – Non compliance with our duties under the Equalities Act; Failure to adequately identify and address (where possible) equality impacts of proposed actions.	– Council could face legal challenge through judicial review	– Equality impact assessments (EIA) are built into service reviews, strategy developments and decision making which help to identify equality impacts and actions to be taken.	5	3	15	– Ensure all staff are fully aware of when to use EIA's and build this into their routine work (when necessary) – Training to be offered through Better Care Together.	5	2	10	Pot Multi £M	Tracie Rees	31.10.2018 Ongoing
STRATEGIC AREA - City Development and Neighbourhoods												
10. Estates & Building Services – Delay and compensation event claims are received leading to extensive costs.	– Contingency held to address unforeseen issues may be overspent	– All claims are monitored and are challenged using internal and external resources – Continued dialogue with the Finance Team to monitor the financial position.	5	4	20	– Claims have to date been contained within budget with 1 final claim to resolve	4	3	12	Contingency provision is over-subscribed	Matt Wallace	31.10.2018 Ongoing

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
11. Estates & Building Services –BSFSnag /- Defect Programme –Schools currently have outstanding construction matters which prohibit the issuing of completion certificates-	-LCC exposed to risk of system failure or litigation -Delay in programme delivery	Construction phase complete. The programme is now dealing closure of outstanding contractual snag, defects and claims. Internal team established split in three work-streams managed by SA: 1 – Contractual engagement on snags and defects 2 – Delivery of LCC step in actions 3 – EOT contractual claims. External resource provided by MACE to enable delivery of the programme	5	4	20	- Additional external support being sought via Arcadis to enable the close of contracts	4	2	8	Delay in delivery	Matt Wallace	31.10.2018 Ongoing
12. Estates & Building Services Schools- Capital – Raising educational achievement. – Reduction in capital investment in schools with ageing school stock and deteriorating condition	-Potential to not meet statutory building requirements. -Reputational damage to the council	-Develop long term strategy across both the Primary and retained Secondary School estate	4	4	16	-Condition surveys undertaken and a 1-year programme of planned capital maintenance has been formulated. CMB final approval received Sept 2016. The next phases of the proposed capital maintenance programme will be reviewed on an annual basis in accordance with priority/need allowing for flexibility within the programme. -CCMP2 to be submitted to CM in summer 2017	3	4	12	Staff time-	Matt Wallace	31.10.2018 Ongoing
13. Estates & Building Services – Lift Condition Assessment – Asset Capture, Lack of forward planning in terms of planned maintenance and programming change of assets	-Continued failure of assets- -run to failure- -ad hoc capital required to make good- -less reliable assets and more entrapments- -Lift users may be compromised in terms of access/egress/mobility – as per the Beatty Ave experience	-Formatting a proposed capital programme of works, based on engineers submissions (Zurich and LES) will be ready in December 2015- -Lack of internal staffing resource and excessive external consultative cost are prohibiting progress	3	5	15	Lift surveys to be undertaken prior to March 2017-	2	5	10	50K to undertake surveys by framework consultant	Matt Wallace	31.10.2018 Ongoing

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
14. Estates & Building Services – Loss of use of Asset – Unsafe asbestos particles found	– Closure of buildings	– Findings of asbestos action plan being implemented. – Asbestos monitoring returns to be reported to DivMT and Heads of Property quarterly and to CMT if cause for concern. – All buildings constructed before 2000 have an asbestos register.	5	3	15	– The centralisation of property management functions will enable EBS to mitigate risk identified on management plans – Ensure all buildings have an asbestos register.	3	2	6	Staff time	Matt Wallace	31.10.2018 Ongoing
15. Estates & Building Services – Loss of use of Asset – Fail to maintain Water Hygiene	– Closure of buildings	– Implementation of control regime comprising ongoing regular monitoring, reports, risk assessment reviews and maintenance with allocated budgets – Water hygiene monitoring returns to be reported to DivMT and Heads of Property Quarterly and to CMT if cause for concern – Spend of allocated capital budget for water hygiene and production of ongoing prioritised schedule of risk reduction/removal works ongoing – Water hygiene responsibilities in non-op estate (apart from communal areas) have been confirmed in the terms and conditions of the lease and necessary action taken	5	3	15	– Seek 100% compliance with water hygiene returns with accurate data. – Further budget for 17/18 works to be in next Capital Bid report – More rigorous audit of Building Responsible Officer monitoring to be undertaken	3	2	6		Matt Wallace	31.10.2018 Ongoing
16. Housing – Risk of Legal challenge, liability and reputational consequence if properties are not adequately maintained. Greater financial investment needed in the future. Rent reduction of 1% per annum for next 4 years will threaten budget for maintenance and capital investment.	– Poor living conditions – H&S risks to tenants – properties falling into disrepair – Reputational risk	– On-going capital investment (25 year strategy and planned maintenance programmes) – On-going day to day responsive repairs service. – Minimum standard for property re-letting: – In house Quality Control team. – Policies and procedures in place to ensure we continue to be compliant with legislation e.g. for fire safety, water hygiene, asbestos removal – Continue to review more effective ways of maintaining the stock.	5	3	15	– Identification of fixed costs required to ensure compliance with legislation and to ensure these funding is available for these is future budgets	5	2	10	At current rates we need a minimum spend of £13m to ensure ongoing compliance with legislation.	Chris Burgin	31.10.2018 Ongoing
STRATEGIC AREA - Corporate Resources and Support												
30. Finance – Information and Customer Access The Council is at constant threat from malicious hacking or human error.	– Loss of data or information – Loss of access to systems and services – Council-wide impact – Potential fines, litigation,	– Ensure adequate technology is in place to protect the authority – AlienVault Logging procured. – Raise staff awareness – Testing procedures	5	5	25	– Targeted Phishing – Promote Human Firewall awareness – Implement further defences – Consider draconian response to threats	4	3	12		Alison Greenhill	31.10.2018 Ongoing

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
STRATEGIC AREA - Education and Children's Services												
36. Children's Social Care and Early Help – Improvement – Changing for the better LCCIB Improvement Plan – Budget Pressures on the divisional budget	–Services to vulnerable children, young people and families would be reduced and affect safeguarding of children, and potentially have an adverse impact on delivering the Leicester City Council Improvement Plan –Further pressures on the service regarding the admin business support review	–Deliver savings as part of the reviews taking place across LCC, including Education & Children's with clear explanations of the potential risks and impact –Deliver savings to meet the budget pressure within the CYPF Division	5	4	20	–Identify further projects to ensure delivery of savings, assess impact	4	4	16		Caroline Tote	31.10.2018
Requirements to reduce public sector funding affect the Council's ability to fund key areas of improvement work	–Workforce continues to be in flux and subject to high turnover, which impairs consistent service and increases risks for vulnerable children and young people. –Insufficient funding in local authority and partner services to deliver improvement work and maintain level of Early Help (Early Help) and statutory services.	–Proposed savings in EH services are being implemented and will be achieved by April 2018. – Impact on services to Children young people and families continues to be assessed as part of savings proposals. Pressures on the Out of Authority placement and increase in LAC numbers beyond allocated budget. –The Single Assessment team will need to be funded from the existing budget to consider how existing services can be remodelled.	5	4	20	–Further consideration of other identified improvement areas to be discussed. –Further areas of the Resource Plan under consideration –Development of the edge of care panel and the permanent progression panel	4	4	16		Caroline Tote	31.10.2018
Increase in number of children looked after results in overspend, compensatory savings have to be made in other services	–Reduced EH Services, resulting in less early intervention and higher numbers of children and families escalating to higher levels of need, putting additional strain on Children's Social Care budget. –The consequence of increased LAC is that the dept. budget for 2017/2018 will be exceeded	–Targeted work to safely and appropriately reduce the numbers of children in care and monitor the numbers of children requiring high cost externally commissioned placements –Further work to be carried out to consider future commissioning arrangements for young people who are victims of CSE.	5	4	20	–Examination of existing controls, including social work practice, decision making, work to address young people on the 'edge of care', placement commissioning and exits from care. –An equality impact assessment will be updated an inform a scrutiny report for consideration in March/April 2018.	4	4	16		Caroline Tote	31.10.2018

