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### Audit and Procurement Committee

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**Time and Date**

3.30 pm on Monday, 11th April, 2016

**Place**

Committee Rooms - Council House

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**Public Business**

1. **Apologies**
2. **Declarations of Interest**
3. **Minutes of Previous Meeting** (Pages 3 - 10)  
To agree the minutes of the meeting held on 15<sup>th</sup> February 2016
4. **Exclusion of Press and Public**  
To consider whether to exclude the press and public for the item(s) of business for the reasons shown in the report.
5. **Work Programme 2015/16** (Pages 11 - 12)  
Report of the Executive Director of Resources
6. **Internal Audit Planning Process 2016-17** (Pages 13 - 20)  
Report of the Executive Director of Resources
7. **Corporate Risk Register** (Pages 21 - 44)  
Report of the Executive Director of Resources
8. **Any other items of public business which the Chair decides to take as a matter of urgency because of the special circumstances involved.**

**Private business**

9. **Procurement and Commissioning Progress Report** (Pages 45 - 52)  
Report of the Executive Director of Resources  
  
(Listing Officer: M Burn, tel: 024 7683 3757)

10. **Any other items of private business which the Chair decides to take as a matter of urgency because of the special circumstances involved.**

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Chris West, Executive Director, Resources, Council House Coventry

Friday, 1 April 2016

Note: The person to contact about the agenda and documents for this meeting is Lara Knight Tel: 024 7683 3237 Email: [lara.knight@coventry.gov.uk](mailto:lara.knight@coventry.gov.uk)

Membership: Councillors S Bains (Deputy Chair), J Blundell, L Harvard, T Sawdon, B Singh and T Skipper (Chair)

Please note: a hearing loop is available in the committee rooms

If you require a British Sign Language interpreter for this meeting  
OR if you would like this information in another format or  
language please contact us.

**Lara Knight**

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# Public Document Pack Agenda Item 3

## Coventry City Council

### Minutes of the Meeting of the Audit and Procurement Committee held at 3.30 pm on Monday, 15 February 2016

Present:

Members: Councillor S Bains (Chair)  
Councillor J Blundell  
Councillor L Harvard  
Councillor T Sawdon  
Councillor B Singh

Employees (by Directorate):

Place: A Harwood

Resources: M Burn, M Chester, P Jennings, L Knight, K Tyler

Others Present: J Gregory – External Auditor

Apologies: Councillor T Skipper

## **Public Business**

### **49. Declarations of Interest**

There were no disclosable pecuniary interests.

### **50. Minutes of Previous Meeting**

The minutes of the meeting held on 14<sup>th</sup> December 2015, were agreed and signed as a true record.

Further to Minute 38, the Committee recommended that the training session for Members be scheduled for June 2016, prior to the commencement of meetings for the new municipal year.

### **51. Exclusion of Press and Public**

**RESOLVED** to exclude the press and public under Section 100(A)(4) of the Local Government Act 1972 relating to the private report in Minute 60 headed “Procurement Progress Report” on the grounds that the report involves the likely disclosure of information defined in Paragraph 3 of Schedule 12A of the Act, as it contains information relating to the financial and business affairs of a particular person (including the authority holding that information) and that, in all circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

52. **Work Programme 2014/15**

The Committee considered a report of the Executive Director of Resources, which set out the work programme for the Committee for the coming year.

The Committee noted that the item on the Contract Management Review had been rescheduled to the meeting on 11<sup>th</sup> April 2016.

**RESOLVED that the Audit and Procurement Committee approve the work programme.**

53. **Certification Work for Coventry City Council for Year Ended 31st March 2015**

The Committee considered a report of the External Auditors, Grant Thornton, which set out the Certification work undertaken during the year ending 31<sup>st</sup> March 2015.

The Auditors were required to certify certain claims and returns submitted by Coventry City Council and this typically took place six to nine months after the claim period and represented a final but important part of the process to confirm the Council's entitlement to funding.

The Committee noted that the arrangements for certification were prescribed by the Audit Commission and Public Audit Appointment for 2014/15, who agreed the scope of the work with each relevant government department or agency and issued auditors with a Certification Instruction for each specific claim.

The report indicated that during the 2014/15 financial year one claim had been certified relating to expenditure of £131m and further details were provided in Appendix 1 to the report. There were no issues arising from the certification which required attention.

The provided further information on the indicative fee for 2014/15, which was based on the final 2012/13 certification fee and reflected the amount of work required by the auditor to certify the claims and returns in that year. It was noted that fees for schemes that no longer required certification (such as the national non domestic rates return) had been removed. The fee for certification of housing benefit subsidy claims had been reduced by 12 per cent to reflect the removal of the council tax benefit from the scheme. The indicative scale fee set by the Audit Commission for the Council for 2014/15 was £20,930 and it was not proposed to vary that amount as the work required was similar to that in the base year.

**RESOLVED that the Audit and Procurement Committee approve the certification work for the City Council for year ending 31<sup>st</sup> March 2015.**

54. **The Audit Plan for Coventry City Council**

The Committee considered a report of the External Auditors, Grant Thornton, which set provided an overview of the planned scope and timing of the audit for year ending 31<sup>st</sup> March 2016.

As required by International Standard on Auditing (UK & Ireland) 260, the Audit Plan set out the scope and timing of audit to be carried out by the External Auditors in relation to Coventry City Council for the year ending 31<sup>st</sup> March 2016 and included:

- Understanding the Council's business – the challenges and opportunities
- Developments and other requirements relevant to the audit
- The audit approach
- Materiality
- Significant risks identified
- Other risks identified
- Group audit scope and risk assessment
- Value for Money
- Results of interim audit work
- Key dates
- Fees and independence
- Communication of audit matters with those charged with governance.

The Committee noted that the External Auditors were required to perform the audit in line with the Local Audit and Accountability Act 2014 and in accordance with the Code of Practice issued by the National Audit Office on behalf of the Comptroller and Auditor General in April 2015.

In relation to the fees, the Committee noted that the total audit fees for the Council Audit and Grant Certification was £186,983 (excluding VAT) and that a further fee of £4,200 was expected in relation to the certification of teachers' pension return for 2015/16.

Having considered the report, the Committee discussed the difficulties in ensuring that partnership working with other bodies, in particular the NHS, worked well and how this could be audited. They requested that the External Auditor be asked to consider adding an additional risk to the Audit Plan within the Value for Money Conclusion on partnership working with the NHS.

**RESOLVED that the Audit and Procurement Committee:**

- 1. Note the Audit Plan for year ending 31<sup>st</sup> March 2016.**
- 2. Request the External Auditor to consider adding an additional risk to the Audit Plan within the Value for Money conclusion in respect of partnership working with the NHS.**

**55. 2015/16 Third Quarter Financial Monitoring Report (to December 2015)**

The Committee considered a report of the Executive Director of Resources that advised of the forecast outturn position for revenue and capital expenditure and the Council's treasury management activity as at the end of December 2015. The headline revenue forecast for 2015/16 was an overspend of £3.3m. At the same point in 2014/15 there was a projected underspend of £0.6m.

The Committee noted that the Cabinet had also considered the report at their meeting on 9<sup>th</sup> February 2016.

The overall revenue position incorporated a headline overspend of £8.5m within the People Directorate, the majority of which related to Adult Social Care Community Purchasing budgets. These were offset to some degree by underspends within the corporate Asset Management Revenue Account.

