
Cabinet Member for Policy and Leadership

Time and Date

2.00 pm on Wednesday, 8th November, 2017

Place

Diamond Room 2 - Council House

Public Business

1. **Apologies**
2. **Declarations of Interest**
3. **Minutes** (Pages 3 - 6)
 - a) To agree the minutes from the meeting held on 13 April, 2017
 - b) Matters Arising
4. **Complaints to the Local Government and Social Care Ombudsman 2016/17**

Report of the Deputy Chief Executive (People)
5. **Risk Management Policy and Strategy**

Report of the Deputy Chief Executive (Place)
6. **Authority for Attendance - Conference/Seminar**

To seek approval for attendance at the Centre for Public Scrutiny Annual conference to be held in London on 6 December, 2017
7. **Outstanding Issues**

There are no outstanding issues
8. **Any Other Items of Public Business**

Any other items of public business which the Cabinet Member decides to take as matters of urgency because of the special circumstances involved.

Private Business

Nil

Martin Yardley, Deputy Chief Executive (Place), Council House Coventry

Tuesday, 31 October 2017

Note: The person to contact about the agenda and documents for this meeting is Suzanne Bennett Tel: 024 7683 3072 Email: suzanne.bennett@coventry.gov.uk

Membership: Councillors G Duggins (Cabinet Member) and G Ridley (Shadow Cabinet Member)

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.

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Coventry City Council
Minutes of the Meeting of Cabinet Member for Policy and Leadership held at 2.00
pm on Thursday, 13 April 2017

Members Present:

Councillor G Duggins (Cabinet Member)

Councillor J Blundell (Shadow Cabinet Member)

Employees (by Directorate):

Place	A Mitchell, M Rose, L Stockin, A West
People	J Sansom

Public Business

6. Declarations of Interest

There were no disclosable pecuniary interests declared.

7. Minutes

The minutes of the meeting held on 28th July 2016 were agreed and signed as a true record.

8. Code of Corporate Governance

The Cabinet Member considered a report of the Deputy Chief Executive (Place), which proposed the introduction of a new Code of Corporate Governance and review process for the City Council in line with the principles and best practice set out in the national framework.

Coventry City Council first introduced a Code of Corporate Governance in 2009 based on best practice at the time. The context in which local government operated had changed significantly since then including a period of significant financial challenge, the growing devolution agenda and the introduction of a wide range of legislation that had brought new roles, responsibilities and opportunities for collaboration with a wider range of partners.

In 2016, the Chartered Institute of Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives (SOLACE) updated their guidance on Corporate Governance and published the new *Delivering Good Governance in Local Government Framework*. This provided a best practice framework for local authorities to help make sure that their resources were directed in accordance with agreed policy and according to priorities, that there was sound and inclusive decision-making and that there was clear accountability for the use of those resources in order to achieve the desired outcomes for service users and communities. It set out the principles that underpinned good governance and how local authorities could assure themselves and others that they were meeting them.

The Cabinet Member noted that the Audit and Procurement Committee approve the annual governance statement and the views of the Committee were sought as part of the preparation of this Code. The Committee considered a draft of the proposed Code at its meeting on 3rd April 2017 and supported the approach. They stressed the importance of ensuring that the proposed review process was robust in order that the Council could assess itself effectively against both the principles of the Code and the best practice identified in the national framework. They sought assurance about how the review cycle would operate to identify gaps and deliver improvement and how progress would be reported and monitored.

RESOLVED that the Cabinet Member for Policy and Leadership approve the Code of Corporate Governance attached at Appendix 1 of the report.

9. **Review of the Council's Whistleblowing Policy**

The Cabinet Member considered a report of the Deputy Chief Executive (Place), which proposed a revised Whistleblowing Policy for the Council following a review.

The report indicated that the Council was not required by law to have a Whistleblowing Policy. However, it was recommended in government guidance and by Public Concern at Work that employers should, as a matter of best practice, have a Whistleblowing Policy as it showed the employer's commitment to listening to concerns and addressing them appropriately. Such a policy helped to foster an open culture where employees were encouraged to report concerns. It was best practice to have a Whistleblowing Policy in order to maintain high standards of openness and accountability and to encourage those with concerns to raise them using the policy.

Whistleblowing legislation was governed by the Employment Rights Act 1996 (as amended by the Public Interest Disclosure Act 1998). This legislation provided that certain individuals (employees, workers, agency workers) were protected from suffering any detriment i.e. any disadvantage because he/she had made a protected disclosure.

Under the Enterprise and Regulatory Reform Act 2013 a disclosure was only a protected disclosure if the individual reasonably believed that the disclosure was in the public interest and that it related to one of the prescribed categories as specified under paragraph 7 of the draft policy, which was attached at appendix 2 of the report.

One of the key concerns raised in the Rotherham report was that the Whistleblowing Policy was inadequate and did not provide adequate protection to whistle-blowers. The review of the City Council's policy sought to address these concerns through the use of safeguards and protections for individuals.

The Whistleblowing Policy was reviewed in order to ensure that it was fit for purpose and complied with the legislative requirements.

The report also indicated that Local Authority schools should review their Whistleblowing Policy in light of the Council's review and update their policy where appropriate. The Council would liaise the governing bodies to ensure that they were aware of the amendments made.

The Cabinet Member noted that the report had also been considered by the Ethics Committee at its meeting on 17th March 2017 and the Audit and Procurement Committee at its meeting on 3rd April 2017. Both were supportive of the revised Policy.

RESOLVED that, having considered the comments of the Ethics Committee and the Audit and Procurement Committee, the Cabinet Member for Policy and Leadership approve the revised Whistleblowing Policy attached at Appendix 2 of the report.

10. Information Management Strategy Update - Information Risk Policy

The Cabinet Member considered a report of the Director of Finance and Corporate Services, which sought approval of the Information Risk Policy.

The Council's Information Management Strategy was approved by Cabinet in March 2016. It was acknowledged that Information Management was becoming increasingly critical to the way the public sector did business as it integrated services, sought to gain better outcomes with fewer resources and digitalised the way services were delivered. Information was one of the authority's greatest assets and its usage was a major responsibility. Coventry City Council were ambitious to be a Council that was trusted by its citizens and customers to manage and protect their information. The Information Management Strategy would ensure that the Council exploited information as a strategic asset, using recognised best practice, legislation and technology to minimise requests for information and maximise the opportunities for information intelligence to share future services and evaluate the effectiveness of existing ones.

One of the work streams within the strategy related to information governance and data protection. In order to understand the level of maturity and assurance in relation to information governance across the organisation, the Council arranged for the Information Commissioner's Office (ICO) to conduct a data protection audit. Information Management specialists (In-Form Consult) were also engaged to conduct a Council wide maturity assessment. These exercises had helped formulate action plans for the Council to improve its information management arrangements.

Updates on these action plans were shared with Audit and Procurement Committee and the Cabinet Member for Policy and Leadership in July 2016; October 2016, and February 2017. The most recent report highlighted that of the 77 recommendations proposed by the Information Commissioner's Office, 75 had been completed, with the remaining 2 requiring final approval. These final actions related to the creation of an Information Risk Policy and Information Risk Register. The report submitted presented the draft Information Risk Policy for approval.

RESOLVED that the Cabinet Member for Policy and Leadership approves the Information Risk Policy.

11. Outstanding Issues

There were no outstanding issues.

12. **Any Other Items of Public Business**

There were no other items of public business.

