



Audit and Procurement Committee

Time and Date

2.30 pm on Monday, 21st March, 2022

Place

Diamond Rooms 1 and 2 - Council House

Please note that in line with current Government and City Council guidelines in relation to Covid, there will be reduced public access to the meeting to manage numbers attending safely. If you wish to attend in person, please contact the Governance Services Officer indicated at the end of the agenda.

Public Business

1. **Apologies**
2. **Declarations of Interest**
3. **Minutes of Previous Meeting** (Pages 5 - 16)
To agree the minutes of the meeting held on 31st January 2022
4. **Exclusion of Press and Public**
To consider whether to exclude the press and public for the private item of business for the reasons shown in the report.
5. **Outstanding Issues** (Pages 17 - 22)
Report of the Director of Law and Governance
6. **Work Programme 2021/2022** (Pages 23 - 24)
Report of the Director of Law and Governance
7. **Quarter Three Internal Audit Progress Report 2021-22** (Pages 25 - 34)
Report of the Chief Operating Officer (Section 151 Officer)
8. **2021-22 Third Quarter Financial Monitoring Report (To December 2021)** (Pages 35 - 60)
Report of the Chief Operating Officer (Section 151 Officer)
9. **Corporate Risk** (Pages 61 - 136)

Report of the Chief Operating Officer (Section 151 Officer)

10. **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

11. **Procurement and Commissioning Progress Report** (Pages 137 - 158)

Report of the Director of Law and Governance

(Listing Officer: M Burn, Tel: 024 7697 1412)

12. **Consideration of Approval of Severance Package** (Pages 159 - 172)

Report of the Director of Law and Governance

(Listing Officer: J Newman Tel: 024 7697 6891)

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

Julie Newman, Director of Law and Governance, Council House, Coventry

Friday, 11 March 2022

Note: The person to contact about the agenda and documents for this meeting is Lara Knight / Michelle Salmon, Governance Services, Email: lara.knight@coventry.gov.uk / michelle.salmon@coventry.gov.uk

Membership:

Councillors M Ali, J Blundell, R Brown (By Invitation), G Hayre, R Lakha (Chair), T Sawdon, B Singh (Deputy Chair) and R Singh

By invitation:

Councillor R Brown – Cabinet Member for Strategic Finance and Resources

Public Access

Please note that in line with current Government and City Council Covid guidelines, there will be limited public access to the meeting to manage numbers attending safely.

Any member of the public who would like to attend the meeting in person is required to contact the officers below in advance of the meeting regarding arrangements for public attendance. A guide to attending public meeting can be found here:

<https://www.coventry.gov.uk/publicAttendanceMeetings>

Lara Knight / Michelle Salmon

Governance Services

E-mail: lara.knight@coventry.gov.uk/michelle.salmon@coventry.gov.uk

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Coventry City Council
Minutes of the Meeting of the Audit and Procurement Committee held at
2.30 pm on Monday, 31 January 2022

Present:

Members: Councillor R Lakha (Chair)
Councillor M Ali
Councillor J Blundell
Councillor B Singh (Deputy Chair)
Councillor R Singh

By Invitation: Councillor R Brown

Employees (by Directorate):

Finance: B Hastie (Chief Operating Officer (Section 151 Officer)),
P Jennings, B Strain, K Tyler

Health and Wellbeing S. Lam

Law and Governance L Knight, A West

Apologies: Councillors G Hayre and T Sawdon
Councillors R Bailey and A Hopkins (Named Substitutes)

Public Business

45. Declarations of Interest

There were no disclosable pecuniary interests.

46. Minutes of Previous Meeting

The minutes of the meeting held on 29th November 2021 were agreed and signed as a true record.

Further to Minute 43/21, the Chair advised the Committee that the Audited Statement of Accounts 2019/20 had not yet been signed. The Finance Manager, Corporate Finance indicated that negotiations were continuing with the External Auditor regarding a small number of issues but it was expected that agreement on these matters would be reached imminently.

47. Exclusion of Press and Public

RESOLVED that the Audit and Procurement Committee agrees to exclude the press and public under Section 100(A)(4) of the Local Government Act 1972 relating to the private report in Minute 56 below headed 'Consideration of Approval of Severance Package', 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.

48. **Outstanding Issues**

The Audit and Procurement Committee considered a report of the Director of Law and Governance which identified issues on which a further report / information had been requested or was outstanding so that Members were aware of them and could manage their progress.

Appendix 1 to the report provided details of issues where a report back had been requested to a meeting, along with the anticipate date for consideration of the Matter.

Appendix 2 of the report provided details of items where information had been requested outside formal meetings, along with the date when this had been completed.

In respect of Item 1 of Appendix 1, the Committee were advised that arrangements had been made for the audit of IT Disaster Recovery to commence during February 2022 and that a report would be submitted to the Committee following completion of the audit.

RESOLVED that the Audit and Procurement Committee notes the Outstanding Issues report.

49. **Work Programme 2021/2022**

The Audit and Procurement Committee considered a report of the Director of Law and Governance which set out the Work Programme of scheduled issues to be considered by the Committee during the Municipal Year 2021/2022.

RESOLVED that the Audit and Procurement Committee notes the Work Programme for 2021/2022.

50. **Information Governance Annual Report 2020/21**

The Audit and Procurement Committee considered a report of the Director of Law and Governance, that provided a summary of the Council's performance during 2020/21 in responding to requests for information received under the Freedom of Information Act, Environmental Information Regulations and Data Protection Act. It also reported on the management of data protection security incidents reported and data protection training.