Capital spending was projected to be £114.6m for the year. This represented a net decrease of £3.8m on the £118.4m reported at the second quarter. The Programme comprised £2.5m approved net additions to the programme and £6.3m rescheduling of expenditure into 2016/17.

**RESOLVED that the Audit and Procurement Committee note the financial position.**

56. **Quarter Three Internal Audit Progress Report 2015-16**

The Committee considered a report of the Executive Director of Resources, which provided an update on the internal audit activity for the period April to December 2015 against the Internal Audit Plan for 2015/16.

The Committee noted that the key target facing the Internal Audit Service was to complete 90% of its work plan by the 31<sup>st</sup> March 2016. At the end of December 2015, the Service had completed 62% of the Audit Plan against a planned target of 64%. The Committee further noted that whilst the performance was only slightly behind target, the service's ability to complete delivery of the plan had been impacted by unplanned absences in the team since December 2015. In response to this, it was intended to amend the Internal Audit Plan for 2015/16 given the view that the impact of these absences could be offset by changes in the audit plan either as a result of audits being delayed, deferred or postponed and where days allocated in the plan were not reflective of need.

Table two within the report provided a list of the audits finalised between October and December 2015, along with the level of assurance provided. Appended to the report was a summary of findings from key audit reports completed and, in all cases, relevant managers had agreed to address the issues raised in line with the timescales stated. These reviews would be followed up in due course and the outcomes reported to the Committee.

In considering the Appendix to the report, the Committee raised particular concerns in relation to the Sickness Absence Compliance Review and the Pertemp Master Vendor Follow-up. With regard to the Sickness Absence Compliance, the Committee questioned the appropriateness of the requirement to carry out return to work interviews within 3 days and the need for these to be undertaken face to face given the new ways of working across the Council and more functions being carried out remotely. They requested that Human Resources be requested to review the target of 3 days and whether the return to work interviews could be undertaken in other ways than face to face meetings.

With regard to the Pertemp Master Vendor Follow-up, the Committee were concerned about the continued difficulties in ensuring the pre-employment checks were completed and sought assurance that requirements for DBS checks and ensuring that agency workers were legally entitled work in the UK were undertaken before being placed in employment within the Council. The Senior Auditor agreed to undertake further investigations and report back to the Committee Members.

**RESOLVED that the Audit and Procurement Committee:-**

- 1. Note the performance at quarter three against the Internal Audit Plan for 2015/16.**
- 2. Request Human Resources to review whether the target of 3 days in relation to return to work interviews is still fit for purpose and whether the interviews had to be carried out face to face.**
- 3. Request that confirmation be sought from Pertemps that requirements for DBS checks and ensuring that employees were legally entitled to work were completed prior to agency staff beginning work with the City Council.**

**57. Annual Compliance Report - Regulatory & Investigatory Powers Act (RIPA)**

The Committee considered a report of the Executive Director of Place, which reported on the Council's use of the Regulation of Investigatory Powers Act 2000 (RIPA).

The Committee noted that Part 1 of RIPA covered the acquisition and interception of communications data and Part 2 covered covert surveillance and property interference.

The Council's use of RIPA was to support its core functions for the purpose of prevention and detection of crime where an offence may be punishable by a custodial sentence of 6 months or more, or are related to the underage sale of alcohol and tobacco. This was determined by reference to the legislation covering the surveillance, for example the Trade Marks Act relates to counterfeit goods and has a penalty of up to 10 years imprisonment. The three types of technique available to local authorities are: the acquisition and disclosure of communications data (such as telephone billing information or subscriber details); directed surveillance (covert surveillance of individuals in public places); and covert human intelligence sources ("CHIS") (such as the deployment of undercover officers).

The Committee noted that the Act sets out a compliance structure within which Coventry City Council could request judicial approval to use directed surveillance techniques or acquire communications data in order to support core function activities (e.g. typically those undertaken by Trading Standards, Environment Health and Benefits). The information obtained as a result of such operations could later be relied upon in court proceedings providing RIPA was complied with.

The Home Office Code for Covert Surveillance Property Interference recommended that elected members, whilst not involved in making decisions or specific authorisations for the local authority to use its powers under Part II of the Act, should review the Council's use of the legislation and provide approval to its policies. The Council adopted this approach for oversight of the authority's use of Part I of the Act.

The report indicated that for the Period 1 April 2014 – 31 March 2015, as reported to the Office of Surveillance Commissioners (OSC) in April 2015, six applications had been presented to Magistrates and all had been granted. All of the requests covered core functions permitted by the Act and were for the purpose of preventing and detecting crime. There were no reported instances of the Council having misused its powers under the Act.

In relation to the use of Acquisition and Disclosure of Communications Data, for the period 1 January 2014 – 31 December 2014, there were seven applications for authorisation to acquire communications data. These were reported to the Interception and Communications Commissioners Office (IOCCO) in January 2015. All of the requests covered core functions permitted by the Act and were for the purpose of preventing and detecting crime. There were no reported instances of the Council having misused its powers under the Act.

Having considered the report submitted, the Committee were of the view that there were no specific comments or recommendations to forward to the Cabinet Member for Culture, Leisure, Sports and Parks.

**RESOLVED that the Audit and Procurement Committee note the Council's use and compliance with the Regulatory and Investigatory Powers Act (RIPA).**

#### 58. **Cyber Security**

The Committee considered a briefing note of the Executive Director of Resources, which set out the current measures in place on the Council's ICT services to prevent, manage or minimise the impact of cyber-attacks.

The Committee noted that, in an increasingly digital world, cyber threats were an issue for governments, companies, public sector organisations and individuals alike. A series of high profile attacks had highlighted the importance of remaining vigilant to the ever present risks associated with malicious attacks on systems, information and data held by organisations. These could cause not only financial loss, but also reputational risks.

As the Council adopted a more digital approach to service design and delivery, with all the associated advantages, there became an inherent new set of risks that the Council needed to consider and work to mitigate, particularly so that it could continue to operate robust systems and deliver services that residents and staff felt they could trust.

The note indicated that there were a number of different methods of attack deployed, with the main being virus or malware attack or denial of service attacks.



The Council had a number of mitigation measures in place to counter these attacks which included:

- Anti-virus software on all PCs, which was controlled centrally by ICT.
- All incoming mail scanned automatically by 2 separate systems and by the anti-virus software on each PC.
- Multiple layers of firewall placed on all external connections to the Council's network.
- All systems accessible from outside the Council were located in a special area of the network that is separate from the main Council network.
- Regular penetration testing carried out on all external access points.
- Dedicated security and network team with expertise in dealing with denial of service attacks, provided by the Council's internet service provider.

The Committee were advised that cyber security was a risk that was reflected within the Corporate Risk Register and considered actively by the Strategic Management Board. The Council's approach to cyber security and resilience was being developed through ongoing work streams as move systems and services were moving to the internet and were also being reviewed against best practice guidance and utilising specialist toolkits from leading organisations.

**RESOLVED that the Audit and Procurement Committee note the current position in relation to cyber security.**

59. **Any other items of public business which the Chair decides to take as a matter of urgency because of the special circumstances involved.**

There were no other items of public business.

60. **Procurement Progress report**

The Committee considered a report of the Executive Director of Resources which provided an update on the procurement and commissioning undertaken by the Council since the last report submitted to the meeting on 14<sup>th</sup> December 2015. Details of the latest positions in relation to individual matters were set out in an appendix attached to the report.