(Meeting closed at 2.10 pm)



Coventry City Council

Cabinet Member for Policy and Leadership
Audit and Procurement Committee

8 November 2017
22 January 2018

Name of Cabinet Member:

Cabinet Member for Policy and Leadership – Councillor Duggins

Director approving submission of the report:

Deputy Chief Executive (People)

Ward(s) affected:

All

Title:

Complaints to the Local Government and Social Care Ombudsman 2016/17

Is this a key decision?

No

Executive summary:

The Local Government and Social Care Ombudsman (LGO) is the final stage for complaints about councils, all adult social care providers (including care homes and home care agencies) and some other organisations providing local public services. It is a free service that investigate complaints in a fair and independent way; and provides a means of redress to individuals for injustice caused by unfair treatment or service failure.

Coventry City Council's complaints policy sets out how individuals can complain to the Council, as well as how the Council handle compliments, comments and complaints. The Council informs individuals of their rights to contact the LGO if they are not happy with the Council's decision after they have exhausted the Council's own complaints process.

Every year, the LGO issues an annual letter to every Council, summarising the number and trends of complaints dealt with in each local authority. The latest letter, issued July 2017 covers complaints to Coventry City Council between April 2016 and March 2017 (2016/17).

This report sets out the number, trends and outcomes of complaints to the LGO relating to Coventry City Council in 2016/17, and a comparison to previous years.

Recommendations:

The Cabinet Member is recommended to:

1. Consider the Council's performance in relation to complaints to the LGO.

2. Note the Council complaints process and guidance, updated for 2017 in line with recommendations set out in the annual letter.
3. Request the Audit and Procurement Committee to review and be assured that the Council takes appropriate action in response to complaints investigated and where the Council is found to be at fault.

The Audit and Procurement Committee is recommended to:

1. Consider the Council's performance in relation to complaints to the LGO.
2. Note the Council complaints process and guidance, updated for 2017 in line with recommendations set out in the annual letter.
3. Review and be assured that the Council takes appropriate actions in response to complaints investigated and where the Council is found to be at fault.

List of appendices included:

Appendix I – Coventry City Council Local Government and Social Care Ombudsman Complaints Handling Guidance

Appendix II – Local Government and Social Care Ombudsman Investigation Decisions in 2016/17 for Coventry City Council

Background papers:

None

Other useful documents

Local Government and Social Care Ombudsman Annual Review letter 2017 for Coventry City Council

<http://www.lgo.org.uk/documents/councilperformance/2017/coventry%20city%20council.pdf>

Local Government and Social Care Ombudsman complaint reviews – Complaints received and decisions made 2016/17 data sheets <http://www.lgo.org.uk/information-centre/reports/annual-review-reports/local-government-complaint-reviews> and <http://www.lgo.org.uk/information-centre/news/2017/aug/ombudsman-releases-complaints-statistics-for-all-local-authorities>

Report to Cabinet Member Strategic Finance and Resources 15 December 2016 – Complaints to the Local Government Ombudsman 2015/16

<http://democraticservices.coventry.gov.uk/ieListDocuments.aspx?CId=208&MIId=11055&Ver=4>

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?

Yes – Audit and Procurement Committee on 22 January 2018

Will this report go to Council?

No

Report title:**Complaints to the Local Government and Social Care Ombudsman 2016/17****1 Context (or background)**

- 1.1 The Local Government and Social Care Ombudsman (LGO) is the final stage for complaints about councils, all adult social care providers (including care homes and home care agencies) and some other organisations providing local public services. It is a free service that investigate complaints in a fair and independent way; and provides a means of redress to individuals for injustice caused by unfair treatment or service failure
- 1.2 Coventry City Council's complaints policy, published on the Council's website at www.coventry.gov.uk/complaints/, sets out how individuals can complain to the Council, as well as how the Council handle compliments, comments and complaints. The Council informs individuals of their rights to contact the LGO if they are not happy with the Council's decision after they have exhausted the Council's own complaints process.
- 1.3 Every year, the LGO issues an annual letter to every council, summarising the number and trends of complaints dealt with in each local authority. The latest letter, issued July 2017 covers complaints to Coventry City Council between April 2016 and March 2017 (2016/17).
- 1.4 This report to Cabinet Member Policy and Leadership and the Audit and Procurement Committee sets out the number, trends and outcomes of complaints to the LGO relating to Coventry City Council in 2016/17, and a comparison to previous years. It also provides more detail about complaints that the LGO investigated, including the actions taken by the Council when the LGO upholds a complaint.
- 1.5 The Council also produces formal reports on complaints about adult social care and children's social care, to Cabinet Member Adult Services and Cabinet Member Children and Young People respectively.

2 Options considered and recommended proposal

- 2.1 Nationally, the LGO received 16,863 complaints and enquiries in 2016/17, the greatest proportion were about education and children's services (2,983), followed by adult social care (2,555), and planning and development (2,336).
- 2.2 Locally, the LGO recorded 105 complaints and enquiries in 2016/17 relating to Coventry City Council. This is similar to the number recorded in 2015/16 (109 complaints). The following sets out complaints and enquiries received by the LGO about Coventry City Council in 2016/17 by category (as defined by the LGO) and shows if the number received has increased (↑) or reduced (↓) between 2015/16 and 2016/17:

Complaints by category

Category	Complaints	Trend
Adult care services	13	↑
Benefits and tax	11	↓
Corporate & other services	10	↓
Education & children's services	17	↓
Environment services, public protection & regulation	17	↓
Highways & transport	16	↓
Housing	14	↑
Planning & development	7	↑
Total	105	↓

- 2.3 It is not possible to comment on the Council's performance based purely upon the number of complaints or enquiries to the LGO. On one hand, a high number of complaints may indicate that a council has been effective at signposting people to the LGO through their complaints handling process. On the other hand, a high number of complaints may also highlight that a council needs to do more to resolve issues through its own complaints process.
- 2.4 When dealing with an enquiry, the LGO can choose to investigate cases where it sees merit in doing so. Following an investigation, the LGO can decide if a complaint is: **upheld** – where a council has been at fault and this fault may or may not have caused an injustice to the complainant; or where a council has accepted it needs to remedy the complaint before the Council makes a finding on fault; or **not upheld** – where, following investigation, the LGO decides that a council has not acted with fault.
- 2.5 Of the 105 complaints about Coventry City Council in 2016/17, 25 complaints were investigated, a 14% increase from 22 complaints in 2015/16. 15 out of the 25 complaints were upheld (60%). This is an increase from 11 out of 22 complaints (50%) in 2015/16. The percentage upheld (60%) in Coventry compares to a statistical neighbour average of 52% of complaints upheld and a national average of 54% complaints upheld. The tables below sets out how Coventry compares to its Chartered Institute of Public Finance and Accountancy (CIPFA) statistical neighbours, showing a range from 29% upheld (Peterborough) to 86% upheld (Rochdale); and a comparison with other West Midlands Combined Authority (WMCA) authorities, showing a range from 50% upheld (Walsall) to 73% upheld (Solihull).