Information is one of the Council's greatest assets and its correct and effective use is a major responsibility and is essential to the successful delivery of the Council's priorities. Ensuring that the Council has effective arrangements in place to manage and protect the information it holds is a priority.

Data protection legislation sets out the requirements on public organisations to manage information assets appropriately and how they should respond to requests for information. The Information Commissioner's Office (ICO) is the UK's

independent supervisory authority set up to uphold information rights in the public interest, promote openness by public bodies and data privacy for individuals, and monitors compliance with legislation.

The Information Governance function supports the Council's compliance with the Freedom of Information Act 2000 (FOIA), Environmental Information Regulations (EIR), General Data Protection Regulations GDPR (now UK GDPR) and Data Protection Act (DPA) 2018. The Council has a statutory obligation to comply with this framework by responding appropriately to requests and managing personal data appropriately.

The Information Governance Team supports the organisation in meeting these requirements, by monitoring internal compliance, informing and advising on data protection obligations, providing advice and guidance and raising awareness on data protection matters.

The Committee noted that the landscape in which local authorities were operating had seen its third significant change since the introduction of the GDPR and the new Data Protection Act 2018 (DPA 2018) in 2018. At the end of the 2019/20 year, the country went into lockdown as part of its response to the Covid 19 pandemic and the impact of Brexit has subsequently led to the introduction of the UK GDPR.

The pandemic resulted in significant changes to ways of working and priorities. During this period the Information Governance Team support the Council to adapt and keep working effectively. It facilitated the rapid turnaround of sharing requests and needs whilst ensuring that requests were properly assessed to confirm that the personal data of the people concerned was used in line with relevant legislation and in keeping individuals informed of how their data is handled. This allowed data to flow compliantly for the purposes of the Council's pandemic response. The number of requests for information received by the Council remained high throughout the pandemic and subsequent lockdowns and the Information Governance function has seen a significant increase in demand for its services.

The number of Freedom of Information Requests received by the Council had increased year on year but reduced from 1,474 in 2019/20 to 1,267 in 2020/21. The Council responded to 71% of FOIA/EIR requests within the target time of 20 working days in 2020/21 compared to 78% for the previous year. Performance remained below the 90% target set by the ICO.

The Council received 47 requests for internal reviews in the year 2020/21, compared to 48 requests during the previous year. The Council responded to these with the following outcomes:

- 19 were not upheld – the exemptions that had been applied were maintained and no further information was provided
- 8 were not upheld – advice or clarification was provided
- 10 were partially upheld – some further was information provided
- 8 were upheld - information was provided
- 1 was withdrawn
- 1 was closed with no further action

Four complaints were referred to the ICO during 2020/21. The reasons and outcomes for these were:

- Three complaints related to the handling of an FOI and the exemptions engaged by the Council. The ICO issued a decision notice on one and required no further action on the remaining two. The complaints were not upheld.
- One complaint has still to be allocated to a Case Worker within the ICO.

The City Council already publishes a significant amount of information and identifying opportunities to increase the volume and type of information published (subject to legal compliance) will increase transparency and help to reduce the number of FOI's the Council receives, if the information is already available.

The Council received 268 valid Subject Access Requests (SARs) during the course of 2020/21. The number of SARs has been rising year on year with a significant increase seen following the introduction of the GDPR. While the Council receives fewer SARs than other information requests, many of these are complex and can involve managing significant amounts of sensitive information. The introduction of the GDPR also reduced the required response time for responding to SARs from 40 days to one calendar month. The completion rate within the target time has increased slightly to 76%.

The Council received 8 requests to carry out an internal review into a SAR application during 2020/21. In 5 cases, further information was provided which was located through further searches based on information provided by the requester. Where information was not provided, this was due to the original exemptions being upheld regarding grievance / disciplinary process and information not being held by the Council. No complaints were referred to the ICO in relation to SARs in 2020/21.

Protecting information from theft, loss, unauthorised access, abuse and misuse is crucial in order to reduce the risk of data breaches or financial loss incurred through non-compliance with key legislation. The Information Governance data protection security incident reporting process supports the Council's objective that breaches are managed promptly, and outcomes of investigations are used to inform reviews of the control measures in place to keep personal information safe. In addition, the reporting of near misses and potential breaches is encouraged as this promotes awareness, avoids complacency and therefore reduces the likelihood of a serious breach of information.

In 2020/21, the Data Protection Team received 295 reports of data security incidents, an increase from 219 the previous year. Of these, 165 did not involve a breach of personal data. These included near misses, loss or theft of equipment, cases where technical measures prevented access to data and incidents where a breach was contained. Of the incidents where a breach of personal data was identified, 112 were identified as low risk, 6 low/medium, 7 medium and 1 high. The majority of the reports were classified as information being disclosed in error with 25 reports relating to loss or theft of hardware, 18 to technical / procedural errors and 13 unauthorised access.

The GDPR introduced requirements for personal data breaches that meet certain thresholds to be reported to the ICO. No self-reports were made to the ICO during 2020/21. One complaint was made by a data subject directly to the ICO who assessed that the council failed to ensure security of personal data when it disclosed third party information and asked the council to ensure that staff who handle personal data are aware of the importance of keeping data secure. In addition, a third-party organisation working with the council had an incident which resulted in the breach of City Council data. They self-reported to ICO.