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
Cost of agency social workers, including staffing over capacity, and interim staff working on improvements results in overspend, compensatory savings have to be made in other services.	-Increase in overspend, due to the higher costs of agency workers; and additional staff to carry out improvement work, reduce caseloads and ensure capacity to carry out key jobs is in place	-Workforce Strategy sets out plans to attract permanent staff to Leicester and retain incoming and existing staff. Strategy includes progression and workforce development -Regular monitoring of staff appointments to agency posts.	5	4	20	-Continued work on recruitment, retention and induction -Focus on recruitment of permanent Team Managers. -WFD Strategy work has slowed down, needs to be picked up again.	4	4	16		Caroline Tote	31.10.2018
Permanent staff absence (sick leave, maternity leave, disciplinary action) results in higher costs because of the need to pay agency worker	-Regular monitoring of staff performance, and absence.	-Continuing to take a robust approach to managing staff absence and reduce the amount of time that is lost due to sickness.	4	4	16	-TM training is being delivered to ensure expectations are clear	4	4	16		Caroline Tote	31.10.2018
Staff leave, resulting in the need to fill posts with agency workers.	-Additional expenditure on agency staff. -Loss of experience and continuity.	-Workforce Strategy developed and being implemented. -Use of agency staff to fill vacant positions while permanent recruitment takes place. -National and regional problem of availability of experienced social workers and Team Managers is impacting on LCC.	4	4	16	-Ensure progression in place for experienced workers following appointment of new Team Managers. -Individual discussions with staff wanting to progress, or dissuade them from leaving.	4	4	16		Caroline Tote	31.10.2018
37. Children's Social Care and Early Help – Safeguarding Publication of Serious Case Reviews for cases that occurred in 2013/14 and case that led to a SILP in 2107/18	-Impact on staff morale, engagement with vulnerable families, partner confidence and public reputation	-Two Serious Case Reviews have now been published with clear arrangements in relation to media engagement about the messages to be released. Themes and actions arising from pre-publication messages already included in Improvement Plan, or being communicated separately to staff. Composite review in relation to three babies has not yet been published due to ongoing police investigations, media planning meeting taking place at the end of August. A further SCR has also been commissioned and agency Independent Management Review's are being progressed.	5	4	20	-Work through Local Safeguarding Children's Board groups to disseminate messages from the Serious Case Reviews. -Approach agreed for coroners inquest in August 2017	5	4	20		Caroline Tote	31.10.2018
Abuse or injury to children in a range of care placements	-Children would be unsafe and have experienced significant harm while in the Council's care.	-Ensure maintenance of robust safer recruitment processes and Local Authority Designated Officer arrangements.	5	4	20	-No further controls identified. -Compile and monitor critical Young people identified as being at risk of CSE	5	4	20		Caroline Tote	31.10.2018

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
Abuse or injury to children and young people in the City.	-Children would be unsafe living with their parents. Where known to Children's Social Care or Early Help, services would not have protected them. -Where a child suffered significant harm or death, there could be a Serious Case Review, with outcomes published nationally.	-A framework is ensuring compliance is adhered to	3	5	15						Caroline Tote	31.10.2018
38. Children's Social Care and Early Help – Workforce – Staff fail to recognise and act to safeguard and mitigate the risks of significant harm to children -Insufficient high quality workforce at practitioner and manager levels including: • Turnover/retention of agency staff • Poor quality agency staff • Current Permanent staff leaving • Difficulty in recruiting permanent staff to Service Manager, Team Manager and Social Worker posts due to pressure to perform to required standards • Practical problems that affect day to day work • Leicester not able to attract staff while 'inadequate'	-De-stabilisation of workforce and a ripple effect from CIN Teams to other teams in social care. -New agency staff struggle to pick up cases that have been through several interim social workers causes stress to new staff	-Retention package has been approved -Workforce Improvement Plan in place -Implementation of recruitment and retention aspects of the Workforce Strategy and Improvement Plan -Health check by Liquid Logic Original Suppliers -Contact with Other LAs successfully using Liquid Logic -Non-compliant or poor quality agency staff asked to leave -Capability/disciplinary action in relation to permanent staff -Exit interviews with departing staff -SAT implemented June 2016. -Principal Social Worker in post April 2016.	5	4	20	-Continued work to implement Service Standards, address key areas of staff performance through management action, follow up findings from Performance and Quality Assurance reports	4	4	16		Caroline Tote	31.10.2018
Insufficient high quality workforce in support services resulting in key support functions not being carried out including Business Support, Liquid Logic report writing, Liquid Logic training and floor walking	-Key tasks underpinning Improvement Plan not carried out, or delayed due to lack of staff	-Continued recruitment of key staff including consideration of secondments -Business Analysis undertaken of the admin support functions -Roll out of mobile technology to staff	5	4	20	Admin review completed and findings to be provided in September 2017	4	4	16		Caroline Tote	31.10.2018

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>39. Children's Social Care and Early Help – Early Help – Failure of services and processes to identify and meet the needs of vulnerable young people. – Extent and gearing of department budget cuts from April 17 onwards compromises operations and generates a higher safeguarding failure.</p>	<p>–The number of children and young people vulnerable to poor outcomes increases –resulting in reduced life chances, subsequent high reliance on specialist high cost services and potentially death. –Poorer outcomes overall, children's plans priorities compromised, loss of education, reliance on higher cost services, death etc. –Reduced management and admin cover will reduce the capacity of existing staff to complete the data analysis required to identify and track families/children at risk of poor outcomes. –Partners are not engaged with Early Help or contribute to the offer. –EH staff start to look for alternative employment leaving a gap in service to meet demand.</p>	<p>–Review underway.</p>	5	4	20	<p>–Analyse consultation findings as they come in to asses impact and risk and report to DCS.</p>	4	4	16		Caroline Tote	31.10.2018
<p>40. Children's Social Care and Early Help – Placements for children and young people who are looked after – Inability to recruit and retain foster carers</p>	<p>–Insufficient internal foster care placements leading to greater use of Independent Fostering Agencies and greater cost to the Council.</p>	<p>–Targeting resources to focus on mainstream foster carers –Foster carer allowances report to be considered by DMT to review payment –Foster carer scheme for teenagers to be considered as part of an 'invest to save' bid.</p>	4	4	16	<p>–Consideration of raising foster care allowances to national requirement –Consideration of teenage fostering scheme.</p>	3	4	12		Caroline Tote	31.10.2018
<p>Inability to find sufficient suitable residential placements for children and young people with complex needs</p>	<p>–Insufficient/unsuitable residential care that does not meet children and young people's needs and leads to higher costs for the council and poor outcomes for children and young people. –Council's statutory responsibilities as a Corporate Parent are not fulfilled</p>	<p>–Management decision making. Placement Commissioning service –Implementation of a placement planning process for sibling groups and complex cases –Wigston Lane used to consider young people moving into independence</p>	4	4	16	<p>–Use to be monitored and reviewed in the next quarter.</p>	3	4	12		Caroline Tote	31.10.2018