Complaints investigated: comparison with WMCA authorities 2016/17

Local Authority	Not Upheld	Upheld	% Upheld	Total
Walsall	14	14	50%	28
Dudley	8	9	53%	17
Wolverhampton	7	10	59%	17
Coventry	10	15	60%	25
Sandwell	7	11	61%	18
Birmingham	38	63	62%	101
Solihull	3	8	73%	11
Average	12.4	18.6	60%	31

Complaints investigated: comparison with CIPFA statistical neighbours 2016/17

Local Authority	Not Upheld	Upheld	% Upheld	Total
Peterborough	5	2	29%	7
Stockton on Tees	7	3	30%	10
Bolton	6	5	45%	11
Sheffield	21	20	49%	41
Medway	13	13	50%	26
Swindon	5	5	50%	10
Walsall	14	14	50%	28
Kirklees	15	16	52%	31
Bradford	11	12	52%	23
Dudley	8	9	53%	17
Wolverhampton	7	10	59%	17
Coventry	10	15	60%	25
Derby	6	9	60%	15
Sandwell	7	11	61%	18
Rochdale	1	6	86%	7
Average	9	10	52%	19

2.6 Of the 15 upheld complaints for Coventry, the LGO:

- recommended a remedy for nine complaints;
- found that the fault did not cause an injustice in five complaints; and
- was satisfied with the Council's remedy in one complaint.

Six complaints resulted in some form of financial redress or reimbursement.

2.7 Following a decision, the LGO will typically issue a statement setting out its findings and its decision. If the LGO decides there was fault or maladministration causing an injustice to the complainant, it will typically recommend that a council take some action to address it. Wherever possible the LGO publishes decision statements on its web pages although this would not happen where the content of the report could identify the individual complainant. In some cases, where the LGO upholds a complaint, the LGO may choose to issue a formal report of maladministration.

2.8 The Ombudsman did not issue formal reports of maladministration for any of the 15 complaints upheld during 2016/17.

2.9 The following table, complaints by service area, sets out details about the 25 complaints that the LGO investigated in 2016/17 by service area, and how it compares to 2015/16.

Complaints by service area in 2016/17 compared to 2015/16

Service area	2016/17				2015/16			
	Upheld	Not upheld	% upheld	Response time (days)	Upheld	Not upheld	% upheld	Response time (days)
Adult social care	7	1	88%	21	2	2	50%	24
Children's social care	3		100%	19	2		100%	22
Benefits		1	0%					
Council tax	1		100%		2	1	67%	11
Education services					1		100%	20
Environmental services		1	0%	19				
Highways services		1	0%	20	1	3	25%	19
Housing services		1	0%			1	0%	27
Legal		1	0%			2	0%	19
Noise	1		100%	18		1	0%	18
Planning		1	0%	21		1	0%	
Parking	1	3	25%	20				
Open spaces	2		100%	31				
Waste services					3		100%	20
Total	15	10	60%	21	11	11	50%	20

2.10 The highest number of complaints upheld in Coventry (seven complaints) was in adult social care. The number of investigations in adult social care doubled from four in 2015/16 to eight in 2016/17 and the percentage upheld has increased from 50% to 88%. This compares to a West Midlands average of 73% and a national average of 64%. However, this needs to be seen in the context of the total volume of complaints: the Council received 67 statutory adult social care complaints in 2016/17; which 13 complaints or enquiries relating to adult care services were considered by the LGO; and only eight were investigated.

2.11 The LGO typically expects councils to respond to investigation enquiries within 20 working days. In 2016/17, on average, the Council took 21 working days to respond to enquiries on investigations; compared to 20 working days in 2015/16. This was mainly a result of the two complaints regarding open spaces where the average response time was 31 days. The complexity of the complaint, involving many service areas, meant that the Council had to ask the LGO for an extension to the response timescales.

2.12 Following the investigations, the LGO recommended some changes to our procedures on the upheld complaints in adult social care, children's social care, and in the noise team, this is set out in the learning from complaints table, below.

Further details about the outcomes of each of the complaints investigated and the actions taken are set out in Appendix II.

Learning from complaints: changes to procedures as recommended by the LGO

Area	Summary of recommendations
Adult social care	<p>The Council accepted that a home care agency acting on behalf of the Council did not use the electronic call monitoring system properly. The Council's care commissioning and finance teams agreed to put in steps to reduce the risk of this occurring in the future.</p> <p>In a separate complaint, the Council agreed to further monitor a care provider.</p> <p>In another complaint, the Council's mental health service recognised that there were unacceptable delays in undertaking a re-assessment of needs, and a carer's assessment. The service recognised the need to establish service standards in line with other services in adult social care, and is taking this forward as part of business planning for 2017/18.</p>
Children's social care	<p>Recommendations from the LGO have been noted and included in the Council's redesign of children's social care. In particular, the business processes and workflow project will provide better evidence and data so that interventions can be more effectively be provided at the right time and in the right way. The successful implementation of the project will support more robust relationships with families, improving the way the service communicates processes to families; while approved, consistent and systematic practice models will reduce instances when practice and processes have not been followed properly.</p>
Noise team	<p>The Council agreed to review its arrangements for storing information, such as diary records, and to consider introducing service standards for responding to calls and emails from members of the public who report incidents to the noise team.</p>

3 Results of consultation undertaken

3.1 None identified or undertaken.

4 Timetable for implementing this decision

4.1 The LGO Link Officer function in Coventry is located as part of the Council's Insight function. All complaints, enquiries and investigations relating to the LGO goes via the Link Officer.

4.2 The Council's own guidance and process for dealing with LGO complaints is set out in Appendix I. This has been updated for 2017/18 in line with the LGO annual letter 2017, which clarifies how the LGO expects councils to ensure that investigations are properly communicated to elected members. In particular:

- complaints to the LGO will continue to be formally reported to the Cabinet Member for Policy and Leadership and the Audit and Procurement Committee every year (this report);
- complaints about adult social care and children's social care, including cases investigated by the LGO, will also continue to be reported through an annual report to the Cabinet Member Adult Services and Cabinet Member Children and Young People respectively;
- where an investigation has wider implications for Council policy or exposes a more significant finding of maladministration, the Monitoring Officer will consider whether the implications of that investigation should be individually reported to relevant members; and
- should the Council decide not to comply with the LGO's final recommendation following an upheld investigation with a finding of maladministration, or should the LGO issue a formal report (instead of a statement), the Monitoring Officer will report this to members under section 5(2) of the Local Government and Housing Act 1989.

5 Comments from Director of Finance and Corporate Services

5.1 Financial implications

There are no direct financial implications associated with this report. Financial remedies resulting from any complaints are typically paid out of service budgets. In 2016/17, six complaints resulted in some form of financial remedy or reimbursement. These were paid out of budgets from the relevant service areas. The amount paid out relating to 2016/17 is £1,729, of which £1,522 were financial remedies and £207 were reimbursements. In addition there is a further reimbursement relating to a case where the amount is currently subject to a dispute. In the event of the Council having to pay this reimbursement, these costs will be reported in next year's report.

5.2 Legal implications

The statutory functions of the LGO are defined in the Local Government Act 1974. These are: to investigate complaints against councils and some other authorities; to investigate complaints about adult social care providers from people who arrange or fund their own adult social care; and to provide advice and guidance on good administrative practice. The main activity under Part III of the 1974 Act is the investigation of complaints, which it states is limited to complaints from members of the public alleging they have suffered injustice as a result of maladministration and/or service failure.

The LGO's jurisdiction under Part III covers all local councils, police and crime bodies; school admission appeal panels and a range of other bodies providing local services; and under Part IIIA, the LGO also investigate complaints from people who allege they have suffered injustice as a result of action by adult social care providers.

There is a duty under section 5(2) of the Local Government and Housing Act 1989 for the Council's Monitoring Officer to prepare a formal report to the Council where it appears that the authority, or any part of it, has acted or is likely to act in such a manner as to constitute maladministration or service failure, and where the LGO has conducted an investigation in relation to the matter.