Data Protection training is key to ensuring staff are aware of their responsibilities. Training is currently delivered through the Council's e-learning platform and annual completion of the data protection course is mandatory for all staff handling personal data. Staff who do not have access to a computer in their role (not office based) and those with minimal personal data involved in their role are provided with appropriate level training. This ensures that an appropriate level of understanding and awareness is reached that is relevant to their role/responsibilities. For the 2020/21 year, the Council reported a completion rate of the Council's mandatory data protection training of 95% when completing NHS Data Security and Protection Toolkit. In addition to the Data Protection Training ICT have delivered awareness sessions specifically relating to cyber security and regular cyber security messages are issued to staff.

RESOLVED that, the Audit and Procurement Committee notes:

- 1. The Council's performance on Freedom of Information, Subject Access and other Data Protection Act requests, including the outcomes of internal reviews and the number and outcome of complaints made to the ICO.**
- 2. Reporting and management of data security incidents.**
- 3. Data Protection training compliance.**

51. Half Year Fraud and Error Report 2021-22

The Audit and Procurement Committee considered a report of the Chief Operating Officer (Section 151 Officer) that provided a summary of the Council's anti-fraud and error activity undertaken by the Internal Audit Service during the financial year 2021-22 to date.

Fraud in the public sector had a national focus through the publication of "Fighting Fraud and Corruption Locally – The Local Government Counter Fraud and Corruption Strategy". Whilst the national strategy stated that the level of fraud in the public sector was significant, the current trends in fraud activity included areas which Coventry City Council did not have responsibility for, such as social housing, and the levels of identified / reported fraud against the Council remained at relatively low levels, in both numbers and value. Notwithstanding this, it was recognised that the risk of fraud during emergency situations such as the pandemic was higher than at other times. This included an inherent risk of fraud in emergency programmes which local authorities had been required to administer on behalf of government, particularly in relation to grants paid to businesses. This risk had been explicitly acknowledged by government in guidance issued to local

authorities and as such, the Internal Audit Service had specifically included this within its anti-fraud work undertaken in 2021-22.

The report documented the Council's response to fraud and error during the first half of the financial year 2021-22 and was presented to the Audit and Procurement Committee in order to discharge its responsibility, as reflected in its terms of reference 'to monitor Council policies on whistle blowing and the fraud and corruption strategy'.

The Internal Audit Service was responsible for leading on the Council's response to the risk of fraud and error with the work of the team focused on four main areas during 2021-22: Business Support Grants; National Fraud Initiative; Referrals and Investigations considered through the Council's Fraud and Corruption Strategy; and Council Tax. A summary of the key activity that had taken place in these areas during 2021-22 to date was set out in the report.

Within International Auditing Standards there were clear expectations around the level of oversight that the Audit and Procurement Committee should have in relation to the risk of fraud within the Council. This included an expectation that appropriate detail was provided around significant fraud. The Council had applied the following principles when defining significant fraud:

- A financial impact in excess of £10,000.
- Frauds of under £10,000 could be included if the Chief Internal Auditor considered this justified by the nature of the fraud.
- In terms of establishing when a fraud had occurred, this was normally defined as occurring when the disciplinary process had been concluded, although in cases not involving employees, this would be linked to other management action, such as criminal prosecution.

In the period April 2021 to September 2021, no significant frauds had been concluded.

Whilst the Internal Audit Service normally undertook a rolling programme of reviews of council tax exemptions and discounts, this work had not been progressed during the period April to September 2021, given the focus on other priorities and unplanned absence within the Service. As a rolling programme of work, this was not viewed as significant and would form part of the programme of works for 2022-23.

The Council received referrals from both internal and external sources linked to concerns around the payment of council tax support or council tax discounts / exemptions. A table in the report set out the number of referrals received by source during the first half of the financial year 2021-22. Whilst appropriate cases were passed to the Department of Work and Pensions to investigate under agreed arrangements i.e. where housing benefit / universal credit was also in payment, the Internal Audit Service have validated five concerns in 2020-21, which had resulted in revised bills / overpayments of around £8k being issued, of which £4K had been recovered to date.

RESOLVED that the Audit and Procurement Committee notes the anti- fraud and error activity undertaken during the first half of the financial year 2021-22.

52. **2021/22 Second Quarter Financial Monitoring Report (to September 2021)**

The Committee considered a report of the Chief Operating Officer (Section 151 Officer) that detailed the forecast outturn position for revenue and capital expenditure and the Council's treasury management activity as at the end of September 2021. The report was also due to be considered by Cabinet at their meeting on 14th December 2020. Councillor Brown, Cabinet Member for Strategic Finance and Resources attended the meeting for the consideration of this item and spoke in support of the report.

The report indicated that the headline revenue forecast for 2021/22 was for net expenditure to be £14.4m over budget before the application of COVID-19 emergency funding for local government. After the use of this grant, the net overspend was £3.1m. At the same point in 2020/21 there was a projected overspend of £3.5m.

The position included an underlying overspend of £6.8m within Children's Services, although £3.4m of this had been attributed to the pandemic and funded from one-off Covid funding accordingly, leaving a net overspend of £3.4m very significant increase in forecast costs within Children's Services. Work has been undertaken to understand the likelihood and extent of these pressures continuing into next year and this would be reflected in the 2022/23 Pre-Budget Report. Management focus would continue to identify the causes and manage as far as possible the budget pressures within Children's Services as a fundamental element of balancing the 2022/23 Budget position. It was clear that a combination of societal and demographic trends and market pressures were creating a very difficult environment for the service, part of the effect of which was the challenging financial position reflected in the report.