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>41. Learning Services – Funding reduction leading to inadequate school improvement capacity From 2018/19 funding to support monitoring and intervention in maintained schools will reduce from £1.3m to around £300k.</p>	<p>– Significant increases in schools rated RI and Inadequate – Reputational damage for the council with key stakeholder E.g. Ofsted, RSC</p>	<p>– Seeking to develop school-led capacity through SISS, LESP and SSIF</p>	4	4	16	<p>Seeking to leverage de-delegated funding to smooth transition to school-led system. Look at opportunities to trade more services to schools both inside and outside the City</p>	4	3	12		Paul Tinsley	31.10.2018
<p>42. Learning Services – Insufficient school places for 2017/18 and 2018/19 Increased demand due to demographic changes Academisation and legislation changes affecting statutory powers to create new capacity Loss of commitment by schools to expansions Failure of new free schools to open when needed Insufficient capacity to provide places for all pupils with an EHCP</p>	<p>– Statutory duty to allocate places is not met – Potential for safeguarding issue – Reputational damage</p>	<p>Temporary accommodation in place at six secondary schools. Permanent expansion schemes in development at nine schools. Pressure on DfE to deliver approved free schools in 2018, 2019 and 2020. – Sites being identified for temporary openings. – Paper being submitted on creation of additional SEND places</p>	4	4	16	<p>Additional pressure may be needed with DfE. – Further paper to be taken to Exec Board around sufficiency planning longer term for SEND places</p>	4	2	8		Paul Tinsley	31.10.2018

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
STRATEGIC AREA - Public Health												
44. Public Health-Claiming Process for GP Providers – The clinical systems used by GP providers to claim payment for public health commissioned services are insufficiently robust to ensure payment accuracy.	–Loss of confidence of GP Providers in payment structure –Risk of overpayment or underpayment by Public Health which would need to be rectified at a later date	–Alternative spread-sheet based payment claim-system has been introduced –Working with contracts team and CCG to provide a verification system for claims –External audit of clinical services delivered by GP Practices underway for the NHS Health Check Programme –Procurement of integrated audit and payment module failed due to lack of provider bids.	4	5	20	UPDATE 01-08-18: As noted below, once the IT solution is in place this issue will be resolved. Until it is fully operational, CaAs will continue to monitor and resolve any discrepancies between the submissions from GPs and the data taken from System One. UPDATE 11-06-18: It is anticipated that, as the new IT system draws data directly from the clinical system used by GPs (SystemOne and 1 instance of EMIS) that payments will be made in	4	4	16		Ruth Tennant	31.10.18
45. Public Health – Data Access and Sharing Insufficient and inadequate data for PH function 1) Access issues to hospital inpatient data (SUS and HES) – access to HES resolved, currently developing SLA to access SUS 2) No data access agreement with CSU (Mids and Lanes) for access to CCG data –no data from SystemOne to support PH commissioned services, performance indicators and PH surveillance function	–If unresolved only able to offer a limited services in terms of core offer and other analyses required UPDATE: 25.04.17: –The Public health Team has recently been made aware that no data can be received from the CCG, as the current agreement between the CCG and Leicester City GPs has lapsed, as of 31.03.17. As such, no monthly data is being received for any of the Community Based Services (CBS) that the Public health team commission. –Update 08.01.2018 – CCG have provided NHS health check data for 2017/18 Q1 and Q2 from SystemOne (S1). SP and HR working with CCG to understand the differences in counts of Health checks provided by GPs and S1.	– Application for SUS inpatient/outpatient/A&E data has been approved by NHS Digital. HR working with Midlands and Lancashire CSU and Leicester City CCG to develop SLA to access SUS data. b) application in progress for access to HES (HDS online system) via NHS Digital –Julie /Steve Petrie progressing data access agreement with CCG / CSU to enable regular data flows to support PH commissioned services, performance indicators and PH Surveillance function.	5	4	20	Update 01/08/2018: 1a Application for SUS inpatient/outpatient/A&E data has been approved by NHS Digital. HR working with Midlands and Lancashire CSU and Leicester City CCG to develop SLA to access SUS data. b) application for access to HES (HDS online system) via NHS Digital has been approved and training completed. Now have access to national HES datasets including inpatient, outpatient and A&E 2) Julie /Steve Petrie progressing data access agreement with CCG / CSU to enable regular data flows to support PH commissioned services, performance indicators and PH Surveillance function. Update 01-08-18: The data agreement has been sent to CCG previously, but with focus shifting to the procurement and implementation of the IT solution, coupled with the difficulties in progressing this with the CCG due to IG issues and the liaison at the CCG on long term sickness absence, this has not moved forward. However, a new member of staff at the CCG is now picking this up (Mayur Patel) and a discussion took place on 26.07.18 to look to begin to progress this in tandem	4	3	12		Ruth Tennant	31.10.18

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
46. Public Health – Building not ready in time by lease finish on 31st Dec 2018	Difficulty providing service without accommodation, patients presenting at GPs, untreated STIs, reputational risk	Strategic Board set up that will report to DMT, Capital Board and LM progress of the project and any risks	4	4	16	Update 01/08/2018 Time scales for delivery of project remain challenging Risk assessment to be undertaken, contingency plan to be drawn up with alternative accommodation.	4	4	16		Ruth Tennant	2019
47. Public Health – Accommodation project; Risk that landlord will not approve of the proposals for building, risk that costs of refurbishment exceed contingency and capital budget	No building available, savings not achieved, service interruption	Frank discussions with landlord and site of plans at an early stage, Clear feasibility study and costs including contingencies, project management plan	4	4	16	Update 01/08/2018 Landlord approval for works secured work starting on the refurbishment this week. Robust project management in place to monitor spend. Plans to go to landlord 27th October, Feasibility to include contingency funding, planning approval to be sought prior to Christmas	4	3	12		Ruth Tennant	2019
48. Public Health – Substance Misuse Commissioning and contract management As a consequence of the ASC review there is potential for reduction in capacity and capability in commissioning and contract management relating to substance misuse treatment services. There has been a reduction in the number of staff and currently there is no identified commissioner for these services (Note total contract value of these services is in excess of £4 million). In addition there will be a significant loss of organisational memory as staff previously employed in this area have moved to other areas.	Insufficient performance and contract management of contract to assure the DPH that the services provided are clinically safe Inpatient specialist detox services are due to be recommissioned and currently there is not a commissioner identified to lead this Loss of specialist expertise in substance misuse poses a risk to future commissioning, quality assurance and clinical governance	Clarify with ASC Head of commissioning arrangements, immediate mitigation and long term plans to manage commissioning, contract management and performance management of substance misuse contracts	4	4	16	Appointments now made	3	2	6		Ruth Tennant	31.10.18