**RESOLVED that the Audit and Procurement Committee:**

1. **Note the current position in relation to the Commissioning and Procurement Services.**
2. **Do not intend to make recommendations to either the Cabinet Member for Strategic Finance and Resources, Cabinet or Council on any of the matters reported.**

61. **Any other items of private business which the Chair decides to take as a matter of urgency because of the special circumstances involved.**

There were no other items of private business.

(Meeting closed at 4.55 pm)

## Audit and Procurement Committee

### Work Programme 2015-16

#### 3<sup>rd</sup> August 2015

Audit Findings Report 2014-15 (Grant Thornton)  
Statement of Accounts 2014-15  
Quarter One Revenue and Corporate Capital Monitoring Report 2015-16  
Treasury Management Update  
Review of the Effectiveness of the System of Internal Audit  
Fraud Annual Report 2014-15  
Audit Committee Annual Report 2014-15  
Procurement Progress Report (Private)

#### 26<sup>th</sup> October 2015

Annual Audit Letter 2014-15 (Grant Thornton)  
Internal Audit Plan 2015-16  
Half Year Internal Audit Progress Report 2015-16  
FOI / DPA Annual Report 2014-15  
Ombudsman Complaints Annual Report 2014-15  
European Funding  
Procurement Progress Report (Private)

#### 14<sup>th</sup> December 2015

Quarter Two Revenue and Corporate Capital Monitoring Report 2015-16  
Treasury Management Update  
Internal Audit Recommendation Tracking Report  
Half Yearly Fraud Update 2015-16  
Procurement Progress Report (Private)  
Property Review / Disposal

#### 15<sup>th</sup> February 2016

Grant Certification Report (Grant Thornton)  
Annual Audit Plan (Grant Thornton)  
Quarter Three Revenue and Corporate Capital Monitoring Report 2015-16  
Quarter Three Internal Audit Progress Report 2015-16  
Procurement Progress Report (Private)  
RIPA (Regulation of Investigatory Powers Act) Annual Report 2014-15  
Cyber Security Review

## **11<sup>th</sup> April 2016**

Internal Audit Plan 2016-17  
Procurement Progress Report (Private)  
Corporate Risk Register Update  
Contract Management Review

## **Dates to be confirmed**



Coventry City Council

## Public report

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**Report to**

Audit and Procurement Committee

11<sup>th</sup> April 2016

**Name of Cabinet Member:**

Cabinet Member for Strategic Finance & Resources – Councillor Gannon

**Director approving submission of the report:**

Executive Director of Resources

**Ward(s) affected:**

City Wide

**Title:**

Internal Audit Planning Process 2016-17

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**Is this a key decision?**

No

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**Executive summary:**

The purpose of this report is to outline the approach for developing the draft Internal Audit Plan for 2016-17 to allow the Audit and Procurement Committee to express its views on the planning process.

**Recommendations:**

Audit and Procurement Committee is recommended to consider the planned approach for developing the draft Internal Audit Plan for 2016-17 and provide any comments on the content and scope of the proposed process.

**List of Appendices included:**

None

**Other useful background papers:**

None

**Has it or will it be considered by scrutiny?**

No other scrutiny consideration other than the Audit and Procurement Committee

**Has it, or will it be considered by any other council committee, advisory panel or other body?**

No

**Will this report go to Council?**

No

**Report title:**

Internal Audit Planning Process 2016-17

**1. Context (or background)**

1.1 The Audit and Procurement Committee, within its terms of reference, is required to:

*'Consider the Head of Internal Audit's Annual Report and Opinion, and a summary of internal audit activities (actual and proposed) and the level of assurance given within the Annual Governance Statement incorporated in the Annual Accounts'.*

1.2 In terms of proposed audit activities, a draft Internal Audit Plan is produced on an annual basis and is reported to the Audit and Procurement Committee to allow the Committee to discharge its responsibility as highlighted above. This mechanism also allows for the Audit and Procurement Committee to comment on the content and scope of the proposed Internal Audit Plan as a key stakeholder of the Internal Audit Service.

1.3 The plan is normally presented to the Audit and Procurement Committee in April each year. The production of the plan for 2016-17 has been delayed due to the need to ensure that the planning process meets the Public Sector Internal Audit Standards (PSIAS) and also incorporates an assessment of the resources required to provide adequate audit coverage across the organisation, to inform the completion of the Legal and Democratic Services Review in relation to the Internal Audit Service.

**2. Options considered and recommended proposal**

2.1 **Background** – Internal Audit is an essential part of the Council's corporate governance arrangements. In considering the PSIAS, Internal Audit is defined as:

*"An independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes".*

A key aspect of delivering this activity is the production of the Internal Audit Plan. The PSIAS has a number of standards in relation to establishing the Plan, which include:

- The plan must be based on a documented risk assessment, undertaken at least annually and which considers the input of senior management and the board.
- Identifying and considering the expectations of senior management and other stakeholders for internal audit opinions.
- Ensuring that internal audit resources are assessed and are appropriate to achieve the plan.

Whilst in recent years, previous planning exercises have been focused on providing audit coverage on those areas posing the greatest risk to the Council achieving its objectives, the requirement to complete the Legal and Democratic Service Review in relation to Internal Audit has identified a need to establish a plan that is reflective of the organisations' needs and which informs a more detailed assessment of internal audit resources required to achieve the plan.

This report documents the proposed planning process that will be undertaken to produce the draft Internal Audit Plan for 2016-17.

In developing the Internal Audit Plan, we aim to achieve the following objectives:

- To provide a cost effective, targeted and value added Service to our customers. This requires the Service to achieve a balance between delivering standard audit reviews and supporting significant developments so that audit expectations can be reflected in how new systems / processes are set up.
- To provide the Service with a degree of flexibility to allow it to be able to respond to the changing needs of stakeholders during the year.
- To allow the Chief Internal Auditor to provide the Council with an annual opinion on the effectiveness of the organisation's risk management, control and governance arrangements.

**2.2 Planning Process**– The production of the draft Internal Audit Plan in 2015-16 followed a three stage process:

- Determining any factors that limit the scope of audit work.
- Identifying the Audit Universe (i.e. a list of areas that may require auditing).
- Completing a risk assessment to establish priorities.

In developing the draft Internal Audit Plan for 2016-17, it is proposed that the process will be as follows:

- Identifying the Audit Universe
- Establishing what sources of assurances currently exist in relation to the Audit Universe and upon which the organisation can place reliance.
- Completing a risk assessment to establish priorities in those areas where other sources of assurance are not available.
- Using the results of this to undertake an assessment of the resources within the Internal Audit Service.

These points are expanded upon below:

**2.2.1 Identifying the Audit Universe** – this requires identification of all areas of activity which the Council undertakes in support of achieving its aims and objectives and also incorporates the following mechanisms:

- Establishing the Council's key financial systems that potentially have a material impact on the financial accounts.
- Awareness of mandatory audit areas that are determined by funding bodies and / or codes of practice.



2.2.2 Sources of assurance – In order to ensure adequate coverage and avoid duplication of effort, an assurance mapping exercise is required to understand what other internal and external providers of assurance already exist and upon which the organisation can place reliance, thus reducing the need for internal audit coverage. These sources of assurance include (but are not limited to) External Audit, Ofsted Inspections and other internal assurance mechanisms.