Elsewhere, lower level budget pressures had continued or emerged within Streetscene and Regulatory Services, Finance, Legal and Governance Services and Transportation and Highways. In overall terms the corporate position was within acceptable tolerances at this stage of the financial cycle and could be reasonably expected to continue improving towards year-end.

The Council and the City continue to receive Government support linked to Covid within the 2021/22 financial year. This amounted to c£24m announced to date to support Council services directly and a further c£41m channelled through the Council to support Coventry businesses and external suppliers. Although further allocations could not be ruled out, the pace of funding announcements had slowed markedly reflecting the wider easing of lockdown measures. The scale of any residual Covid related grants was therefore likely to be modest.

The Council's capital spending was projected to be £253.4m and included major scheme expenditure which ranged from investment in the A46 Link Road, Coventry Station Masterplan, construction of a second office building and a hotel within the Friargate development, Air Quality highways works and Secondary

Schools expansion. The size of the programme and the nature of the projects within it continued to be fundamental to the Council's role within the City.

The Council's services and its financial position were moving gradually towards a business as usual position as the year progressed with activity and impacts arising from the Covid pandemic starting to subside. Some pockets of service activity continued to be significantly affected although often this was not resulting in a net financial cost. It was clear that significant financial risk remained in relation to the underlying funding position for local government as well as the future trajectory of Covid costs and funding within a few service areas. It remained a financial imperative therefore to focus on the medium-term horizon and for the Council to tackle the anticipated legacy effects of Covid.

RESOLVED that the Audit and Procurement Committee having considered and noted the proposals in the report, made no recommendations to Cabinet.

53. **Treasury Management Update 2021/22 - Half Year Progress Report**

The Audit and Procurement Committee considered a report of the Chief Operating Officer (Section 151 Officer), which provided an update on the Council's Treasury Management activity in 2021/22 to the end of September 2021.

The Council adopted the Chartered Institute of Public Finance and Accountancy's "Treasury Management in the Public Services: Code of Practice" (the CIPFA Code). This required the Council to approve an annual Treasury Management Strategy and a mid-year update report.

The Council's Treasury Management activity is undertaken in line with the Treasury Management and Commercial Investment Strategy and Policy for 2021/22, which was agreed by Cabinet as part of the Budget Report 2021/22 at its meeting on 23rd February 2021. The Committee noted that there were no breaches of the strategy and policy to report.

The Council was supported in the Investment Strategy and Policy by its Treasury Management Advisors – Arlingclose. The advisors provide economic and specialist advice. A key element of this was the provision of advice on credit risk and the supply of information on credit ratings. Regular review meetings with the advisors continued to be held. In addition, staff with involvement in treasury issues continued to attend on-line events focussed on treasury management as appropriate.

Appendix 1 of the report submitted set out a detailed list of short-term borrowing and investments that the Council held at 1st October 2021. The first table in the Appendix identified that there was no short term borrowing outstanding as at 30th September 2021. Cash projections indicated that the Council may require short-term borrowing to cover cash shortfalls for the final quarter of 2021/22. All short-term borrowings outstanding at the end of the 2020/21 financial year (£54m), were fully repaid by the end of the first quarter 2021/22.

No new long-term borrowing undertaken since 2009, due in part to the level of investment balances available to the Council. The Council had no immediate

plans to take an new long-term borrowing, however, this would be kept under review. As at 30th September 2021, the Council's long-term liabilities totalled £331.7m. This was mainly made up of long-term borrowing sourced from the Public Works Loan Board (PWLB); liabilities arising from the Private Finance Initiative (PFI) and Lender Option Borrower Option (LOBO's) borrowing.

In November 2020, the rules governing local authority access to PWLB changed and borrowing interest rates were reduced by 1%. The Treasury Management Strategy 2021/22 approved by Cabinet on 23rd February 2021 reflected this change and agreed that the Council would not buy investment assets primarily for yield. The Budget Report 2021/22 advised to not pursue this type of activity in the medium term and no current capital projects were affected by this. This would ensure that the Council's access to the PWLB for capital funding was maintained.

The final three tables at Appendix 1 provided a detailed list of investments held as at 1st October 2021 and identified a total investment of £76.3m. This compared to £112.8m held a year ago. The balances were a snapshot and impacted on by timing differences. The 2020 figure showed inflated cash balances to reflect receipt of Government Covid 19 grant funds at that time.

Appendix 2 of the report set out the Council's Lending List at 31st December 2021. The list showed those banking and government institutions that the Investment Strategy allows the Council to invest cash balances with. The list was taken using specialist advice from Arlingclose and was split between UK and foreign institutions. Arlingclose undertook a full review of their credit advice on unsecured deposits at UK banks and building societies in September 2021. As a result, their duration advice for those institution was extended from 35 days to 100 days. The Committee noted that the Council did not hold any funds with counterparties that were not on the Lending List.

The ongoing impact to the UK from Coronavirus, together with higher inflation, the likelihood of higher interest rates and the country's trade position post-Brexit were major influences on the economy and the Council's ability to gain returns on investments.

On the 16th December 2021, the Monetary Policy Committee (MPC) agreed to raise bank interest rates from 0.10% to 0.25%. Recent rising inflation prompted the move as the MPC raised concerns about strong labour market performance and persistent increases in prices. The decision was accompanied by comments about the path for Bank Rate which may see further rate rises over the coming months despite weakening economic activity. Arlingclose expect the Bank Interest Rate to rise to 0.50% in Q1 2022, but then remain there.