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
49. Public Health – SPENDING REVIEW- HEALTHY CHILD PROGRAMME- COMMISSIONING- In order to meet PH savings target money needs to be removed from the current 0-19 Healthy Child Programme (Healthy Together) contract at 19/20 (the first +1). Any money removed from a contract must be agreed with the provider (LPT), if an agreement fails to be reached, this could trigger an early recommissioning process. There is a substantial risk that, should LCC be required to re-commission early, no suitable alternative provider would be secured. The same risk applies to a Traded offer approach to the school	This could result in a break down in the relationship with LPT (current provider), it could result in LCC having no provider for 0-19HCP which would present a significant risk for harm to children aged 0-19 in Leicester.	05.01.18: regular meetings within LCC, regular meeting with LPT	4	4	16	05.01.18: None at this stage				33.6 million	Ruth Tennant	31.10.18
50. Sexual Health Services Review Failure to meet savings target set for Sexual Health Services Review. This may be as a result of not receiving executive approval for the proposals and/or the proposals do not realise the predicted savings.	- Failure to deliver savings will place cost pressures on other parts of the PH budget or wider council budget if savings have to be found in other areas	-Proposals robustly costed-	3	5	15	-Close monitoring of contract, budget and accommodation project to ensure maximum savings delivered -Ensure decision makers are well briefed to allow them to feel confident in making difficult decisions	2	5	10		Ruth Tennant	30.09.18
Amendments												
STRATEGIC AREA - Adult Social Care												
1. Care Services & Commissioning (ASC) - Budget - Compliance <u>Lack of budget / resources to comply with changes in DOLs legislation</u>	<u>- DOLs assessments not carried out;</u> <u>- potential for individuals DOL and claims against LCC</u>	<u>- copy from existing - removing fully staffed;</u> <u>- Use of form 3b;</u> <u>- Development of internal staff (Social workers - BIA)</u>	4	4	16	<u>Report to Exec - seeking additional funding. 12month funding.</u>	4	3	12		<u>Tracie Rees</u>	<u>31.01.2018</u> <u>Ongoing</u>

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>3. Care Services & Commissioning (ASC) - Mental Health - Statutory Duty LCC is legally obliged under the Mental Health Act (MHA) to provide 24/7 service</p>	<p>- Risk of harm to, or by, mentally ill person - Breach of compliance and possible fines - Reputational damage - Impact on morale and stress if staff working outside hours - Increased staff turnover leads to immediate resource issues; also recruitment and training requirement - potential delays and can increase working hours. - Not meeting MHA legislation - Potential delays and can increase working hours.</p>	<p>- 24/7 rota reviewed with AMPs and Unions and due for implementations shortly; - using non-AMPs for appropriate functions</p>	4	4	16	<p>Management support to AMHPs; - continue to consider options for recruitment, Continue to escalate Formal review of rota across 24/7 commencing with AMHPs and unions on 10.04.2018</p>	4	3	12		Tracie Rees	31.01.2019 Ongoing
<p>7. Neighbourhood and Environmental Services - BEAUMONT PARK DEPOT Condition of depot creating risks to service delivery, individuals working on site and visitors, situation identified in H&S report in 2011.</p>	<p>- Serious accident injury and or death to staff/member of public. - Reputational damage to LCC. - Insurance claims against the Council. - Legal challenge. - Media exposure. - Adverse effect on budget/finances. - Closure of premises, loss of service. - Breaches in legislation and/or non-compliance. - Demand led services may not be met.</p>	<p>- On going review of depot in-house Business Change Manager facilitating with E&B. Undertaking options appraisal with input from Legal, Planning and Highways. - Building conditional surveys reviewed under the TNS Programme. - Agreed to manage outside of Depot review with separate budget allocation. - Dedicated Banksman employed to manage traffic movement on site. - All staff trained in banksman duty of care. - H&S team undertake review of short term safety measures for pedestrians and vehicles on site.</p>	5	4	20	<p>Building reviewed under Depot review part of Technical Services Board. Looking at options to extend footprint to allow more space required for scale of operations and introduce a one way system for access and egress. Flagged as a Department issue through to Strategic Director. No budget allocated to project, Director NES and P&OS HOS requested priority vehicle access works as part of Depot £1m project at meeting with Director E&B 10 May 2018. Still no agreed action to resolve. Site visit undertaken 26 September 2018 with H&S Manager to review and recommendations provided to Strategic Director. Agreed operational actions completed. Excerpt of Risk Register sent to Strategic Director.</p>	5	2	10	Unknown at present	NES: John Leach/ Stewart Doughty EBS/CDN: Matt Wallace and Phil Coyne	04/08/2018 01/04/2019 31.03.2019

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>8. Neighbourhood and Environmental Services - LACK OF ADEQUATE RESOURCE CAPACITY Increase in the demand led services, along with the reduction in head count could mean that there are insufficient resources to deliver the required service levels. During times of change, staff are not always aware of the changes being made, resulting in confusion etc.</p>	<p>- Teams already at a minimum and extra workloads are unsustainable. - As demand-led services increase, workload and public expectations increase. - Likelihood of key person dependency as teams reduce further (fewer people in key roles). - Potential risk of non-compliance or breaches/lack of a substantial control environment. - Service delivery requirements not met. - Staff wellbeing may be harmed. - Reputational damage may result from unplanned building closures due to staff shortages.</p>	<p>- Existing prioritisation arrangements are in place. - Policies and procedures are in place. - Processes are in place. - Regular briefings and PDRs - Organisational review consultation process.</p>	4	4	16	<p>- Review of succession planning is to be conducted. - Need to assess the service demand against the resource availability to understand impacts and generate action plans. - Develop further prioritisation arrangements. - Continually assess through performance appraisals and individuals one-to-ones. - Need to plan work rather than be reactive, put in place "response times" for undertaking work.</p>	3	4	12		John Leach	<u>31.01.2019</u> <u>Ongoing</u>
<p>9. Neighbourhood and Environmental Services - REDUCTION IN INCOME GENERATION PROGRAMMES With reductions in public demand in Building Control and Pest Control income generated by the Council may be significantly reduced and income generation/revenue targets may not be met. Also, 'one off' income programmes are set as recurring within the budgets/accounts; impacting further on future financial targets. Competition from competitors e.g., Crematorium.</p>	<p>- Budgets are not adhered to. - Income streams continue to reduce (e.g. Building Regs) due to the economic climate. - Targets remain the same or increase, against income sources and staff reductions. - One off income is disclosed as recurring, increasing the savings gap. - Internal recharges, e.g. for community space, will reduce as services reorganise.</p>	<p>- Budgets are in place and alternative savings option appraisals are performed and saving plans are implemented. - Policies and procedures are in place. - Adhoc business development arrangements are in place. - An agreement is in place for withdrawal of internal services from community settings under the TNS programme.</p>	3	5	15	<p>- Need to review income targets for recurring and 'one off' income with finance to resolve on-going issues. - Enhance the business development resources/opportunity. - Budget strategy review. - Service review/impacts. - Further marketing and promotional projects. - Exec briefing paper on Bereavement Services F&C options. - Larger shared service for Building Control - Roman developing assessment re feasibility.</p>	3	4	12	N/A	John Leach	<u>31.01.2019</u> <u>Ongoing</u>