The process for identifying the Internal Audit Universe and carrying out the assurance mapping exercise will be carried out through consultation with senior officers across the Council and other parties where appropriate, for example, External Audit.

2.2.3 Risk Assessment – Where the assurance mapping exercise determines that internal audit coverage should be considered, a risk assessment will be completed covering the following factors:

- Whether the area is included in the Council's corporate risk register.
- The results of any previous internal audit reviews undertaken.
- On-going discussions with senior officers over the last year which establish emerging issues that warrant audit focus.
- Impact / importance of the area to the Council and any national / external focus given.

Through this process, all potential auditable areas are assessed through a scoring mechanism, to prioritise areas to consider for inclusion in the Internal Audit Plan.

2.2.4 Resource Assessment – Where the risk assessment process identifies areas which should be included within the draft Internal Audit Plan, an assessment will be made of the resources required to deliver this, both in terms of capacity and skills, and considering any resource constraints that exist. The results of this will then be used to inform the decision making process in regards to the review of the structure of Internal Audit, which forms part of the Legal and Democratic Service review. This approach is different to that taken in 2015-16 because there is a need to ensure that there is an appropriate evidential basis upon which to complete this process.

### **3. Results of consultation undertaken**

3.1 The approach to undertaking the planning process has been developed in consultation with the Legal Services Manager (Place & Regulatory) who has overall responsibility for the Internal Audit Service. Informal discussions have also taken place with other key stakeholders.

### **4. Timetable for implementing this decision**

4.1 It is envisaged that a draft Internal Audit Plan will be produced by 30<sup>th</sup> June 2016. The Internal Audit Plan is an annual plan and is based on a completion date of the 31<sup>st</sup> March 2017. Progress is monitored by the Audit and Procurement Committee. In addition to the planned quarterly progress reports, the Internal Audit Service is required to produce an annual report. This report is due in June / July 2017 and will include the opinion of the Chief Internal Auditor on the adequacy of the Council's control environment, highlighting issues relevant to the preparation of the Annual Governance Statement.

## **5. Comments from the Executive Director of Resources**

### **5.1 Financial Implications**

There are no specific financial implications associated with this report. Internal audit work has clear and direct effects, through the recommendations made, to help improve value for money obtained, the probity and propriety of financial administration, and / or the management of operational risks.

### **5.2 Legal implications**

There are no legal implications associated with this report.

## **6. Other implications**

### **6.1 How will this contribute to achievement of the council's key objectives / corporate priorities (corporate plan/scorecard) / organisational blueprint / LAA (or Coventry SCS)?**

Internal Auditing is defined in the Public Sector Internal Audit Standards as "an independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes". As such the work of Internal Audit is directly linked to the Council's key objectives / priorities with specific focus agreed on an annual basis, and reflected in the annual Internal Audit Plan.

### **6.2 How is risk being managed?**

In terms of risk management, there are two focuses:

- The risk that the Internal Audit Plan does not reflect the organisation's needs, both in terms of providing assurance to management and as a key aspect of the governance framework. This is managed through a structured planning process which includes consultation with senior management and key stakeholders, with the resulting Internal Audit Plan being presented to Audit & Procurement Committee.
- The risk that audit resources are not aligned to delivery of the plan. To mitigate this risk, a defined process has been included in the development of the Internal Audit Plan to consider the level of resources required.

### **6.3 What is the impact on the organisation?**

None

### **6.4 Equalities / EIA**

None

### **6.5 Implications for (or impact on) the environment**

No impact

## 6.6 Implications for partner organisations?

None

### Report author(s):

Karen Tyler

### Name and job title:

Acting Chief Internal Auditor

### Directorate:

Resources

### Tel and email contact

024 7683 4035 – Karen.tyler@coventry.gov.uk

Enquiries should be directed to the above person.

<b>Contributor/approver name</b>	<b>Title</b>	<b>Directorate or organisation</b>	<b>Date doc sent out</b>	<b>Date response received or approved</b>
<b>Contributors:</b>				
Suzanne Bennett	Governance Services Co-ordinator	Resources	21/3/16	24/3/16
Jasbir Bilan	Human Resources Business Partner	Resources	21/3/16	22/3/16
<b>Names of approvers: (officers and members)</b>				
Finance: Paul Jennings	Finance Manager Corporate Finance	Resources	21/3/16	21/3/16
Legal: Helen Lynch	Legal Services Manager (Place and Regulatory)	Resources	21/3/16	23/3/16

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## Public report

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Audit and Procurement Committee

11 April 2016

**Name of Cabinet Member:**

Cabinet Member for Strategic Finance and Resources – Councillor Gannon

**Director Approving Submission of the report:**

Executive Director of Resources

**Ward(s) affected:**

City Wide

**Title:**

Corporate Risk Register

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**Is this a key decision?**

No – Although the Corporate Risk Register covers the whole of the City

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**Executive Summary:**

In accordance with the Council's Risk Management Strategy this report sets out the current Corporate Risk Register to provide the Audit and Procurement Committee with an overview of the Council's corporate risk profile and the controls in place to address these risks.

**Recommendations:**

The Audit and Procurement Committee are requested to:-

1. Note the current Corporate Risk Register, indicating that they have satisfied themselves that Corporate Risks are being identified and managed.
2. Identify any areas where they require additional information (if any).

**List of Appendices included:**

Appendix One – Corporate Risk Register

**Other useful background papers:**

None

**Has it been or will it be considered by Scrutiny?**

No

**Has it been or will it be considered by any other Council Committee, Advisory Panel or other body?**

No

**Will this report go to Council?**

No

**Report title:** Corporate Risk Register

**1. Context (or background)**

- 1.1 Local Government is currently operating within an environment of substantial budget cuts and major policy changes with significant impact on service delivery and organisational structures. The pace and scale of change requires the Council to constantly assess its risk profile and implement suitable controls to manage those risks.
- 1.2 There is a requirement within the Council's Risk Management Strategy that the Audit and Procurement Committee receive and consider reports on the Corporate Risk Register every six months in order to discharge their responsibilities in respect of risk management:

*Audit and Procurement Committee – 'to monitor the effective development and operation of risk management within the Council'.*

- 1.3 This report provides an update on the Corporate Risk Register in compliance with the Risk Management Strategy.

**2. Options considered and recommended proposal**

- 2.1 It should be noted that this report covers only those risks that are viewed as the most critical for the Council and are considered at the corporate level. Risk management activity continues at other levels throughout the Council dealing with risks of a lower rating.
- 2.2 The Corporate Risks listed in Appendix 1 can be considered as falling into two separate categories:

*Operational/ Business as Usual* – those risks that could affect the underlying and fundamental operations and structure of the Council

- CR 001 – Finance:
- CR 006 – Adult Social Care
- CR 007 – Safeguarding/Protecting Vulnerable Adults, Children and Families
- CR 009 – Coventry fails to provide a high quality education for its children
- CR 012 – Provision of SEN Transport
- CR 013 – Creation of a Combined Authority for the West Midlands and agreement (or not) of a Devolution Deal

*Specific/Project* – those risks that could affect specific projects or the major change initiatives to how we operate

- CR 002 – Arena Coventry Ltd/Coventry City Football Club
- CR 003 – ICT Infrastructure and Change
- CR 004 – Customer Journey
- CR 005 – Workforce Strategy
- CR 008 – Ofsted Improvement Notice
- CR 010 – Kickstart – Move to Friargate
- CR 011 – Friargate Business District

- 2.3 The Corporate Risks and the control measures in place to address them are more fully described in Appendix 1. Audit and Procurement Committee are asked to review the

content of the register and satisfy themselves that the process is operating effectively within the Council as required under the Risk Management Strategy.