For the first two quarters of 2020/21, the Council continued to be in receipt of central government funding to support small and medium businesses during the coronavirus pandemic through grant schemes. These funds have been temporarily invested in short-term liquid instruments, particularly in Money Market Funds. The upfront payment of grants had temporarily inflated the Council's cash balances.

In considering the report, the Committee requested further information on the Council's current treasury investments be circulated.

RESOLVED that, the Audit and Procurement Committee note the update against the Treasury Management Strategy 2021-22 as at 30th September 2021 and request that further information on the Council's current treasury investments be circulated to the Committee Members.

54. Complaints to the Local Government and Social Care Ombudsman 2020/21

The Audit and Procurement Committee considered a report of the Chief Executive, that set out the number, trends and outcomes of complaints to the Local Government and Social Care Ombudsman (LGSCO) in relation to the City Council during 2020/21.

The Committee noted that the report had also been considered by the Cabinet Member for Policy and Leadership and the Ethics Committee.

The LGSCO 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 investigates 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 individual members of the public can complain to the Council, as well as how the Council handles compliments, comments and complaints. The Council informs individuals of their rights to contact the LGSCO if they were unhappy with the Council's decision after they had exhausted the Council's own complaints process.

Every year the LGSCO issued an annual letter to the Leader and Chief Executive of every Council, summarising the number and trends of the complaints dealt with in each Council that year. The latest letter was issued on 21st July 2021 and covered complaints to Coventry City Council between April 2020 and March 2021. Mid-March 2020 saw an abrupt pause to the Ombudsman's casework in response to the exceptional operational challenges local authorities and care providers faced because of the Covid-19 pandemic. The Ombudsman resumed some casework at the end of May and started taking new complaints again at the end of June 2020, after a three month pause.

The report outlined the number, trends and outcomes of complaints to the LGSCO during 2020/21 and, in particular, focussed on upheld complaints, service areas with a high number of complaints, compliance with Ombudsman's recommendations, learning from complaints and how this compared to previous years and other local authorities. The Committee noted that due to the response to the Covid-19 the number of complaints received and determined in the 2020-21 year had been reduced.

Across all councils, the LGSCO received 11,830 complaints and enquiries during 2020/21, down from 17,019 the previous years. The areas receiving the greatest number of detailed investigations was adult social care (801), education and children services (800) and planning and development (436). For Coventry, the LGSCO had received 54 complaints and enquiries during 2020/21, down from 117 the previous year. The report set out the categories for each complaint and it was

noted that the highest number of complaints for Coventry related to education and children's services, adult care services and housing.

When dealing with an enquiry, the LGSCO can choose to investigate cases where it sees merit in doing so. Following an investigation, the LGSCO 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 LGSCO makes a finding on fault; or not upheld – where, following investigation, the LGSCO decides that a council has not acted with fault. Of the complaints submitted, 31 were referred back to the council for local resolution and 13 were investigated, of which 10 were upheld and 3 were not upheld. The remaining complaints were either incomplete / invalid, closed after initial enquiries or advice given. Of those complaints upheld, 9 were remedied by the LGSCO and for 1 the LGSCO found that Coventry had provided a satisfactory remedy before the complaint reached them.

The Committee noted that the Council had complied with all remedies recommended by the LGSCO and the report set out a summary of agreed actions for each service area where complaints had been upheld. In addition, the Committee requested further information on the costs to the Council in respect of complaints that have resulted in a financial award.

In considering the report, the Committee requested that information on the 31 complaints referred back to the Council be circulated.

RESOLVED that the Audit and Procurement Committee:

- 1. Note the Council's performance in relation to the LGSCO.**
- 2. Note the Council complaints process and guidance.**
- 3. Are assured that the Council takes appropriate actions in response to complaints investigated and where the Council is found to be at fault.**
- 4. Request that information on the 31 complaints referred back to the Council be circulated.**
- 5. Request that further information on the costs to the Council in respect of complaints that have resulted in a financial award be circulated.**

55. **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 other items of public business.

56. **Consideration of Approval of Severance Package**

The Audit and Procurement Committee considered a report of the Chief Operating Officer (Section 151 Officer), that sought approval of the severance package for an

employee of the Council which exceeded £100,000 which had occurred due to organisational change and service redesign.

Part 21 of the Council's constitution required that any severance package for an employee of the Council of £100,000 or over should be determined by the Audit and Procurement Committee. The calculation of the value of an exit package included the costs to the Authority, as well as payments / benefits to the employee.

In considering the report, the Committee requested that discussions take place with the Council's Monitoring Officer to establish whether it would be possible to have a corresponding public report in respect of severance package requests and that the outcome of those discussions be circulated to the Committee.

RESOLVED that the Audit and Procurement Committee:

- 1. Approves the severance package as calculated.**
- 2. Request that discussions take place with the Council's Monitoring Officer to establish whether it would be possible to have a corresponding public report in respect of severance package requests and that the outcome of those discussions be circulated to the Committee.**

57. **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 4.35 pm)

Audit and Procurement Committee

21 March 2022

Name of Cabinet Member:

N/A

Director approving submission of the report:

Director of Law and Governance

Ward(s) affected:

N/A

Title:

Outstanding Issues

Is this a key decision?

No

Executive summary:

This report is to identify those issues on which further reports / information has been requested or are outstanding so that Members are aware of them and can monitor their progress.

Recommendations:

The Committee is recommended to:

- 1) Consider the list of outstanding items as set out in the Appendices to the report, and to ask the Director concerned to explain the current position on those items which should have been discharged.
- 2) Agree that those items identified as completed within the Appendices to the report, be confirmed as discharged and removed from the outstanding issues list.