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>10. Neighbourhood and Environmental Services - RESOURCE & CAPACITY - INCREASED WORKFORCE AGE PROFILE Specialist skills and knowledge within the team may be lost due to future retirement programmes. Furthermore, national surveys have identified a lack of aspiration in individuals (younger generation, female workforce and some ethnicities) wishing to join the Council within these roles.</p>	<ul style="list-style-type: none"> - Teams already at a minimum number and extra workloads may be unsustainable. - Likelihood of key person dependency as teams reduce further (fewer people in key roles). - Potential non-compliance with legislation/regulation. - Potential stress-related absence/claims. - Quality of service delivery may be affected. 	<ul style="list-style-type: none"> - "Step up" - work experience utilise - Graduate project officers. - Training & Mentoring - Knowledge sharing - Apprenticeship Levy - Leicester Environmental Volunteer scheme - PDR's, identify training and skills gaps and needs 	3	5	15	<ul style="list-style-type: none"> - Succession planning review is required. - Continue to enhance and develop the apprenticeship scheme. - Commence positive promotion of the work/career in this area. - Seek funding for apprenticeship. - Ensure knowledge sharing takes place. - Training/ Mentoring/ Structuring. 	3	4	12	N/A	John Leach	<u>31.01.2019</u> <u>Ongoing</u>
<p>11. Neighbourhood and Environmental Services - ASSET CONDITION Condition of buildings creating risks to service delivery and individuals (in certain circumstances)</p>	<ul style="list-style-type: none"> - Building/service closures - Insurance claims against the council - Reputational damage to LCC 	<ul style="list-style-type: none"> - On going review and inspection of building in-house and is liaison with Property services - Building conditional surveys reviewed under the Transforming Neighbourhood Services Programme (TNS) 	5	3	15	<ul style="list-style-type: none"> - Building reviewed under TNS - Condition surveys commissioned and review to address key issues 	3	3	9		John Leach	<u>31.01.2019</u> <u>Ongoing</u>
<p>12. Planning and Transportation - Transport Strategy -Tackling Nitrogen Dioxide and other air pollutants</p>	<ul style="list-style-type: none"> - Ongoing poor air quality contributing to ill health and death of Leicester population. - Possibility of fines if remain in the EU or from government if not. - Poor reputation of Leicester as a city to work, live or visit. - Failure to meet government air quality mandating requirements. 	<ul style="list-style-type: none"> - Air Quality Action Plan 	5	3	15	<p>Air Quality Action Plan Board in place and action plan is being delivered. CAZ agreement with bus operators to signed. Defra funding secured for Feasibility Study to assess AQ intervention options. £16m ERDF Low Carbon bid pending. Ongoing Transforming Cities bid has potential to offset & possibly exceed ERDF delivery.</p> <p><u>Successful Transforming Cities bid likely to exceed ERDF delivery. DfT inception meeting 9/11/18.</u></p>	4	3	12		Andrew L Smith	<u>31.01.2019</u> <u>Ongoing</u>

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)	(See Scoring Table)	(See Scoring Table)		(See Scoring Table)	(See Scoring Table)	(See Scoring Table)			
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
13. Tourism, Culture & Investment - Markets Risk relating to trader attrition and inability to attract new traders particularly during the market improvement works	- Trader occupancy rates currently sit at 53% average. This is due, it is felt, to the ongoing improvement works taking place in the area and the general malaise in city centre retail. - Ongoing regeneration in the Market will, it is hoped, halt the reduction in traders	<u>- The new screen will be potentially completed on 02/19 and will be used to attract footfall to the area to encourage sales. Improvement work to the Market is on going, but expected to start 10/2018.</u>	4	4	16	<u>Actions to be taken. Review and analysis of market traders likelihood to leave the market undertaken and can be provided as evidence</u> <u>Carry out revised regeneration works and encourage specific commodities</u>	3	3	9	nil	Mike Dalzell	<u>31.01.2019</u> <u>Ongoing</u>

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
14. Tourism, Culture & Investment - Markets The prevalence of incidents of anti-social behaviour in and around the Market area	- Public and Traders cease to use the Market because of the prevalence of ASB issues	- Inspectors regularly patrol	4	4	16	Market rules are complemented with zero tolerance. Security staff are engaged. Make frequent Police Patrols	2	3	6	£30,000 pa	Mike Dalzell	<u>31.01.2019</u> <u>Ongoing</u>
15. Tourism, Culture & Investment - De Montfort Hall - Loss of operational ability, falling below customer expectation, loss of reputation, knock on effect to touring promoters if facilities not up to industry expectation. Root problem: The flying bars recently suffered some failures and if the flying bars were to cease operation, we would not be able to continue with our programme of shows.	- Loss of income, loss of reputation, negative PR.	- Responsibility for maintenance of the flying bars has rested with DMH until recently. The recent condition report commissioned by Theatre Plan, suggest that the flying bars will fail in 12-18 months. Approximate cost of replacement would be £200k. Further investigation is required. EBS will struggle to fund from maintenance budgets.	5	3	15	Due for renewal Aug-2018. <u>Replacement took place during summer, however teething problems persist. EBS working with contractor to resolve.</u>	5	2	10	<u>N/A -circa £100k. Funded via EBS capital.</u>	Mike Dalzell	31.01.2019 Ongoing
16. Tourism, Culture & Investment - De Montfort Hall - Loss of operational ability, falling below customer expectation, loss of reputation, knock on effect to touring promoters if facilities not up to industry expectation. Root problem: The stage lift has recently suffered some failures and if this lift were to cease operation, we would not be able to change format of the hall to enable DMH to hold the variety of performances we currently have booked	- Loss of income, loss of reputation, negative PR.	- Responsibility for maintenance of the stage lift has rested with DMH until recently. EBS have now taken on responsibility. We have had the lift serviced this Summer 2017, with recommendations for some repairs to take place in Summer 2018 which would cost approximately£30k but the lift really needs to be replaced entirely at a cost nearer £200k. The recent conditional report suggest that the lift will fail in 12-18 months. Property services have expressed that they do not have a budget to service our needs.	5	3	15	Works procured but cannot be carried out until Aug 2019. Mitigation and controls to be put in place reduce risk of failure in meantime. <u>Mitigation in place for quarterly servicing until replacement can be undertaken</u>	5	2	10	<u>Mitigation in place for 2hr callout until works can be undertaken.</u>	Mike Dalzell	<u>31.01.2018</u> <u>Ongoing</u>

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
STRATEGIC AREA - Corporate Resources and Support												
17. Delivery, Communications and Political Governance - UNPLANNED ELECTION EVENT The service may struggle to manage a number of unplanned, additional elections, as well as a number of different type of elections e.g. House of Lords, Referendums etc. - Unable to source suitable polling stations and a count venue for unplanned elections.	- Elections not performed appropriately/challenges received. - Reputational damage. - Adverse effect on finances. - Media coverage. - Public complaints. - Increase in resource requirements. - Could lead to increased expectations on the existing trained core team, who hold relevant and detailed knowledge. - The potential repetition of impacts and pressures that arose during 2011 elections. - Impacts also on the wider capacity and resources of the Council which would be needed to support delivery.	- Returning officer and nominated deputies are in place. - Insurance is in place. - Many elections can be planned and have set dates. Monthly planning meetings and work already underway in preparation for the next planned elections (Mayoral and Local) in May 2019 taking account of lessons learned from recent elections. Monthly meetings have considered and will continue to review are now also considering the risk of a further short-notice general election due to continued issues nationally arising from Brexit negotiations - May 2015 and 2016 elections and EU referendum enabled newer members of the core team to develop further skills and experience in specific aspects of the elections process which was further consolidated by 2017 general election. - Electoral Commission guidance gives detailed support in the planning and management of each specific type of elections. - A number of the Electoral Services team undertaking professional AEA qualifications. Recruited two new electoral services officers and they will be provided with appropriate core professional training - In recent elections have drawn upon external expertise e.g. training delivered via AEA and involved a wider group of staff from across the Council to support the process. - Detailed debriefs have been done after each election in recent years and used to feed into planning for future elections.	4	4	16	- Continue to develop skills and expertise across the wider electoral services team including completion of formal training & qualifications - a number of staff undertaking relevant qualifications. - Use external or peer support where feasible e.g. from other local authorities. - Consider training/up-skilling a pool of contingency staff. - Keep under review staffing skills and expertise within the team and more widely	4	3	12	EBS now proposing to address in summer recess Mitigation in place for 2hr callout until works can be undertaken..	Miranda Cannon	31.01.2019 Ongoing