6 Other implications

6.1 How will this contribute to achievement of the Council's key priorities?

The Council Plan (www.coventry.gov.uk/councilplan/) sets out the Council's vision and priorities for the city. The Council aspires for Coventry to be globally connected, by promoting the growth of a sustainable Coventry economy, and locally committed, by improving the quality of life for Coventry people; and doing so in a way that delivers priorities with fewer resources.

Effective management and resolution of complaints, as well as learning from complaints, help ensure that Council services meet the needs of local residents and communities, and helps build a foundation of trust in order for the Council to have new conversations with residents, communities and partners to enable people to do more for themselves as active and empowered citizens.

6.2 How is risk being managed?

It is important that the Council takes action and learns from the outcome of complaints. Appendix II sets out the Council has taken; for example providing training, instruction and guidance to staff and improving communications between services to help to manage risk of the likelihood of the same fault happening again.

6.3 What is the impact on the organisation?

The co-ordination and management of complaints to the LGO often involves considerable time of officers of all levels of seniority. It involves collecting a significant amount of data, preparing and writing formal responses, and chasing to meet timescales set out; and where appropriate, external input from partner organisations and commissioned services.

Therefore, it is ideal for complaints to the Council to be resolved informally at first point of contact, or resolved through the Council's own internal complaints procedures, adult social care complaints procedures, or children's social care complaints procedures, as appropriate. This would improve satisfaction for local residents and communities, as well as save Council time and resources.

6.4 Equalities and equality and consultation analyses (ECA)

Members of the public are encouraged to speak up and tell the Council if they have anything to say about Council services; if the Council does not get it right for them; or if they think the Council has done something well. This is set out in the Council's complaint policy (www.coventry.gov.uk/complaints/). To ensure that everyone is able to provide feedback, the Council accepts comments, compliments and complaints via face-to-face contact, telephone calls, letters, emails, or via an online form on the Council's website; and proportionate equalities monitoring data is also collected. Members of the public are informed that they can ask somebody else to act on their behalf, for instance, a friend or relative or the Citizens Advice Bureau. Where necessary and appropriate, translation and interpretation services, correspondence in large print, audiotape, or braille, or the services of an advocate is also available. Should a complainant remain dissatisfied following the conclusion of the Council's complaints process, they are able to refer their complaint to the LGO. The Council's complaint policy and individual response letters detailing the findings of the Council's own complaints investigations makes it clear how members of the public can do so.

6.5 Implications for (or impact on) the environment?

None

6.6 Implications for partner organisations?

Investigations by the LGO may involve not only services directly provided by Coventry City Council, but also commissioned or outsourced services. In such cases, the Council liaises with partner organisations and third-party contractors to comment or provide information as part of an investigation.

Report author(s):

Name and job title:

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Performance Information Officer & LGO Link Officer

Directorate:

People

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Enquiries should be directed to the above person.

24/10/2017 12:52:55

Contributor/ approver name	Title	Directorate or organisation	Date doc sent out	Date response received or approved
Contributors:				
Ilius Ahmed	Complaints Officer	People	05/09/2017	19/09/2017
Barbara Barrett	Head of Human Resources and Organisational Development	People	05/09/2017	26/09/2017
Stella Botchway	Consultant in Public Health Intelligence	People	05/09/2017	12/09/2017
Adrienne Bellingeri	Head of Customer & Business Services	People	05/09/2017	15/09/2017
Nigel Clews	Director of Kickstart	Place	05/09/2017	06/09/2017
David Cockcroft	Director of City Centre & Major Projects	Place	05/09/2017	06/09/2017
Pete Fahy	Director of Adults	People	05/09/2017	26/09/2017
John Gregg	Director of Children	People	05/09/2017	26/09/2017
Nigel Hart	Head of Communications	People	06/09/2017	06/09/2017
Barrie Hastie	Director of Finance and Corporate Resources	Place	05/09/2017	06/09/2017
Colin Knight	Director of Transportation and Highways	Place	05/09/2017	06/09/2017
Jaspal Mann	Equality and Diversity Officer	People	18/09/2017	20/09/2017
Richard Moon	Director of Project Management and Property Services	Place	05/09/2017	06/09/2017
Jane Murphy	Head of Transformation and Major Projects	People	06/09/2017	06/09/2017
Wendy Ohandjanian	Equality and Diversity Officer	People	18/09/2017	18/09/2017
Kirston Nelson	Director of Education	People	05/09/2017	26/09/2017

Contributor/ approver name	Title	Directorate or organisation	Date doc sent out	Date response received or approved
Jane Simpson	Business Support Manager	Place	05/09/2017	06/09/2017
Barrie Strain	Acting Head of Revenues	Place	05/09/2017	14/09/2017
Andrew Walster	Director of Streetscene & Regulatory Services	Place	05/09/2017	05/09/2017
Martin Yardley	Deputy Chief Executive (Place)	Place	05/09/2017	06/09/2017
Suzanne Bennett	Governance Services Co- ordinator	Place	05/09/2017	11/09/2017
Approvers:				
Finance: Kathryn Sutherland	Lead Accountant (Business Partnering)	Place	05/09/2017	12/09/2017
Legal: Julie Newman	Legal Services Manager	Place	05/09/2017	11/09/2017
Liz Gaulton	Acting Director of Public Health	People	05/09/2017	11/09/2017
Gail Quinton	Deputy Chief Executive (People)	People	05/09/2017	15/09/2017
Members: Councillor Duggins	Cabinet Member for Policy and Leadership		26/09/2017	11/10/17

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Coventry City Council Local Government and Social Care Ombudsman Complaints Handling Guidance

Introduction

The Local Government and Social Care Ombudsman (LGO) is the final stage for complaints about councils, all adult social care providers (including care homes and home care agencies) and some other organisations providing local public services. It is a free service that investigate complaints in a fair and independent way; and provides a means of redress to individuals for injustice caused by unfair treatment or service failure. This document sets out Coventry City Council's own guidance and process for dealing with LGO complaints. All complaints, enquiries and investigations go via Coventry City Council's **LGO Link Officer**. The LGO Link Officer can be contacted by email at Ombudsman@coventry.gov.uk.

Questions?
Contact the **LGO Link Officer**
Ombudsman@coventry.gov.uk

Guidance

Enquiry

from the LGO Assessment Team

The request will have a short deadline of between **1 to 3 working days**. At this stage, the LGO will typically ask the Council for a copy of the Council's formal complaint responses; and confirmation if the complaint has fully completed the Council's own complaints process. The request will not include any new actions and should be returned to the LGO Link Officer by the date specified.

Premature

complaint received from the LGO Assessment Team

If a complaint has not completed the Council's own complaints process, the LGO will return the complaint to us as a "premature" complaint and ask us to consider the complaint under our complaints procedure and remind the complainant in our final response of their right to complain again to the LGO. If we do not resolve the complaint, a premature request will also request that we send the LGO a copy of our final response. Following completion of the complaints procedure (whether it is resolved or not), please send the LGO Link Officer a copy of the final response.

Full investigation

received from an LGO Investigator

The LGO Link Officer will send a covering email requesting a written response to the LGO's questions. This needs to be returned by a set deadline, usually within **18 working days**, so that the deadline (within 20 working days) can be met.

The response must be provided as a **statement**, providing general comments as well as responses to each of the questions. It must also include the name and position of the author, and be **signed off by the Director** or a nominated person. Any supporting evidence must be provided as electronic attachments and referenced in the statement. Any information that cannot be shared with the complainant should be clearly marked and packaged separately.

It may be necessary to seek legal advice and/or liaise with commissioned services and partner organisations as appropriate. The LGO Link Officer needs confirmation that this has been done (in the form of an email trail).