- 2.4 The Risk Management Strategy in its current form has been in place since 2012. Over the next six months the Council's practice will be subject to a full review in respect of Policy, Strategy and Operational Framework. The outcome of this review will be reported back to the Audit and Procurement Committee.

### **3. Results of consultation undertaken**

None

### **4. Timetable for implementing this decision**

- 4.1 There is no implementation timetable, this is a monitoring report.

### **5. Comments from Executive Director, Resources**

#### **5.1 Financial implications**

There are no specific financial implications associated with this report although management of the risks included is essential from a financial and operational perspective. This will enable the Council to minimise any detrimental financial outcomes arising from the risk areas and help to ensure that resources are directed towards the Council's key priorities.

#### **5.2 Legal implications**

The maintenance and review of the Corporate Risk Register ensures that the Council meets its statutory obligation under the Accounts and Audit Regulations 2015 to have appropriate measures in place to ensure that risk is appropriately managed

### **6. Other implications**

#### **6.1 How will this contribute to the Council Plan ([www.coventry.gov.uk/councilplan/](http://www.coventry.gov.uk/councilplan/))**

Effective risk management arrangements are an integral component of strategic decision making, service planning and delivery, increasing the likelihood of achieving Corporate aims and objectives.

#### **6.2 How is risk being managed?**

The Council has a policy and framework to support risk management arrangements across the organisation as part of its overarching Governance processes. This report forms part of that practice.

#### **6.3 What is the impact on the organisation?**

Effective Risk Management arrangements lead to improved decision making and operational practices across all areas of the organisation.

#### **6.4 Equalities / EIA**

None



## 6.5 Implications for (or impact on) the environment

No impact

## 6.6 Implications for partner organisations?

None

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<b>Names of approvers for submission: (officers and members)</b>				
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Director: Chris West	Executive Director of Resources	Resources	21/03/16	24/03/16
Members: Cllr Damian Gannon	Cabinet Member for Strategic Finance and Resources		24/03/16	

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[www.coventry.gov.uk/councilmeetings](http://www.coventry.gov.uk/councilmeetings)

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## Coventry City Council – Corporate Risk Register

Risk Ref	Risk Owner		Last Updated	
<b>001 – Finance</b>	Executive Director of Resources		February 2016	
<b>Risk Description:</b> Inability to deliver a balanced budget in the short and medium term.				
Planned Treatment	Timescales	Progress to Date	Risk Manager	Control Status
Robust arrangements are in place to oversee the Council's annual budget setting process. The financial planning process includes an early assessment of likely resource pressures and there is a defined consultation period to support the budget setting process. The budget is updated as new information is known and in response to any relevant internal and external factors. This analysis is also used to inform actions required to balance the budget. The outcome of the process in terms of an agreed budget is then approved by Full Council in February each year.	February 2016 (Budget Report)	<p>Consultation concluded on 2016/17 Pre Budget Report proposals. Final proposals being prepared for Cabinet and Council budget setting meetings in February 2016.</p> <p>The 2016/17 Local Government Finance Settlement includes provision for Local Authorities to accept a 4 year settlement based on plans to achieve a balanced budget across the period. Officers are currently seeking to understand the implications of this in both resource and savings terms.</p>	Assistant Director Finance	Green
A rigorous structure exists to oversee the budgetary control process from budget setting through to monitoring, oversight and scrutiny. This includes input and oversight by Directorate Management Teams, Strategic Management Board, Cabinet and Audit Committee. These arrangements along with specific project / programme boards also oversee the delivery of agreed savings.	On-going	<p>A robust budgetary control time-line is being adhered to driven by formal reporting deadlines. This includes specific steps which require sign off within Directorate management teams.</p> <p>Earlier reporting and the availability of live budgetary control forecasting have been achieved through the implementation of the Agresso financial system.</p> <p>Officer based monitoring arrangements are established to ensure that both corporate and service specific savings targets have appropriate structures to deliver their required financial targets.</p>	Assistant Director Finance	Amber

Issues should be identified at an early stage allowing time for corrective action to be undertaken to address the financial concern identified. These are formally reported through the regular Revenue and Capital Monitoring Reports during the year.	On-going	In the main, issues raised through 2015/16 (Adults Social Care, Looked After Children, Waste Disposal) have been dealt with as part of 2016/17 budget setting. Earlier reporting (see line above) helps in this regard.	Assistant Director Finance	Amber
To develop and agree proposals to address the reported significant budget gap by 2016-17		Proposals will be drawn up to be considered by the ruling administration prior to consideration of the Pre-Budget Report by Cabinet in December.	Assistant Director Finance	Green
To ensure there is an effective consultation process around proposals outlined in the Pre-Budget Report	On-going	The proposals in this report were subject to public consultation which ended on 28th January 2016. The outcome of this consultation will be included in the February budget report.  The consultation process on the new proposals in 2016/17 was relatively low key given the very technical nature of almost all of the proposals. Significant consultation and engagement continues to take place as part of the process of implementing savings proposals agreed as part of the 2015/16 budget setting process.	Assistant Director Finance	Green

Risk Ref	Risk Owner		Last Updated	
<b>002 – Arena Coventry Limited / Coventry City Football Club</b>	Assistant Director Finance		February 2016	
<b>Risk Description:</b> The outcome of legal action by the owners of the football club results in a significant financial and reputational impact to the Council.				
Planned Treatment	Timescales	Progress to Date	Risk Manager	Control Status
Appropriate arrangements are put in place to defend the legal action being taken against the Council by the owners of the football club	On-going	The Judicial Review claim against the Council was dismissed in the High Court in June 2014. The appellants eventually won the right to appeal the decision at the Court of Appeal and the appeal hearing was heard on the 3rd and 4th of February 2016. The judgement from this latest hearing is awaited.	Assistant Director Finance	Amber

		A subsequent application for a new Judicial Review relating to the sale of ACL to Wasps Holdings Ltd is stayed pending the outcome of the first JR as many of the issues, including state aid, overlap. Council has appointed a legal specialist in state aid and administrative law to represent the Council in court and significant officer time has been invested in support of the legal process.		
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Risk Ref		Risk Owner		Last Updated	
003 - ICT Infrastructure and Change		Executive Director, Resources		February 2016	
<p><b>Risk Description:</b> The major programme of on-going developments and implementation of a Digital first strategy is not implemented successfully and causes the following risks to the Council: (1) additional financial pressures (2) significant disruption to the day to day running of the Council both in the implementation phase as a result of continuing to operate with ageing systems in the meantime and an on-going basis, (3) does not underpin the Council's transformation programme and associated new ways of working. (4) infrastructure and systems are not resilient to enable business continuity and data security as the Council becomes more heavily reliant on ICT. (5) Moving to a Digital First approach to delivering services offers greater opportunity for Cyber-attacks.</p>					
Planned Treatment	Timescales	Progress to Date	Risk Manager	Control Status	
To review our provision for ICT Cyber security and the methods employed to protect our networks from Cyber-attack. To ensure that any attacks against the Council's ICT network can be defended and impact minimised	Sept 2016	An update on current cyber security arrangements has is being provided to Audit Committee in February 2016. A security audit of our current Cloud presence is underway, and this will provide an action plan for improvements.	Head of ICT Infrastructure & Operations	Amber	
To continue to review disaster recovery arrangements both within ICT and with Directorates to ensure that the impact of any disruption can be managed and any disruption minimised	On-going	Regular updates are provided to Audit committee on DR provision. Work is in progress to test the DR provision for each key line of business system. Regular external audits are carried out to review the DR arrangements.	Head of ICT Infrastructure & Operations	Amber	
To agree a programme of audit / peer review work to gain assurance around the efficacy of arrangements in place.	On-going	A plan of ICT audits has been agreed for 2015 – 2017, and this is underway. Regular meetings are held with Internal Audit to ensure the plan meets the ongoing needs.	Assistant Director ICT, Transformation and Customer Services	Green	