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

<p>Risk</p> <p>What is the issue:</p> <p>what is the root cause/</p> <p>problem – what could go wrong</p>	<p>Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why</p>	<p>Existing actions/controls</p>	<p>Risk Score with existing measures</p>			<p>Further management actions/controls required</p>	<p>Target Score with further controls</p>			<p>Cost</p>	<p>Risk Owner</p>	<p>Review Date</p>	
			(See Scoring Table)										
			Impact	Likelihood	Risk				Impact	Likelihood	Risk		
<p>18. LEGAL CHALLENGES PARTICULARLY RELATED TO PSED/CONSULTATION/EMPLOYMENT</p> <p>Consultation approach and EIAs are increasingly targeted areas for legal challenge and increased tendency for employment tribunals particularly since abolition of fees. Increased legal challenges heighten the need to ensure that processes are followed by staff:</p> <p>Risk: Ineffective and inefficient processes and managers do not follow explicit guidance. Efficient/effective processes are not communicated in a uniform manner</p>	<ul style="list-style-type: none"> - Communications are not appropriate (present the right information, performed in a uniform manner, not consistently worded, communicated or the tone are appropriate), leading to legal challenge. - Equalities Impact Assessments cannot address all potential areas of legal challenge on Public Sector Equality Duty grounds. - Lack of legal expertise/appropriate resources. - Potential for legal challenge/judicial review by providers, staff, service users, etc. - Reputational damage/media exposure. - Unplanned adverse effect on budget/finance - Resource intensive to defend legal challenges/judicial reviews. - Unrealistic public/political expectations 	<ul style="list-style-type: none"> - Equality Impact Assessments (EIAs) are performed to help ensure the Council meets the Public Sector Equality Duty (PSED). <u>Workshops are being planned to support those completing EIAs. Enhanced focus on governance agreed by CMT in Sept including new Governance Group who will consider equalities and risk as part of their work.</u> - On-going reviews of outcomes of other PSED challenges inform our approach to demonstrating compliance with our PSED, and lessons from these shared / communicated and used to revise our approach where appropriate. - Expert support e.g. HR, equalities, consultation in place with supporting guidance. - EIA process (what needs to be considered when) and EIA templates regularly reviewed and revised as appropriate. <u>Report done to CMT on review of previous EIAs and tracking of recommendations which was well received and identified areas for improvement in existing practice particularly linked to decision making.</u> - Community engagement fund developed to support work with the VCS in support of meeting our PSED - Consultation training with a focus on the legal risks undertaken by the Comms and Equalities Teams - New Equality Strategy and action plan approved by Council <u>in June 2018 and work underway - first quarterly review completed and progress is on track</u> 	4	4	16	<ul style="list-style-type: none"> - Continue to review external practice e.g. from other Local Authorities and partners, which have been deemed as best practice and implement locally as appropriate. - Ensure the correct resources, with the relevant skills and experience are allocated to roles. - Ensure HR support is available. - Report planned for GMT in Sept on a review of previous EIAs and progress on actions which provides opportunities for lessons learnt - <u>Delivery of EIA workshops and provide further guidance/templates if appropriate/needed in light of those workshops</u> 	4	3	12		<p>Miranda Cannon</p>	<p><u>31.01.2019</u> <u>Ongoing</u></p>	

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>19. Delivery, Communications and Political Governance - HR System Implementation Implementation of the new HR system goes over budget / timescales or system cannot meet requirements and fails to achieve desired outcomes and benefits</p>	<ul style="list-style-type: none"> - Ability to deliver the core HR service is compromised - Critical data / information is lost - Statutory requirements such as HMRC and other returns cannot be achieved - Increased costs to the service including risk of fines where statutory requirements cannot be met e.g. pensions returns - Reputational damage - Pressure on staff resulting from the need to work in the absence of an effective system - Staff are not paid correctly (under or overpayments) creating additional work for Payroll and dissatisfaction amongst affected staff - Other errors occur e.g. calculation of annual leave creating additional work for BSC and dissatisfaction amongst staff/TUs 	<ul style="list-style-type: none"> - Project Manager and Project Board in place. Close involvement of key areas including ICT Procurement, BSC, ICT - <u>Supplier has been in dialogue concerning a settlement proposal regarding what they propose to deliver/not deliver - a formal offer is still not forthcoming however. In addition the Supplier has been given notice twice regarding issues relating to the live system where contractual obligations are not being met however the response from the Supplier is poor and could lead to a possible breach of contract. Further actions being determined and contingency options being prepared. Andy Keeling and City Mayor briefed on the position. Close ongoing support and involvement from Legal Services and Procurement.</u> Supplier has provided a settlement proposal regarding what they propose to deliver/not deliver and associated charges and LCC has done a formal response indicating that we do not agree with this. Awaiting their response. Preparing contingency options - Recruitment removed from scope and has been re-tendered in light of failure by supplier to deliver. <u>A supplier has been confirmed and implementation is underway (see further risk below)</u> - Go live of payroll and self-serve elements has happened, issues prioritised and majority of high and medium risk issues addressed but low priority fixes still to be completed before phase one can be closed - supplier is not progressing these at the 	4	4	16	<ul style="list-style-type: none"> - Formal engagement with supplier response relating to settlement proposal. Briefing of City Mayor and Andy Keeling of current position. - Preparation relating to contingency options – Determine next course of action with the supplier in relation to settlement and the live system. - Continue to progress contingency / business continuity options 	4	4	16		Miranda Canon	31.01.2019
<p>22. Finance - Financial Challenges The Council fails to respond adequately to the cuts in public sector funding over the coming year or years.</p>	<ul style="list-style-type: none"> - Council is placed in severe financial crisis. Reputational damage to the Council and substantial crisis job losses. If the process is not properly managed, the Council will have little money for anything but statutory 'demand led services' 	<ul style="list-style-type: none"> - Budget balanced in 18/19 - Further work required to balance the medium term, particularly driving the spending review programme - £6m service transformation fund 	5	4	20	<ul style="list-style-type: none"> - <u>Heavy involvement of City Mayor and COO in ensuring spending review programme delivers.</u> - <u>Appropriate change management/ project management arrangements to be put in place for major review areas.</u> - <u>Delivery of spending review 4</u> 	5	2	10		Alison Greenhill	<u>31/03/2019/2020 and On-going</u>