If the investigator has asked us to consider whether we are prepared to remedy any injustice that may have been caused – we should comment on this as this is an opportunity for us to resolve the issue.

Draft decision

received from an LGO investigator

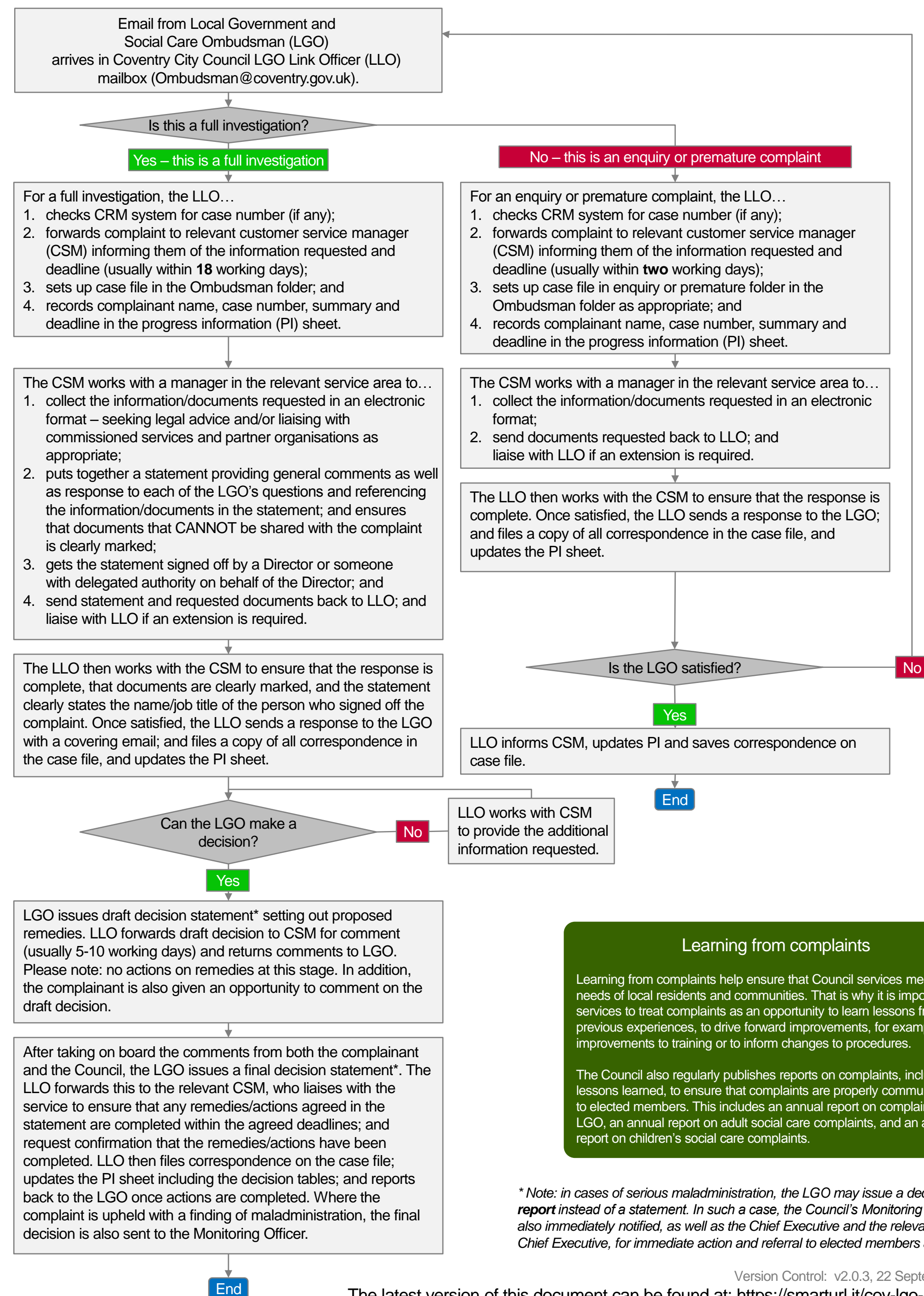
Following the investigation, the LGO will typically issue a draft decision **statement**. This will state whether the complaint was **upheld** or not, and detail the investigator's findings and explains the decision made. At this stage, the Council is asked whether it agrees with the decision and remedy. This is an opportunity to comment on the decision, and suggest any changes or corrections. At this stage, action must **not** be taken yet – remedies should only be completed after the final decision. We are usually requested to respond within **5-10 working days**. *Note: the investigator may choose to issue a decision as a **report** (under Section 30(1) of the Local Government Act 1974) in which case the Council's Monitoring Officer is notified.*

Final decision

letter and statement received

The final decision letter and statement should be circulated, as appropriate, to everyone who was involved in the investigation and everyone who needs to know of the investigation outcomes. All agreed actions should now be completed – and confirmation and evidence that all actions have been completed must be sent to the LGO Link Officer, usually within **5-10 working days**. In cases where the LGO makes a finding of **maladministration**, the final decision letter and statement is also forwarded by the LGO Link Officer to the Monitoring Officer. The Monitoring Officer will decide if any further action is required.

Process Flowchart



Learning from complaints

Learning from complaints help ensure that Council services meet the needs of local residents and communities. That is why it is important for services to treat complaints as an opportunity to learn lessons from previous experiences, to drive forward improvements, for example, improvements to training or to inform changes to procedures.

The Council also regularly publishes reports on complaints, including lessons learned, to ensure that complaints are properly communicated to elected members. This includes an annual report on complaints to the LGO, an annual report on adult social care complaints, and an annual report on children's social care complaints.

** Note: in cases of serious maladministration, the LGO may issue a decision with a **report** instead of a statement. In such a case, the Council's Monitoring Officer is also immediately notified, as well as the Chief Executive and the relevant Deputy Chief Executive, for immediate action and referral to elected members as required.*

Version Control: v2.0.3, 22 September 2017

The latest version of this document can be found at: <https://smarturl.it/cov-lgo-guidance>

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Local Government and Social Care Ombudsman Investigation Decisions in 2016/17 for Coventry City Council

Decisions in 2016/17 (detailed investigations carried out)

Complaints upheld

Service area	Summary	Financial remedy <i>plus</i> reimbursements
People Directorate (10 complaints upheld)		
Adult social care (7 complaints upheld)		
	<ul style="list-style-type: none"> • Mrs A complained the Council did not communicate clearly enough about removing her belongings from her home. She missed the opportunity to attend the house clearance. - The LGO found the Council was at fault in how it communicated with Mrs A about the clearance of her home. The Council agreed to apologise to Mrs A for not arranging a sign language interpreter for the meeting when discussion took place regarding the house clearance and for not inviting her to be present when her home was cleared. 	
	<ul style="list-style-type: none"> • Mr B complained the Council tried to overcharge for cost of Mrs X's care. The records from call monitoring system did not match the time carers spent with Mrs B. - The Council accepted the home care agency was not using the electronic call monitoring system properly and put in steps to reduce the risk of this occurring in the future. Credited Mr X with the £207.15 overcharged care costs and paid him £50 to recognise the time and trouble it put him to during the complaint. 	£50 plus £207 in overcharged care costs
	<ul style="list-style-type: none"> • Ms C complained for her mother Mrs C that the Council failed to deal with and respond to concerns raised in 2014 about the home care Mrs C received from a care provider. - The LGO found there was some fault by the Council in the way it monitored the care provider following Mrs C complaint. But there was no injustice to Mrs C as she longer receives care from the care provider. The Council agreed to revisit the concerns raised and monitor the care provider which is the outcome Mrs C was seeking. 	
Page 21	<ul style="list-style-type: none"> • Mr D on behalf of his mother Mrs D, had asked the Council to assess her finances because her capital had fallen below the threshold. Mr D complained the Council delayed completing a review, refused to pay the top up for her current residence, did not consider the impact of a move on Mrs D and failed to deal with his complaint in a timely and effective way. The Council apologised for the 5 month delay and said Mr D had not been given sufficient information about top ups. It agreed therefore to pay the top up until the allocated social worker can find another suitable placement for Mrs D. - The LGO found the Council was a fault in the way it dealt with Mr D's request for an assessment therefore upheld Mr D complaint however the Council had already taken suitable action to put the injustice it caused right. 	