Robust contract and supplier management.	On-going	Meetings are diarised fortnightly but only held when business to discuss	Head of ICT Infrastructure & Operations /Head of ICT Strategy, Systems and Development	Green
Develop and periodically review Corporate and Directorate ICT strategies, roadmaps and technology catalogues to ensure technology is kept up to date and maintains a sufficient level of capacity to support increased, or change, of use.	On-going	Corporate roadmap has been refined; this will be reflected in directorate strategies and continually reviewed moving forward.	Head of ICT Strategy, Systems and Development	Green

Risk Ref		Risk Owner		Last Updated
004 Customer Journey		Executive Director, Resources		February 2016
<b>Risk Description:</b> The organisation fails to adapt to the fundamental change in the way it wants to interact with customers in the future.				
Planned Treatment	Timescales	Progress to Date	Risk Manager	Control Status
To put in place effective governance structure to oversee the Customer Journey aspect of the Kickstart Programme.	Completed	<p>A governance structure has been put in place to oversee the Kickstart Programme. This includes:</p> <ul style="list-style-type: none"> <li>• A Programme Board – Strategic Management Board</li> <li>• Assistant Director Design Group - Sounding Board and Clearing House before any upward reporting to SMB</li> <li>• Progress Board – Resources Directorate</li> <li>• Programme Team plus designated leads around key activities (e.g. finance, property, legal, ICT)</li> </ul>	Kickstart Programme Manager	Closed

<p>To develop effective mechanisms, primarily through technological enhancements to the Council's website, for customers to communicate and transact with the Council in the future.</p>	<p>On-going</p>	<p>MyAccount has now been launched a number of services are now offered through this facility and these will be added to over the coming months. Self-service payment kiosks have been introduced to support the removal of the banking hall and promote an alternative channel. On-line and automated telephone routes have been introduced. We will continue to explore technological options to reduce the need for human intervention in engagement with the Council</p>	<p>Assistant Director ICT, Transformation and Customer Services</p>	<p>Green</p>
<p>To create an appropriately skilled / resourced workforce aligned to the strategic focus for customer interaction with the Council.</p>	<p>Autumn 2015</p>	<p>We have introduced specific roles to support engagement with customers in a face to face setting. Recruitment processes for all roles have been reviewed to incorporate the organisations behaviour framework. A full training programme has been delivered to all front facing team members</p>	<p>Head of Customer Services</p>	<p>Closed</p>
<p>To agree the channels through which the Council will interact with its customers and put in place a robust strategy to communicate these changes.</p>	<p>Autumn 2015</p>	<p>To date the banking hall has closed and customer engagement has been moved from receptions at CC1, CC4 and from the Council House and the Housing Benefit and Housing space in Christchurch House. Over the course of the next few months the Youth Offending and Safeguarding face to face function will move. We have created, implemented and reviewed communication plans for all of these changes and will continue to do so with all future change.</p> <p>Continued focus on using existing communication methods to promote the use of online interaction.</p>	<p>Assistant Director ICT, Transformation and Customer Services</p>	<p>Green</p>

Risk Ref		Risk Owner		Last Updated	
005 – Workforce Strategy		Executive Director, Resources		February 2016	
<b>Risk Description:</b> The organisation fails to develop its workforce to reflect the way it needs to operate in the future.					
Planned Treatment	Timescales	Progress to Date	Risk Manager	Control Status	
To develop a governance structure to oversee the 'Future Workforce Programme'.	Completed	A governance structure has been developed and the following governance structure is in place; A Culture Change New Ways of Working Project Board and a Future Workforce Programme Board. In addition governance arrangements are also in place for the five project/teams which form the 'Future Workforce Programme'	Head of Workforce Transformation		
To develop a Workforce Strategy to support the future needs of the organisation.	On-going	A draft Workforce Development model has been produced which covers 4 key themes; The Best Possible Workforce, Inspirational & Effective Leadership, A Great Place to Work and Delivering in Partnership.	Head of Workforce Transformation	Green	
To develop an action plan to support the implementation of the Workforce Strategy and 'Future Workforce Programme'.	On-going	Action Plan in place for the 'Future Workforce Programme, action plan being scoped and considered for the Workforce Strategy	Head of Workforce Transformation	Amber	
Routine monitoring reports to be produced and considered by the Programme / Project Board on a timely basis.	Future Workforce Bi-Monthly Lead Meetings	Bi-monthly Future Workforce programme level meetings held with lead representatives (or substitute) from each of the five project teams attending & providing an update on progress in relation to their respective project. Meetings also provide an opportunity for all project leads to have a good understanding of how each respective project is progressing and aligning themselves with other projects within the Kickstart work-stream. Updates are also fed up to the HR & Culture Change Board and SMB as & when required.	Head of Workforce Transformation	Green	



Effective risk management arrangements are in place to oversee the Future Workforce Programme'	HR & CC Programme Level Monthly Highlight Reports	Risk is monitored at programme level (HR & CC) by S Reynolds. There are 6 key areas of risk identified & monitored, those are – Strategy; Communicating Change; Employee Engagement; Senior & Middle management do not support the change; Lack of regular and effective engagement with Trade Unions; Lack of appropriately skilled resource to lead/complete & deliver projects.	Head of Workforce Transformation	Green
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Risk Ref	Risk Owner	Last Updated
006 – Adult Social Care	Executive Director People	March 2016

**Risk Description:** Unable to meet the needs with the resources available

Planned Treatment	Timescales	Progress to Date	Risk Manager	Control Status
Revised customer journey to contribute to overall efficiency savings through a number of identified opportunities.	On-going	<p>An All Age Disability Team, Telecare service and a Resource Allocation System (FACE) are now in place however, more needs to be done to enable Adult Services to operate within the resources available.</p> <p>In order to ensure we are operating an effective 'front door' work is underway to implement an on-line self-assessment tool to enable more effective identification of eligible needs. In addition to this plans are being developed to co-locate social care staff within the customer contact centre to provide a greater level of professional support and advice for people when they first contact the City Council.</p> <p>The City Council has also been successful to securing support through the 'digital challenge' which will enable us to develop our approach to using new technology to support people through adult social care.</p>	Director of Adult Services	Amber