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
23. Finance - Corporate Fraud Failure or inability to effectively detect, prevent, investigate and deal with corporate fraud.	- Reputational damage - Potential for losses in £millions - Investigations not effectively carried out - Fraud difficult to quantify so cannot always evidence effective outcomes	- Corporate Fraud Team has accredited financial investigator - Good engagement with Police Financial Crime Unit - Recruitment to posts	5	4	20	- Aiming to implement seconded Police officer	5	4	20		Alison Greenhill	<u>31.01.2019</u>
24. Finance - Introduction of Universal Credit (UC) Full Service LEGISLATION - Transfer of Housing support from the local authority, as under Housing Benefit (HB), to DWP. Schemes are not identical and in some instances not as generous as under HB. Impacts complex to explain as some claimants will remain on HB in the interim, for periods as fixed by the DWP.	- Rent policy and collection arrangements will be challenging (different impact to rent arrears) - Housing policies and procedures will require review - Potential need to increase allocated staff resources - Rental payments are delayed thus arrears build up leading to financial consequences for the Authority, Housing Associations & Private landlords - Financial consequences in £m - Increase to bad debt provision (Rent £2m arrears & CT £3.5m in year collection loss) - Reputational damage - Demand for Crisis Support will increase (est 200%) - Demand for Social Welfare Advice will increase (12.5%) - Demand upon Discretionary funding may exceed Government budget Allowance. - Demand for Council Tax Discretionary Relief (CTDR) support may exceed budget - Waiting and assessment periods, sanctions and compliance requirements will lead to delays in first payments and monthly reassessments of entitlement will be carried out	- LCC have a UC support strategy, risk log, Equality Impact Assessments with associated comms and action plans - Housing Service are developing a UC Full Service impact strategy, reviewing and developing a Homelessness prevention policy - Housing Options are monitoring the occurrences of this phenomenon - Detailed comms and action plans have been created by both Revenues & Customer Support & Housing - Comprehensive engagement programme is in place with commissioned providers to alert them to the increase in demand. - Every commissioned service has a business continuity plan which can be deployed should demand outstrip provision.	4	4	16	- Effective and repetitive communication campaign - The Council has written to DWP to raise their significant concerns regarding the impacts likely as a result of the introduction of full service Universal credit. - Social Welfare advice -discussions ongoing at the Strategic SWAP (Social Welfare Advice Partnership) group re the identification and management of demand - Recognition of increased demand for crisis support- Engagement with provider, Action Homeless, actions within their Business continuity planning. - DHP (Discretionary Housing Payments)/CTDR potential to request consideration of additional resources from Exec. - Reputational damage should be defensible as this is a DWP benefit and the local authority has no control over the timetable or administrative processes for this change.	3	4	12	£2m Rent arrears £0.5m Grant loss £3.6m CT loss	Alison Greenhill	<u>31.01.2019</u>

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
<p>25. Finance- BSC - Payroll Service -Loss, or partial loss of Payroll Application SAFE. Fragility of the software and SAFE system support resources leaves the potential for a significant number of staff to be paid incorrectly. This would mean over/under payments or in extreme cases no payment. <u>LGPS/TPS potential non-compliance.</u></p>	<p>- Reputational damage - potentially huge. Noting reputational damage with Harborough DC & Leicestershire Cares - Approx. 16,500 employees, councillors and external customers not paid/incorrectly paid on a monthly basis - Requirement for emergency payments due to financial hardship - Financial compensation for bank charges imposed on employees, councillors and external customers</p>	<p>- SAFE EMS systems provided by SAFE Computing, 20 Free school Lane, Leicester LE1 4FY are retaining expertise from SAFE ownership - Escrow Agreement (49000) with NCC Group - Payroll Services BCP in place, lead Cory Laywood - Line by line manual checks of the payroll extracts from the SAFE system</p>	3	5	15	<p>- Occasional testing of BCP plan - Using BAU processes to deal with under or over payments - Additional checking processes before the final BACS run - Smart reporting to test for known issues</p>	3	4	12	20% of monthly net pay at £18m	Alison Greenhill	31.01.19 & ongoing
<p>26. Legal - Key areas of risk are: flexible working practices which expose data to new risks, inappropriate disclosure of personal data, insecure and excessive information sharing externally and internally, lack of universal participation in Information Governance training, lack of awareness of the compliance and enabling role of Information Governance and failure to comply with the Regulation of Investigatory Powers Act 2000. (Also see corresponding risks around Data Protection and Freedom of Information compliance.)</p>	<p>- Data may be lost or shared inappropriately. - Potential legal challenge. - Breaches in regulation/legislation, which may incur fines, reputational damage and negative media coverage. - Local breaches are not reported to the Information Governance Team until a compliant arises. There may be a number of unreported information governance breaches which are unreported and being managed at a local level. - Subject Access Requests: this area has failed in compliance in 2013, and could fail again in the future.</p>	<p>- Policies and procedures in place e.g. security, retention and disposal. - Devices are encrypted. - Staff briefed on Information Governance (IG) compliance and asset mgmt. - Improvement plan identifies necessary procedural updates etc. - Good liaison with Information Commissioners Office (ICO) and increased visibility and compliance. - Regular reports to Directors on the importance of IG compliance. - Staff are required to complete IG training on induction and all staff were asked to complete training in 2013. - LCC submissions to the NHS IG Toolkit provide a health check on IG policies and systems. - Self service IG Healthcheck tool for managers has been drafted. Next stage is testing. (NB staff turnover and high rates of change are increasing LCC's exposure to risk here)</p>	4	5	20	<p>- Requirement for all to complete annual IG awareness training should be enforced. - Introduce a self-service IG health check for Managers to check their team's compliance and identify their own improvement actions. - IG issues to be addressed more consistently in contracts outside IT Procurement (where this is systematic). - Need for services facing high staff turnover to prioritise Data Protection and security training to maintain capability levels. NB: in a changing context, controls need to evolve and be constantly refreshed to maintain the risk exposure at the current level and prevent it from increasing. Therefore, no reduction in risk exposure is anticipated.</p>	4	3	12		Kamal Adatia	<u>31.01.2019</u>

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
STRATEGIC AREA - Education and Children's Services												
29. Strategic Commissioning and Business Development - Safeguarding/ teaching and learning workforce programmes are ineffective and Local Authority has insufficiently trained staff to deliver and manage the range.	- Stress management failings, lacks capacity and competency - Potential adverse impact on inspection outcomes.	- Work Life Balance policies, and supporting wellbeing website www.childrensworkforce/ supporting wellbeing Learning Training & Development Plan refreshed - New department priority and focus on qualification and safeguarding training.	4	4	16	- Management to implement health and safety and wellbeing policies and seek advice and support to mitigate risk of undue stress in the workforce - New corporate team to actively engage in implementing workforce strategy and limited strategy and plans.	4	3	12		TBC	31.01.2019
New												
STRATEGIC AREA - Adult Social Care												
2. Care Services & Commissioning (ASC) - Salary enhancements Removal of enhancements	- Failure to provide out of hours service (Stat duty); - Loss of key staff who seek alternative employment; - disruption to service standards and provision; - decreased morale	- Raised profile corporately	4	4	16						Tracie Rees	31.01.2019
4. Care Services & Commissioning (ASC) - Data breach Human error as demands on role increase likelihood for breach with access to sensitive data	- Sensitive data shared with wrong individuals; - Distressing to service users; - Reputational damage to LCC; - ICO investigation and potential fines	- E-learning staff training - mandatory; - HR action against offenders / disciplinary / dismissal / court; - Shared learning; - Information sharing agreement / DPA policy; - Caldicott Guardian - TR; - Automated message on log-on	5	3	15	Reviewing toolkits / refresher training / reviewing guidance and training on GDPR requires regular refresher	4	3	12		Tracie Rees	31.01.2019