Service area	Summary	Financial remedy plus reimbursements
e 22	<ul style="list-style-type: none"> The council was in dispute with a neighbouring council with regard to the late Mr E's residency, as a result his nursing home fees had not been paid. As detailed in the regulations, the LGO recommended that the Council should accept responsibility for funding Mr E's placement as the "lead authority"; pay the outstanding debt to the nursing home and take steps to resolve the dispute with the other council and if it cannot do so refer the matter to the Secretary of State. The Council agreed to do this. 	Payment of outstanding debts to the nursing home
	<ul style="list-style-type: none"> Mrs F complained about the care and support provided to her and her mother Mrs G, by the Council, Coventry & Warwickshire Partnership NHS Trust (the Trust) and NHS Coventry & Rugby Clinical Commissioning Group (the CCG). In particular Mrs F complained that there was not a suitable care package for Mrs G from August 2014; there was no assessment of Mrs G's needs in April 2015; there was no carers assessment for Mrs F; there was a frequent change of social workers; at a meeting Mrs F had with the Council the chair of the meeting was rude to her and the Council and the Trust refused to investigate Mrs F's complaint jointly. (Note: this was recorded as two complaints by the LGO.) The LGO found no fault by the Council or CCG in reviewing and providing Mrs G's care plan, however the LGO found fault by the Council as it failed to ensure Mrs G had adequate night time care 2 nights in February 2015. Fault was found as the Council delayed arranging a care needs assessment between June and October 2015; delayed completing a carer's assessment for Mrs F and failed to complete a joint investigation with the Trust. The Council agreed to acknowledge these faults and apologise to Mrs F for the distress and inconvenience they caused her and her family. The Council paid Mrs F £250 in recognition of the distress and inconvenience caused by the fault in not completing a carer's assessment. Council also had to explain to Mrs F and the LGO what learning it has taken in respect of the fault with the carer's assessment and explain what actions have been or will be taken to improve the service. The Council and the Trust paid £125 each in recognition of the distress and inconvenience caused to Mrs F as they did not complete a joint investigation. No fault was found regarding the changes in social workers or in relation to comments made during a complaints meeting. 	£250 £125
Children's social care (3 complaints upheld)		
	<ul style="list-style-type: none"> Ms H complained about the Council's investigation into allegations of abuse made by her children against their father. The Council did not tell Ms H she could pursue the matter to the next stage of the statutory complaints procedure as the complaint included matters relating to both the police and the Council. The LGO found the Council was at fault the Council should have advised Ms H she could pursue those parts of her complaint that related to the Council's actions under the complaints procedure. The Council agreed to consider the complaint under the statutory procedure at Stage 2. 	

Service area	Summary	Financial remedy <i>plus</i> reimbursements
	<ul style="list-style-type: none"> • Mr I complained the Council did not follow the Disabled Facilities Grant guidance when it turned down his application. - The LGO found the Council did not clearly explain the process, it had correctly consider matters and it had confirmed it would reassess the case if Mr I provides the necessary supporting evidence. Without evidence of fault which had caused Mr I injustice, the LGO did not pursue the complaint any further. 	
	<ul style="list-style-type: none"> • Mr J complained of the failings of Children's services which led to him having restricted contact with his children. The stage two investigation report recommended the Council apologise to Mr J and compensate him for the distress he faced and in addition the officer made a number of procedural recommendations. Mr J complained to the LGO because he was dissatisfied with the compensation the Council offered and it did not tell him how it implement the recommendations. - The LGO found there was fault and injustice by the Council and found the Council's offer of £750 in compensation and agreement to place the complainant's comments in the case file was sufficient personal remedy for the injustice. The LGO did find fault as the Council had not kept Mr J informed of its implementation of the recommendations as the implementation did not lend itself to individual reporting the type envisaged by Mr J. The Council confirmed it was redesigning the whole scope of children's service and the redesign includes the recommendations in the stage two report. The LGO did not consider this failing caused Mr J significant personal injustice to warrant further pursuit of the point by the LGO. 	£750
Place Directorate (5 complaints upheld)		
Council Tax (1 complaint upheld)		
	<ul style="list-style-type: none"> • Mr K complained about the Council's handling of his council tax account. A manager did not respond to one of his emails and the Council obtained a liability order without issuing a summons to court beforehand. - The LGO found fault by the Council but closed the complaint because the Council had provided an adequate remedy for the injustice to Mr K. The Council had apologised, cancelled the cost of the summons and the cost of a further summons. 	
Noise (1 complaint upheld)		
Page 23	<ul style="list-style-type: none"> • Mr L complained that the Council failed to investigate his repeated complaints about noise nuisance from a neighbouring flat. It did not reply to his emails and he had to contact a Councillor and make a complaint before action was taken to investigate his complaint. - The LGO upheld part of Mr L's complaint, the Council had already apologised to Mr L for the poor service he received. The Council agreed to review its arrangements for storing information, such as 	

Service area	Summary	Financial remedy <i>plus</i> reimbursements
e 24	diary records and to consider introducing service standards for responding to calls and emails from members of the public who report incidents to the noise team.	
Open space (2 complaints upheld)		
	<ul style="list-style-type: none"> • Mrs M and Mrs N both complained on behalf of a local community group with an interest in trees about the way in which the Council decided to remove a hedgerow bordering a cemetery. - The LGO partially upheld the complaint but did not consider that the fault identified caused significant injustice to the complainants or the group they represented. 	
Parking (1 complaint upheld)		
	<ul style="list-style-type: none"> • Mr O complained the Council sent the Penalty Charge Notice (PCN) and all the related correspondence regarding a penalty charge for driving in a bus lane to the wrong address. The Council's bailiff came across his car by chance when issuing the Notice of Enforcement and clamped it. Mr O had to pay £407 to have the clamp removed, or the car would have been towed away. - The LGO found fault that the Council's enforcement agents were in breach of the Traffic Management Act 2004 operating guidance when they clamped the car when they were aware that the address on the paperwork was wrong. They should have referred the matter back to the Council and as Mr O did not receive any correspondence relating to the penalty charge. The Council should have taken the matter back to the Enforcement Notice stage and then have restarted the recovery process from that point. The LGO suggested the Council reimburse Mr O the difference between the penalty charge amount £60 and the £407 he paid. The Council accepted this remedy. 	£347