Implementation of the Better Care Fund projects.	On-going	Implementation of projects identified in the 2015/16 submission have been progressed and for the 2016/17 submission a revised set of projects will be undertaken incorporating the ongoing health transformation programme.  Any proposals will consider financial efficiencies that can be achieved through such opportunities.	Director of Adult Services	Amber
Engagement and consultation processes are sufficiently resourced and robust	On-going	Where formal consultation is required this will be undertaken in a proportionate manner with appropriate capacity to ensure that any risk of a successful challenge are mitigated.	Director of Adult Services	Green
To continue to focus on identifying new transformation / saving proposals across Adult Social Care to assist the People Directorate deliver savings targets.	On-going	Adult Social Care has been the subject of a Peer Challenge in February 2016 and has participated in a regional project on Use of Resources. Both of these have identified areas where further change can be progressed in order to both improve outcomes and deliver savings.  For the areas identified further plans to deliver savings will be produced and implemented.	Director of Adult Services	Amber

<b>Risk Ref</b>	<b>Risk Owner</b>		<b>Last Updated</b>	
<b>007 – Safeguarding / Protecting Vulnerable Adults, Children and Families</b>	Executive Director People		March 2016	
<b>Risk Description:</b> A child, young person or vulnerable adult experiences abuse or neglect leading to significant harm or death and the Council and its statutory partners or commissioned services are deemed to have failed to safeguard or protect.				
<b>Planned Treatment</b>	<b>Timescales</b>	<b>Progress to Date</b>	<b>Risk Manager</b>	<b>Control Status</b>
Implement learning and action plans from Serious Case Reviews similar reviews concerning both adults and children.	On-going	On-going work in this area to progress learning from SCRs. For every review undertaken and each sub group of the Boards have a work plan to include assurance of the recommendations from SCRs as they are completed.	Director of Adult Services Director of Children's Services	Amber – processes still developing

Re-invigoration of quality assurance framework around social work cases in all teams within children's services	On-going	Revised Quality Assurance Framework in place. Robust performance information developed. New audit tools developed with increased level of audit activity. Recent children's and adult's peer reviews included a sample audit of cases to inform learning. Other quality activity is underway through the Practice Improvement Forum and workforce development.	Director of Children's Services	Green
Introduction of use of Care Director for the recording of Safeguarding adults processes and progress to facilitate better monitoring of cases and capacity to performance monitor	Ongoing	Care Director is now being used to record safeguarding activity. Performance monitoring will be established as a result of this.	Director of Adult Services Director of Children's Services	Amber – processes still developing
Awareness raising for all Council employees of signs and indicators of risk to children, young people and vulnerable adults.	On-going	Safeguarding training is part of mandatory training. Information through training to all staff advising of what to do if concerned about a child or adult at risk of harm or abuse. All staff have been reminded directly by e mail from the Executive Director, People of the importance of updating their training.  Posters disseminated to reinforce the responsibilities of staff to protect children and young people at risk of abuse. Safeguarding Boards annual conferences and events to raise awareness across all agencies and promote prevention and protection of children, young people and vulnerable adults.	Director of Adult Services Director of Children's Services	Amber – not possible to be sure everyone has attended training
To ensure that the impact of any proposed changes in service delivery specifically consider the risk in relation to safeguarding.	On-going	Explicit consideration of safeguarding implications as part of any change process or proposal, e.g. changes to IT systems.  Explicit consideration of risk in relation to safeguarding to form part of decision making on change proposals brought forward by the people directorate	Executive Director	Green

Risk Ref		Risk Owner		Last Updated	
008 – Ofsted Improvement Notice		Executive Director People		March 2016	
Risk Description: The Council fails to make the necessary improvements as defined in the Improvement Notice issued by Ofsted in June 2014.					
Planned Treatment	Timescales	Progress to Date	Risk Manager	Control Status	
Governance structure via the Children's Services Improvement Board	Completed	Improvement Board in place with refreshed governance from Autumn 2015.	Executive Director	Green	
Development of a detailed Improvement Plan.	Completed	Progress against Improvement Plan reported to each Improvement Board. Actions completed have been removed to ensure that focus remains on actions that need to be taken forward. The Board agreed that the Operational Group review further to identify whether any further actions need to be included in the plan at its meeting in February 2016.			
Additional financial investment to support challenges in Children's Service.	On-going	Investment made and additional staffing recruited. Workforce Strategy revised and new recruitment campaign launched February 2016. Review of current investment currently underway to inform future financial and service planning.	Executive Director	Green	
Regular progress reports assessing progress.	On-going	Progress reports are in place to Improvement Board and regular updates are made to Scrutiny Board and to full Council. Cross party member seminar on progress planned for 21.3.16.	Director of Children's Services	Green	
Independent Assurance over action taken.	On-going	A level of assurance is provided by the independent chair and DfE advisor. DfE 6 monthly reviews in place, most recent undertaken in February 2016. Strengths and areas for development were noted. Identified areas for increased oversight are reported back to the Improvement Board. Most recent LGA peer review undertaken in October 2015.	Executive Director	Green	

Wider communication to stakeholders around progress made in implementing the Improvement Plan.	On-going	Communications are in place. Partners are fully engaged in Improvement Board and in the Operational group. A bulletin is produced for them to share within their organisations. Refreshed communications strategy in place with new senior leadership team. Regular children's services newsletter and blog from the Director of Children's Services. Lead Member, DCS and Executive Director, People are undertaking frequent visits to the frontline.	Improvement Board	Green
Continue to embed improvements in quality of practice	On-going	Increased audit activity to improve consistency and quality of practice. 'Signs of Safety' launched, Recording & Supervision Policy revised and comprehensive Learning & Development programme in place. Relentless focus on consistency and quality of practice aligned to delivery of workforce strategy are top priorities for the service.	Director of Children's Services	Amber

<b>Risk Ref</b>	<b>Risk Owner</b>		<b>Last Updated</b>	
<b>009 – Coventry fails to provide a high quality education for its children</b>	Executive Director People		March 2016	
<b>Risk Description:</b> Coventry school(s) goes into Requires Improvement or serious weaknesses/special measures or is otherwise proven to be inadequate.				
<b>Planned Treatment</b>	<b>Timescales</b>	<b>Progress to Date</b>	<b>Risk Manager</b>	<b>Control Status</b>
Continued focus and support on underachieving groups.	On-going	Challenge and support processes are in place to narrow gaps in attainment for under-achieving groups, particularly Looked After Children (LAC), pupils receiving Pupil Premium (PP), pupils eligible for free school meals (FSM), pupils with special education needs/disability (SEND), pupils with English as an additional language (EAL) and White British. The 2015 results showed notable increases in the percentage of vulnerable pupils' achievement at all key stages (i.e. improvements in both attainment and progress).	Director of Education	Amber

		Where there has been a decrease in performance in summer 2015, targeted work through the school-to-school support model is being undertaken, monitored and evaluated to ensure this does not become a trend.		
The Primary School Improvement Strategy is evaluated.	On-going	<p>Over the last three years the primary school improvement strategy has had a significant impact upon the percentage of pupils attending good and outstanding schools. Currently (February 2016) 85% of children attend a good or outstanding school compared to 81% nationally and there are no primary schools in Special Measures. As a result the current strategy is continuing to be administered throughout 2015-16. Various refinements have been introduced to ensure that the strategy is well embedded within current practice. These include:</p> <ul style="list-style-type: none"> <li>• The increased engagement of all schools within the day-to-day organisation and structure of the primary school partnership</li> <li>• The clarification of the key purpose of all partnership groups and meetings</li> <li>• The alignment of all systems with the new Ofsted Common Inspection Framework (CIF) (September 2015).</li> </ul>	Director of Education	Green
A new system-led model of secondary school improvement is developed in partnership with the Local Authority and secondary schools.	On-going	Building upon the success of the school-to-school support strategy in primary, all secondary school head teachers are committed to making rapid improvement to secure improved outcomes (59% of secondary schools are currently good or outstanding). Since September 2015 secondary headteachers have adopted a refreshed approach to partnership working and have developed and implemented a new secondary school improvement strategy enabled by a central LA infrastructure from January 2016.	Director of Education	Amber