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
STRATEGIC AREA - City Development and Neighbourhoods												
5. Housing - Legislation Change in Government legislation on council housing known to be coming but full details remain unclear	Requirement to increase stock significantly would likely be difficult to adhere too. Current stock reducing through RTB with remaining stock primarily less desirable and needing increased maintenance investment; overcrowding may get worse	- Stock significance - housing company established - phase one agreed and implementation starts Jan 2019; - Homecom sourcing additional affordable lets; - New build included within affordable housing register (homechoice system); - Prioritised housing register to focus on those with greater need; - Under occupation project underway to review opportunities / availability of estate to meet needs and demands; - STEPT accommodation provision to support customer needs	3	5	15	- Phase 2 to be scoped following completion of Phase 1; - Social lettings agency option being considered to being in affordable available accommodation in city; - consider further prioritised needs assessment; - establish tenant incentive scheme as part of under occupation project; - pursue additional STEPT accommodation	3	4	12		Chris Burgin	31.01.2019
6. Housing - Data Breaches Increasing demand on staff capacity increases potential for errors which lead to data breaches	- Sensitive data shared without permission; - ICO investigation and potential significant fines, - reputational damage, - decreased morale, - decreased capacity as staff support investigation	- Staff training on-line mandatory programmes; - reinforced notifications; - formal process to manage breach, formal disciplinary procedures to manage process; - HR support; - introducing technology to support staff undertaking their roles; - channelling services on-line to allow customers to self serve; - password protection mandatory; - proactive recruitment and retention to maintain FTE levels; - planned and organised approach to service changes;	4	4	16	- ongoing programme of training and education; - enhanced use of hardware; - channel shift to promote self serve; - streamlining of processes, - review of service analysis / requirements, - lessons learned review across council from Information Governance	4	4	16		Chris Burgin	31.01.2019
STRATEGIC AREA - Corporate Resources and Support												

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
20. Finance - Information and Customer Access - Cyber Security Increasing profile and expertise to circumvent established defences increase vulnerability of LCC data	- Data hacked and released into public domain; - Reputational damage - seek alternative more expensive solutions; - Fines from ICO; - Staff stress increases; - Damage to identified individuals; - Denial of service	- Technology defences; - Awareness campaign; - Targeted follow up's; - Built into new system standards from 3rd party applications (secure passwords, TLS); - Daily back-up of systems	4	5	20	- Technology solutions, requires cost effective considerations; - Continued awareness training etc..	4	5	20		Alison Greenhill	31.01.2019
21. Finance - Tactical Decision Making Business solutions considered by services, which impact upon Information Services service delivery, are taken without consultation or considering the impact	- Increased budget pressure to implement / maintain expensive systems; - Increased pressure achieve service budget / targets; - Staff morale decreases; - Reduction in service capacity; - Breach of licences leading to fines; - Security risks of data / service; - Service support to other parts of council affected; - Internal reputational damage;	- Consultation with HoS to increase knowledge and understanding of IT requirements at early stages of projects; - Create Target Operating Model (TOM); - Enforcing Digital Transformation (DT) gateway process; - Provide clear criteria for commissioning new IT solutions; - Business Continuity (BC) process includes costs to service;	4	4	16	- Monitor effectiveness of identified mitigations to determine future actions / plan	4	4	16		Alison Greenhill	31.01.2019
STRATEGIC AREA - Education and Children's Services												
27. Children's Social Care and Early Help - Budget Loss and / or reduction of services to achieve budget savings	- Reduction in preventative services impacting on ability to deliver Statutory services; - Inability to deliver Placement Sufficiency; - Decrease Capacity / Increase demand; - Potential reduction of staffing levels; - Limited ability to deliver some front line services; - Potential for future claims against authority	- Transformation board oversees all budget reduction projects; - Strategic Oversight; - Clear governance arrangements	5	4	20	Star Chamber presentation re: undeliverable savings					Caroline Tote	31.01.2018

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk What is the issue: what is the root cause/ problem – what could go wrong	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			(See Scoring Table)				(See Scoring Table)					
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
28. Children's Social Care and Early Help - GDPR Change in Data Protection regulation (GDPR) which came into force May 2018.	- Historic breaches of information due to human error continue; - Under new regulations the size of potential fines significantly greater; - Inaccurate data within systems; - Inaccurate decisions made for service user; - Could lead to data breaches and significant fines and incorrect service provision for service user. ICO involvement	- Training cascaded across services; - Compliance monitored; - Lessons learnt have been cascaded; - Actions taken where necessary	4	4	16	- Developing clear and consistent HR response. Majority of staff have completed GDPR training session. - Referral paperwork (MARF) is taking GDPR into account.	5	3	15		Caroline Tote	31.01.2019
STRATEGIC AREA - Public Health												
30. Budget Restrictions - Funding Ongoing austerity for Public Sector requires changes to service delivery to comply with available budget, continued reductions could force termination of services to ensure priority services remain available	- Change in service provision; - Decreased / ceased service /user contact; - Decreased / ceased service effectiveness; - Reputational damage; - Increased demand on other public services (primary / secondary health care / Social Care / Leisure Centres); - Risk of missing safeguarding issues; - Impact on council statutory duties; - Judicial review; - Central government intervention	- PH Return to Central Government (Return On Investment (ROI)); - Staffing restructure; - Invest to save opportunities explored; - Internal briefings / decision making process; - Political support; - Articulating associated risks; - Scrutiny; - Clinical Governance Process in place; - Monitoring to identify adverse effects	3	5	15	- Continue with existing controls; - Securing additional revenue / income generation through commercial opportunities;	3	5	15		Ivan Browne	31.01.2019

Appendix 4a - Leicester City Council Operational Risk Register

Risk Register Owner: Andy Keeling, COO

Risks as at: 31/10/18

Risk	Consequence /effect: what would occur as a result, how much of a problem would it be, to whom and why	Existing actions/controls	Risk Score with existing measures			Further management actions/controls required	Target Score with further controls			Cost	Risk Owner	Review Date
			Impact	Likelihood	Risk		Impact	Likelihood	Risk			
31. Budget Restrictions - Commissioning Reduced budget for services impacts on financial viability to potential 3rd party contractors who may deem package to be unsustainable.	- Loss of existing contractors unable to fulfil contracts within reducing financial envelope; - Inability to attract new providers during tenders; - Loss of service provision; - Impact on community who require service; - Impact on NHS as demand increases for other services; - Decreased morale; - Reputational damage to LCC	- Bespoke procurement methods; - Briefing of lead members to highlight potential risks and consequences; - Internal decision making process; - Expertise within team to assess choices and inform management briefings / options appraisal; - Advocacy by Director Public Health (DPH) with national bodies; - Provider negotiations; - Working with internal departments (legal / procurement / contract management/ finance)	4	4	16	Continue with existing controls;	4	4	16		Ivan Browne	31.01.2019
32. Budget - External Influences External national imperatives without associated budget introduced which will impact on local delivery	- Call on finances NHS pay award; - Changes in financial call due to changes in clinical requirements; - Prioritisation / decommissioning / reduction of existing service delivery model	- Internal decision making process; - Expertise within team to assess choices and inform management briefings / options appraisal; - Advocacy by Director Public Health (DPH) with national bodies;	4	4	16	- Political escalation; - Corporate responsibility; - Service & budget planning	4	4	16		Ivan Browne	31.01.2019