List of Appendices included:

Appendix 1 - Further Report Requested to Future Meeting
Appendix 2 - Information Requested Outside Meeting

Other useful background papers:

None

Has it or will it be considered by Scrutiny?

No

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:
Outstanding Issues**

1. Context (or background)

- 1.1 In May 2004, the City Council adopted an Outstanding Minutes system, linked to the Forward Plan, to ensure that follow-up reports can be monitored and reported to Members.
- 1.2 At their meeting on 25th January 2017, the Audit and Procurement Committee requested that, in addition to further reports being incorporated into the Committee's Work Programme, a report be submitted to each meeting detailing those additional reports requested to a future meeting along with details of additional information requested outside the formal meeting.
- 1.3 Appendix 1 to the report outlines items where a report back has been requested to a future Committee meeting, along with the anticipated date for further consideration of the issue.
- 1.4 In addition, Appendix 2 to the report sets out items where additional information was requested outside the formal meeting along with the date when this was completed.
- 1.5 Where a request has been made to delay the consideration of the report back, the proposed revised date is identified, along with the reason for the request.

2. Options considered and recommended proposal

- 2.1 N/A

3. Results of consultation undertaken

- 3.1 N/A

4. Timetable for implementing this decision

- 4.1 N/A

5. Comments from the Director of Finance and the Director of Law and Governance

- 5.1 Financial implications

N/A

- 5.2 Legal implications

N/A

6. Other implications

- 6.1 How will this contribute to achievement of the Council's Plan?

N/A

- 6.2 How is risk being managed?

This report will be considered and monitored at each meeting of the Cabinet

6.3 What is the impact on the organisation?

N/A

6.4 Equalities / EIA

N/A

6.5 Implications for (or impact on) climate change and the environment

N/A

6.6 Implications for partner organisations?

N/A

Report author(s):

Name and job title:

Lara Knight
Governance Services Co-ordinator

Service:

Law and Governance

Tel and email contact:

E-mail: Lara.knight@coventry.gov.uk
Tel: 024 7697 2642

Enquiries should be directed to the above person.

Contributor/approver name	Title	Service	Date doc sent out	Date response received or approved
Contributors:				
-				
Names of approvers: (Officers and Members)				
-				

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Appendix 1

Further Reports Requested to Future Meetings

	Subject	Minute Reference and Date Originally Considered	Date for Further Consideration	Responsible Officer	Proposed Amendment to Date for Consideration	Reason for Request to Delay Submission of Report
1.	Internal Audit Annual Report 2019-2020 - Further information requested on the progress of recommendations made in respect of the audit of IT Disaster Recovery.	Minute 6/20 19 October 2020	When the formal follow-up review of the audit is undertaken, the findings be reported to Committee	Karen Tyler		

* identifies items where a report is on the agenda for your meeting.

Appendix 2

Information/Action Requested Outside Meeting

	Subject/Report	Minute Reference and Date Originally Considered	Information Requested / Action Required	Responsible Officer	Date Completed
1.	Treasury Management Update 2021/22 – Half Year Progress Report	53/21 31 st January 2022	Information on the Council's current treasury investments to be circulated.	Paul Jennings	1 st February 2022
2.	Complaints to the Local Government and Social Care Ombudsman 2019/20	54/21 31 st January 2022	Information on the outcome of the 31 complaints referred back to the Council by the Ombudsman for local solution be circulated	Si Chun Lam	21 st February 2022
3.	Complaints to the Local Government and Social Care Ombudsman 2019/20	54/21 31 st January 2022	Information on the costs to the Council in respect of complaints that have resulted in a financial award be circulated	Barry Hastie / Si Chun Lam	
4.	Approval of Severance Package	56/21 31 st January 2022	Discuss with the Monitoring Officer whether it is possible to have a corresponding public report when severance packages are considered by the Committee and the result of these discussions to be circulated to the Committee.	Barry Hastie	

Audit and Procurement Committee

21st March 2022

Work Programme 2021-2022

28th June 2021

Internal Audit Annual Report 2020-21
Internal Audit Plan 2021-22
2019/20 Accounts Update

26th July 2021

Annual Governance Statement 2020-21
Audit and Procurement Committee Annual Report to Council 2020-21
2020/21 Revenue and Capital Outturn
External Audit Plan Year Ending March 2021 (Grant Thornton)

27th September 2021

Annual Fraud and Error Report 2020-21
Quarter One Revenue and Capital Monitoring Report 2021-22
Whistleblowing Annual Report 2020-21
Six Monthly Procurement Progress Report (Private)

27th October, 2021 (Additional Meeting)

Framework for Organisational Change
Severance Package Approvals (Private)

29th November 2021

Half year Internal Audit Progress Report 2021-22
RIPA (Regulation of Investigatory Powers Act) Annual Report 2020
Audited 2019/20 Statement of Accounts
Audit Findings Report 2019-20

31st January 2022

Half Year Fraud and Error update 2021-22
Information Governance Annual Report 2020
Quarter Two Revenue and Capital Monitoring Report 2021-22
Treasury Management Update
Complaints to the Local Government and Social Care Ombudsman 2019/20
Approval of Severance Package (Private)

21st March 2022

Quarter Three Internal Audit Progress Report 2021-22
Corporate Risk
Quarter Three Revenue and Capital Monitoring Report 2021-22
Six Monthly Procurement Progress Report (Public & Private)

Matters for 2022/2023 – Dates to be confirmed

Audited 2020-21 Statement of Accounts
Audit Findings Report 2020-21
Data Analytics, Including Use of Artificial Intelligence
Internal Audit Recommendation Tracking report



Coventry City Council

Public report

Report to

Audit and Procurement Committee

21st March 2022

Name of Cabinet Member:

Cabinet Member for Policy and Leadership – Councillor G Duggins

Director approving submission of the report:

Chief Operating Officer (Section 151 Officer)

Ward(s) affected:

City Wide

Title:

Quarter Three Internal Audit Progress Report 2021-22

Is this a key decision?