Complaints not upheld

Service area	Summary
People Directorate – complaints not upheld (1 complaint)	
Adult Social Care	<ul style="list-style-type: none"> The LGO found no fault on Mrs P's complaint made on behalf of her late sister about the care she received when a new care provider took over her care.
Place Directorate – complaints not upheld (9 complaint)	
Benefits	<ul style="list-style-type: none"> There was no fault by the Council in the complaint which alleged the Council wrongly suspended the complainant's housing benefit claim in 2015 and did not pay him any housing benefit for almost a year.
Environmental services	<ul style="list-style-type: none"> The LGO found there was no evidence of fault in how the Council investigated a complaint of fumes entering a property from a neighbour's gas fire.
Highways	<ul style="list-style-type: none"> The LGO found there was no fault in the way the Council considered an application for a dropped kerb.
Housing	<ul style="list-style-type: none"> The LGO found no fault on Mr Q's complaint that the Council failed to investigate his reports of hazards in his privately rented property. It also found no fault on his complaint about the Council's failure to pay housing benefit.
Legal	<ul style="list-style-type: none"> Mr & Mrs R said the Council unreasonably refused to investigate their complaint about the alleged actions of the Coroner for Coventry, the LGO found there was no fault by the Council. The body to consider the substantive issue and the Coroners decision on the complaint should be the Judicial Conduct Investigations Office.
Parking	<ul style="list-style-type: none"> The LGO found no fault in the Council's response to Mrs S's complaints about anti-social behaviour, littering and people waiting in a lay-by opposite her home. The LGO recorded this as 2 complaints. The LGO ended her involvement with Mr T's complaints about parking problems to allow the Council to investigate Mr T's wider complaint fully and respond to Mr T direct.
Planning	<ul style="list-style-type: none"> The LGO found no fault in the advice offered by the Council to complainant, therefore ended her investigation.

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Public report

Cabinet Member for Policy and Leadership

Cabinet Member for Policy and Leadership

8 November, 2017

Name of Cabinet Member:

Cabinet Member for Policy and Leadership – Councillor G Duggins

Director Approving Submission of the report:

Deputy Chief Executive (Place)

Ward(s) affected:

N/A

Title:

Risk Management Policy and Strategy

Is this a key decision?

No

Executive Summary:

Coventry City Council has a range of measures to ensure that governance in the organisation is managed effectively, integral to this is a sound system of Risk Management. In 2016, the Chartered Institute of Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives (SOLACE) updated their guidance on Corporate Governance and published the new *Delivering Good Governance in Local Government Framework*. This provides a best practice framework for local authorities to ensure that there is sound and inclusive decision-making to achieve the desired outcomes for service users and communities. It sets out the principles that underpin good governance, of which risk management is one, and how local authorities can assure themselves and others that they are meeting them.

This report proposes introducing a new Risk Management Policy and Strategy for the City Council in line with the principles and best practice set out in the national framework for good governance in Local Government.

Recommendations:

The Cabinet Member for Policy and Leadership is recommended to approve the Risk Management Policy and Strategy attached at Appendix 1.

List of Appendices included:

Appendix 1: Risk Management Policy and Strategy

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: Risk Management Policy and Strategy

1. Context (or background)

- 1.1 Coventry City Council last reviewed its Risk Management Policy in 2012 which was based on best practice at the time. The context in which local government operates has changed significantly since then including a period of significant financial challenge, the growing devolution agenda and the introduction of a wide range of legislation that has brought new roles, responsibilities and opportunities. National guidance in respect of Good Governance and Risk Management has been updated to reflect this, particularly the links between governance and financial management and the importance of long term planning. The revised Risk Management Policy and Strategy reflects the new guidance and how it can be used to strengthen corporate governance in the City Council.

2. Options considered and recommended proposal

- 2.1 Risk management is an important and integral part of the management activities designed to deliver the Council's desired outcomes. It consists of an ongoing process to not only identify significant risks to the achievement of those outcomes but also to identify positive actions to maximise opportunities.
Ensuring that its risk management arrangements are effective is important for any organisation but particularly so in the public sector where local authorities deliver services and outcomes for a wide range of people using public money.
- 2.2 The Council is aware of the need to strike the right balance between risk avoidance and innovative ways of delivering its services. As such it accepts that it is correct to take calculated risks to improve services and to achieve the desired outcomes for service users and communities.
Coventry City Council will positively decide to take risks in pursuit of its ambitions where it has sufficient assurance that:
- i) the risks have been properly identified and assessed
 - ii) the risks will be appropriately managed
 - iii) the potential benefits justify the level of risk to be taken
- 2.3 The updated Risk Management Policy clearly articulates this positive approach whilst meeting the requirements of the latest best practice guidance.
Roles for risk management practice are clearly defined within the Policy and Strategy to ensure clarity of responsibility within the organisational structure.
- 2.4 The Risk Management arrangements are assessed annually as part of the Annual Governance Statement, This is signed off by the Chief Executive and the Leader of the Council.

3. Results of consultation undertaken

- 3.1 The Chief Executive and Senior Management Board have reviewed and approved the new Risk Management Policy and Strategy.

4. Timetable for implementing this decision

- 4.1 Immediate. The Policy and Strategy will be reviewed annually by Risk Management and Insurance Services with Audit Services providing an independent assessment. Audit and

Procurement Committee receive monitoring reports on the progress of Corporate Risk Management and an annual report on Risk Management.

5. Comments from Director of Finance and Corporate Resources

5.1 Financial implications

There are no direct financial implications arising from this decision. Ensuring that the Policy and Strategy are up to date and reflect best practice will support robust internal control and strong financial management.

5.2 Legal implications

There are no direct legal implications arising from this decision. Ensuring that the Policy and Strategy are up to date and reflect best practice will support robust internal control and governance.

6. Other implications

6.1 How will this contribute to achievement of the Council's key objectives / corporate priorities (corporate plan/scorecard) / organisational blueprint / Local Area Agreement (or Coventry Sustainable Community Strategy)?

Risk Management is an important part of the framework and process that helps to ensure that governance arrangements for decision-making and implementation of the Council's policies, plans and procedures are effective and informed.

6.2 How is risk being managed?

Effective arrangements for managing risk is a main principle of the Code of Corporate Governance. This Policy clearly sets out the Council's recognition and support of that principle.

6.3 What is the impact on the organisation?

Risk Management is a key element in corporate planning and the successful delivery of projects and improved services. The Policy and Strategy sets out the roles and responsibilities across the Council and to identify threats and opportunities to the achievement of the Council's objectives.

6.4 Equalities / EIA

No direct impact.

6.5 Implications for (or impact on) the environment

No direct impact.

6.6 Implications for partner organisations?

Risk Management is a key principle of good governance and will support effective partnership working.

Report author(s):**Name and job title:**

David Johnston, Insurance Manager

Directorate:

Place

Tel and email contact:

024 7683 3867 david.johnston@coventry.gov.uk

Enquiries should be directed to the above person.

Contributor/approver name	Title	Directorate or organisation	Date doc sent out	Date response received or approved
Contributors:				
Suzanne Bennett	Governance Services Officer	Place	06/10/17	09/10/17
David Johnston	Insurance Manager	Place		
Names of approvers for submission: (officers and members)				
Finance: Paul Jennings	Finance Manager (Corporate Finance)	Place	06/10/17	09/10/17
Legal: Julie Newman	Acting Monitoring Officer	Place	06/10/17	06/10/17
Director: Barry Hastie	Director of Finance and Corporate Services	Place	06/10/17	06/10/17
Members: Cllr George Duggins	Cabinet Member for Policy and Leadership		11/10/17	11/10/17

This report is published on the council's website:

www.coventry.gov.uk/councilmeetings

Appendices

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Coventry City Council

Risk Management Policy and Strategy

Policy Statement

Coventry City Council is aware that the nature and range of its responsibilities and the environment in which it exercises them present a wide range of risks. Such risks may threaten the achievement of the Council's aims and objectives as set out in the Corporate Plan and affects its employees, service users, Council tax payers and other stakeholders.