		<p>There has been unanimous buy-in from all headteachers (including academies, free schools and the UTC) to adopt/implement:</p> <ul style="list-style-type: none"> <li>• school-to-school support groupings (Collectives) – led by Chairs who are system leaders (National Leaders of Education [NLEs/LLEs]); based on a mixed Ofsted profile; schools within Multi-Academy Trusts (MATs) in the same collaborative</li> <li>• quality assurance monitoring of the impact of support</li> <li>• an overarching secondary school improvement board chaired by the Director of Education that ratifies the funding allocation and brokers school-to-school support.</li> </ul> <p>All Collaboratives have agreed to the delivery of specific support for individual schools, including the provider of the support and the costings/timeframe. Support is currently being delivered and LA Quality Assurance Officers will begin to monitor the impact of the support towards the end of the spring term and during the summer term.</p>		
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Risk Ref		Risk Owner		Last Updated	
010 – Kickstart - Move to Friargate		Executive Director, Place		March 2016	
Risk Description: The Council's move to new offices is not delivered either on time or within budget.					
Planned Treatment	Timescales	Progress to Date	Risk Manager	Control Status	
To put in place effective governance structure to oversee the infrastructure developments (e.g. build of new of new office environments, bridge deck, accommodation, decommissioning) as part of the Kickstart Programme.	Completed	<p>A governance structure has been put in place to oversee the Kickstart Programme. This includes:</p> <ul style="list-style-type: none"> <li>• A Programme Board – Strategic Management Board</li> </ul>	Kickstart Programme Manager	Green	

		<ul style="list-style-type: none"> <li>Assistant Director Design Group - Sounding Board and Clearing House before any upward reporting to SMB</li> <li>Progress Board – Place Directorate</li> <li>Programme Team plus designated leads around key activities (e.g. finance, property, legal, ICT)</li> </ul>		
A robust plan is in place to help ensure all the inter-related projects are delivered on time to ensure the Council moves to new offices at Friargate.	On-going	<p>Regular team and board meetings, centrally coordinated, to ensure awareness across the entire programme.</p> <p>Periodic engagement with key stakeholder groups, both internal and external, to streamline decision making process and avoid disputes.</p> <p>Main risks currently concern the installation of Heatline to serve the wider Friargate development. A contract between Friargate LLP &amp; Cofely is required and the Kickstart team is doing its best to facilitate.</p> <p>Also, given the increased construction activity around the train station (forecourt; masterplan; access etc.) the risk of interface clashes is increased and so site-wide coordination is key. Currently being managed through a Place Directorate Board, dedicated to the more prominent developments in the City of which this matter is one.</p>	<p>Kickstart Programme Manager</p> <p>AD – City Centre and Development Services</p> <p>AD – Planning, Transport &amp; Highways</p>	Amber
Effective project management arrangements (including risk management) are in place to oversee the delivery of the key built environment projects within the Kickstart Programme.	On-going	<p>Programme and project risk registers periodically updated and shared with board and SMB.</p> <p>Weekly sessions with project manager cohort help ensure programme-wide awareness of dependencies and key dates etc.</p>	Kickstart Programme Manager	Green



Routine monitoring reports to be produced and considered by the Programme Board on a timely basis	On-going	Continuing as originally planned. Reports, both on informal and formal basis are circulated to entire team to maximise awareness of programme progress.  Decision-making is via respective project boards; programme board and SMB – depending on impact of decision.	Kickstart Programme Manager	Green
Effective management of the disposal of existing property estate up to and including the move to Friargate	On-going	Regular involvement with property teams across the Place directorate to ensure the buildings we will no longer need are marketed in adequate time to minimise the overlap of void properties.  As teams begin to migrate to the city centre our suburban estate will shrink accordingly – and Commercial Property Management are working closely with the Kickstart team to build a forward plan.  Progress so far: Civic Centre estate now sold to Coventry University. Christchurch & Spire House to be given to Sports Centre project.	Kickstart Programme Manager	Green

Risk Ref		Risk Owner		Last Updated
011 – Friargate Business District		Executive Director, Place		March 2016
<b>Risk Description:</b> Failure to attract businesses to move to the Friargate Business District.				
Planned Treatment	Timescales	Progress to Date	Risk Manager	Control Status
GVA have been appointed by Friargate LLP to act in securing tenants for the other buildings	Current through to completion of the scheme	GVA are engaging with potential tenants although a more comprehensive marketing programme is not anticipated until the Key Route is in and the Council building is commenced The template brochure is now in circulation.	AD – City Centre and Development Services	Amber
The collaboration agreement allows for a Project board meeting to update the council not less than every 3 months	Current through to completion of the scheme	Friargate currently have regular monthly marketing meetings and the Council attends those. In addition to this there are regular Project Board meetings.	AD – City Centre and Development Services	Green

The council will where it can and it is appropriate, jointly promote the scheme and introduce potential tenants and occupiers to Friargate LLP	Current through to completion of the scheme	This is occurring currently	AD – City Centre and Development Services	Green
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Risk Ref	Risk Owner		Last Updated	
<b>012 – Provision of SEN Transport</b>	Executive Director, Place		March 2016	
<b>Risk Description:</b> The Council continues to implement, without revision its current SEND policy for the provision of home to school transport for children and young people age 2 - 19 Lead				
Planned Treatment	Timescales	Progress to Date	Risk Manager	Control Status
The SEND strategy focuses on enablement. The project plan falls within the Governance of the SEND Board, which secures the engagement of all stakeholder groups. Elected Members have agreed to support the pre-consultation process. A detailed analysis of activity and costs has been completed which will inform the impact assessment	On-going	The Council's financial strategy includes an assumption of significant cost reduction, which is wholly deliverable in 2017/18 but will be compromised in 2016/17. The process of consultation and political approvals alongside a statutory requirement for the Council to publish its Post 16 SEND travel assistance policy no later than 31st May makes a September 2016 implementation date significantly challenging to achieve. However, other changes within the existing policy such as increasing independent travel training and personal transport budgets will be actively pursued.	Director of Education	Amber

Risk Ref	Risk Owner		Last Updated	
<b>013 – Creation of a Combined Authority for the West Midlands and agreement (or not) of a Devolution Deal</b>	Chief Executive		February 2016	
<b>Risk Description:</b> The Council continues to implement, without revision its current SEND policy for the provision of home to school transport for children and young people age 2 - 19 Lead				
Planned Treatment	Timescales	Progress to Date	Risk Manager	Control Status
1. Ensure consultation & engagement at WMCA level on the scheme to include the Directly Elected Metro Mayor meets the statutory requirements and reduces the risk of judicial review challenge.	On-going			Amber

<p>2. The overall financial implications on CCC's budget and medium term financial strategy of local contributions to Treasury's additional £36.5 million annual revenue contribution.</p> <p>3. Create detailed delivery plans for phasing of £150million capital expenditure on Friargate &amp; City Centre South.</p> <p>Agree human resourcing plan of key CCC officers to both support &amp; shape the creation of the WMCA and ensure delivery of the devolution deal.</p>				
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