No

Executive summary:

The purpose of this report is to provide the Audit and Procurement Committee with an update on the internal audit activity for the period April to December 2021, against the Internal Audit Plan for 2021-22.

Recommendations:

Audit and Procurement Committee is recommended to:

1. Note the performance as at quarter three against the Internal Audit Plan for 2021-22.
2. Consider the summary findings of key audit reviews (attached at Appendix One to the report.)

List of Appendices included:

Appendix One - Summary Findings from Key Audit Reports Completed between April and December 2021

Background papers:

None

Other useful documents

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:

Quarter Three Internal Audit Progress Report 2021-22

1. Context (or background)

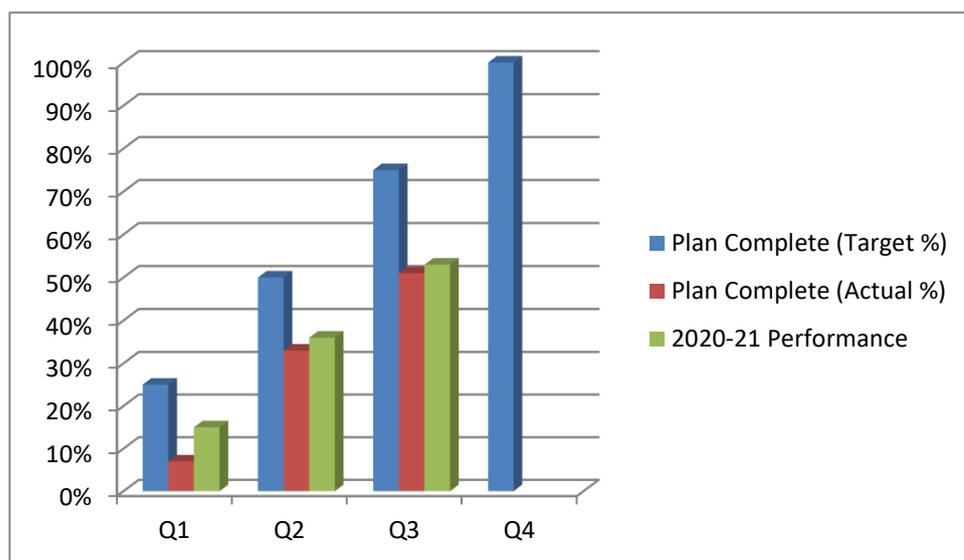
1.1 This report is the second monitoring report for 2021-22, which is presented in order for the Audit and Procurement Committee to discharge its responsibility 'to consider summaries of specific internal audit reports as requested' and 'to consider reports dealing with the management and performance of internal audit'.

2. Options considered and recommended proposal

2.1 Delivering the Audit Plan

2.1.1 The key target facing the Internal Audit Service is to complete 90% of its work plan by the 31st March 2022. The Internal Audit Plan for 2021-22 was presented to the Audit and Procurement Committee at its meeting on the 28th June 2021. In this report, it was explained to the Committee that the level of resources available in 2021-22 for audit and corporate fraud work could not be precisely defined when the plan was developed due to staff vacancies in the Service. As these vacant posts have now been recruited to, management have been able to measure the impact on the available audit days for 2021-22 and consequently the plan has been revised from 650 days to 470 days. The Service have accommodated this change through (a) undertaking a more focused approach to the audit of key financial systems which are undertaken on an annual basis and (b) re-programming some audit reviews into the first quarter of 2022-23. In certain cases, this has been at the request of the customer and in other cases, it reflects the fact that the precise timing of the review is not critical from a risk perspective. As such, the current performance of the Service has been assessed against the revised audit plan of 470 days. The chart below provides analysis of progress against planned work for the period April to December 2021.

Chart One: Progress against delivery of Internal Audit Plan 2021-22



2.1.2 As at the end of December 2021, the Service has completed 51% of the Audit Plan against a planned target of 75% (which is based on delivering 100% of the plan). It is acknowledged

that progress at the end of quarter three is below target with the number of audits completed at the end of December 2021 having been affected by the following factors:

- In quarter three a number of more significant / complex pieces of work were commenced, which inevitably take longer to complete. This position is reflected in section 2.3 below which details those audits which were at draft report stage at the end of December 2021 and those audits which were on-going. It is worth noting that of the 19 audits highlighted, five have since been finalised and a further nine are nearing completion.
- There have been a number of more detailed fraud investigations which have been required to be completed.
- Resources required to support the recruitment exercise.

Achievement of 90% of the audit plan by the end of March 2022 will be a key priority for the Internal Audit Service in quarter four. However, this clearly does present some challenges in light of the current need to focus an element of the available resources on work linked to Covid-19 business grants assurance, which is time critical. Throughout 2021-22, and despite the reduced capacity, the Service have ensured it has delivered all the work required in respect of statutory obligations, including grants to businesses and have completed a number of pieces of work requested by management to respond to emerging risks. Whilst there is a risk that the Service will not achieve 90% of the audit plan, it is the Chief Internal Auditor's view that sufficient planned work will be completed by the end of March 2022 to enable the annual audit opinion to be produced.