'The Good Governance Standard for Public Services' issued by The Independent Commission on Good Governance in Public Services states that there are six core principles of good governance including 'Taking informed, transparent decisions and managing risk'. The document goes on to state 'Risk management is important to the successful delivery of public services. An effective risk management system identifies and assesses risks, decides on appropriate responses and then provides assurance that the chosen responses are effective'.

The Council views risk management as essential to improving services and enhancing accountability as well as securing compliance with formal policies and procedures. Risk will therefore be managed positively rather than in a purely reactive manner.

The Council also recognises the need to strike the right balance between encouraging innovation and avoiding risk. It is appropriate to take and manage calculated risks in pursuing opportunities to improve services and to obtain better value for money.

Definition of Risk

Risk is the chance of something happening that will have an impact on objectives

Risk Management is the structured development and application of management culture, policy, procedures and practices to the identification, analysis, evaluation, control and response to risks which may have an impact on the achievement of the Council's business. It is a key element in corporate and service planning requiring both a 'top down' and 'bottom up' approach.

The Council aims to:

- Provide an effective/consistent approach to evaluating risk across all activities
- Adopt realistic strategies for achieving aims and objectives
- Achieve better utilisation of staff time and resources
- Place greater emphasis on prevention rather than detection and correction
- Improve management and member awareness of strategic and operational risks

The council's risk management arrangements are assessed annually as part of the Annual Governance Statement (AGS). This is signed off by the Chief Executive and Leader of the Council.

Risk Management Strategy

This strategy provides a framework to support the council's statutory responsibility for managing risk. It builds on and replaces earlier versions of the council's risk management strategy.

Effective risk management enhances the council's ability to:

- deliver corporate and operational objectives
- safeguard the Council's assets
- protect the Council's reputation

We want risk management to be an integral part of the council's business – service planning, budget setting, project management, management processes – and our corporate culture. This will result in better decision making, a reduction in costs and an increase in the quality of services.

Benefits of Effective Risk Management

Risk management affects every business unit and service across the council, as well as every employee. The key benefits of a co-ordinated approach to risk management are:

- more effective allocation of resources
- more satisfied stakeholders and reduced complaints
- better ability to justify decisions and reduced risk of mistakes
- support for innovation, value for money and potential quality improvements in service delivery
- protection of the council's reputation
- greater accountability through management oversight and comprehensive controls.

An effective risk management strategy will allow the council to spend less time reacting to situations and more time taking advantage of opportunities.

Risk Management Strategy Objectives

The objectives of Coventry's risk management strategy are to:

- embed risk management in the culture and day to day business processes of the council
- maximise the opportunity for the council to achieve its objectives
- manage threats in order to protect the resources and reputation of the council
- comply with the statutory requirements for the compilation of the Annual Governance Statement
- provide a framework, procedures, tools, training and guidance to enable everyone to manage risk in the best way
- ensure that we identify and manage opportunities as well as threats

We will achieve these objectives by:

- ensuring that risk management is incorporated into the decision making processes of the council and its partners
- providing a practical framework for identifying, prioritising and detailing control measures for council-wide and cross-cutting partnership risks
- ensuring that strategic, operational, partnership, project and compliance risks are discussed on a regular basis
- continuously monitoring these arrangements and taking action when appropriate

Roles and Responsibilities

The roles of each of the groups in the organisational framework:

Cabinet and Members

- ensure that an effective risk management strategy is in place
- are aware of the risk management implications of decisions

Audit Committee

- provides independent assurance of the risk management framework and the associated control environment
- receives risk management reports.
- receives monitoring reports on the progress of Corporate Risk Management
- receives an Annual Report on Risk Management

Directors and Directorate Management Teams

- will agree an effective framework for risk management
- receive and approve reports on the Corporate Risk Profile and Directorate Risks
- ensure that actions and recommendations in those reports are implemented
- advise elected members of the risk management implications of decisions
- ensure that the risk management element of Corporate Governance is achieved
- ensure staff receive appropriate training and guidance, enabling them to take responsibility for managing risk within their own environment.

Risk Management and Insurance Services

- promote risk management throughout the council
- formulate the Risk Management Policy and Strategy
- assist Directorates in identifying, analysing and controlling risks
- liaise with external consultants and risk management organisations to maintain best practice in the council
- provide risk management training in house or through external consultants
- liaise with both Internal and External Audit

Internal Audit Services

- provide an independent assessment of the effectiveness of:
 - corporate arrangements for risk management
 - the risk management function of the council

Employees

- should understand their role in the risk management process with regard to:
 - risk identification, analysis, control and managing risk in their job

CONFERENCES/SEMINARS AUTHORITY FOR ATTENDANCE

THIS FORM TO BE USED FOR COUNCILLORS (FOR ATTENDANCE BOTH IN AND OUTSIDE THE U.K.) AND FOR EMPLOYEES (OUTSIDE THE U.K. ONLY OR, IF ACCOMPANYING A COUNCILLOR INSIDE THE U.K.)

1. Title of Conference	Centre for Public Scrutiny Annual Conference 2017	
2. Organising Body	Centre for Public Scrutiny	
3. Location	Holiday Inn, Bloomsbury, London	
4. Date(s)	6 th December 2017	
5. Councillor(s) recommended to attend	Cllr Richard Brown, Cllr Joe Clifford	
6. Employee(s) recommended to attend	Vicky Castree, Gennie Holmes	
7. Cost per person, including travel, etc. (Note: If total cost is less than £100, formal Cabinet/Cabinet Member approval is not required)	Delegate Fee	Price of 1 place = £202.80 inc. VAT. 3 for 4 offer means actual cost per delegate £152.10 inc VAT
	Accommodation	NA
	Travel	£46.40 per person
	Other (specify)	
	Total	£198.50 per person
8. Is participation at this event as part of a group?	NO	
9. If so, how many people IN TOTAL will be attending the event as part of that group?	Number:	
10. Is there anyone travelling with the Member, officer or group in relation to whom any of the costs of travel, accommodation or any other expense will be paid for by a Member or officer. If 'YES' please state number	NO Number:	
11. Sources of Funding (Budget Code)	R10981	
12. What are the reasons for attendance and what benefits to the City Council are expected from attendance?	<p>To gain insight at a national level on issues of importance for Scrutiny and to bring ideas and best practice back to Coventry.</p> <p>Completed by: Gennie Holmes Date: 20/9/17</p>	
13. Is this conference part of an overall	NO	

project involving further visits in the future?	
14. Recommendation of Cabinet Member / Cabinet / Chair of any other City Council Committee	YES
(a) Are you satisfied that there is a genuine reason for the attendance and genuine benefit for the Council?	YES
(b) Will Councillor attendance affect the decision-making processes of the Council?	NO
(c) Is attendance recommended?	YES Signed: Date:
15. Cabinet Member's Recommendation	YES Signed: Date:
16. Leader's Recommendation	YES Signed: Date:
17. Person Responsible for booking conference following approval of attendance	Name: Gennie Holmes Department: Governance and Scrutiny Telephone No: 831172

**THIS FORM SHOULD NOW BE RETURNED TO THE DEPUTY CHIEF EXECUTIVE (PLACE)
(ROOM CH 59)**

FOR RESOURCES DIRECTORATE'S USE ONLY

Decision APPROVED / NOT APPROVED	Cabinet Member / Cabinet Date:
Notification to: (a) Officer responsible for booking conference (b) Councillor attending (c) Member of Management Board (d) Members' Services (e) Governance Services Officer	YES / NO Date
Date report back obtained	
Date of meeting of Scrutiny to receive report back	