2.2 Other Key Performance Indicators (KPI's)

In addition to the delivery of the Audit Plan, the Internal Audit Service has a number of other KPI's which underpin its delivery. The table below shows a summary of the performance for 2021-22 to date against these five KPIs, with comparative figures for the financial year 2020-21.

Table One: Internal Audit Key Performance Indicators 2021-22

Performance Measure	Target	Performance Q3 2021	Performance 2020-21
Planned Days Delivered (Pro rota against agreed plan)	100%	70%	89%
% of work time spent on audit work	90%	91%	90%
Draft Report to Deadline (Draft issued in line with date agreed)	80%	63%	67%
Final Report to Deadline (Final issued within 4 weeks of draft)	80%	96%	90%

Audit Delivered within Budget Days	80%	71%	76%
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Whilst performance in two areas is currently below target, there are a number of reasons behind this and performance management remains a key focus for management within Internal Audit as part of the Quality Assurance and Improvement Programme.

2.3 Audits Completed to Date

Attached at Table Two below is a list of the audits finalised between April and December 2021, along with the level of assurance provided.

Table Two: Audits completed April to December 2021

Audit Area	Audit Title	Assurance
2020-21 B/Fwd	Remote Access	Moderate
	Repairs and Maintenance	Moderate
	Business Rates *	Limited
	Housing Benefits	Significant
Corporate Risk	Coventry and Warwickshire Reinvestment Trust loan books	Health Check
Council / Audit priorities	Purchasing card compliance	Fact finding
Regularity	Annual Governance Statement	Verification
	Innovate UK Grant – Urban airport	Verification
	Coventry North Regeneration	Significant
	North Coventry Holdings	Significant
	Disabled Facilities Grant	Verification
	Rough Sleeper Grant	Verification
	Community Testing Grant	Verification
	Teachers Pension Statements	Verification
	Bus Subsidy Grant	Verification
	Highways Maintenance / Incentive / Pothole Grant	Verification
	Swanswell Viaduct Phase 2 Grant	Verification
	Growth Hub Peer to Peer Grant	Verification
	Restart Grant	Verification
	Growth Hub Core Grant	Verification
	Growth Hub Additional Grant	Verification
	Growth Hub EU Transition Grant	Verification
	Green Homes Grant	Verification
Directorate Issues	Broadgate House Payment Kiosks *	Fact finding
	Telecare	Fact finding
Formal Follow Ups	St Osburg's Primary School	Moderate
	Access to Council Buildings	Significant
	Sports and Arts Grants process	Significant

(*) Audit findings reported to Audit and Procurement Committee during municipal year 2021-22

The following audits are currently in progress:

- **Audits at Draft Report Stage** –, ICT File Storage, Allesley Hall Primary School, Plas Dol-y-moch Recruitment
- **Audits On-going** – Children’s Services Compliance with Working Together Standards Budgetary Control, Potters Green Primary School, Wyken Croft Primary School, ICT Storage Area Network Modernisation Project, ICT Monitoring, Logging and Event Management, Climate Change Risk Assessment, Accounts Payable, Accounts Receivable, Allesley Primary School, Declarations of Interest, Innovate UK Grant – RESO, Special Educational Needs National Trial Grant, Deprivation of Liberty Safeguards, Parking Enforcement and IT Disaster Recovery and Business Continuity

Details of a selection of key reviews completed in this period are provided at Appendix One. In all cases, the relevant managers have agreed to address the issues raised in line with the timescales stated. These reviews will be followed up in due course and the outcomes reported to the Audit and Procurement Committee.

3. Results of consultation undertaken

3.1 None.

4. Timetable for implementing this decision

4.1 There is no implementation timetable as this is a monitoring report.

5. Comments from the Chief Operating Officer (Section 151 Officer) and the Director of Law and Governance

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

Reporting on progress in regards to the delivery of the Annual Audit Plan ensures that the Council meets its statutory obligations in respect of maintaining an internal audit function and represents good governance.

6. Other implications

6.1 **How will this contribute to achievement of the Council's plan?**

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:

- Internal Audit perspective - The main risks facing the Service are that the planned programme of audits is not completed, and that the quality of audit reviews fails to meet customer expectations. Both these risks are managed through defined processes (i.e. planning and quality assurance) within the Service, with the outcomes included in reports to the Audit and Procurement Committee. Delays in the delivery of individual audits could occur at the request of the customer, which could impact on the delivery of the plan. The risk is managed through on-going communication with customers to agree timing and identify issues at an early stage to allow for remedial action to be taken.
- Wider Council perspective - The key risk is that actions agreed in audit reports to improve the control environment and assist the Council in achieving its objectives are not implemented. To mitigate this risk, a defined process exists within the Service to gain assurance that all actions agreed have been implemented on a timely basis. Such assurance is reflected in reports to the Audit and Procurement Committee. Where progress has not been made, further action is agreed and overseen by the Audit and Procurement Committee to ensure action is taken.

6.3 What is the impact on the organisation?

None

6.4 Equalities / EIA

None

6.5 Implications for (or impact on) Climate Change and the environment

No impact

6.6 Implications for partner organisations?

None

Report author(s):

Name and job title:

Karen Tyler
Chief Internal Auditor

Service:

Finance

Tel and email contact

Tel: 024 7697 2186

Email: Karen.tyler@coventry.gov.uk

Enquiries should be directed to the above person.

Contributor/approver name	Title	Service	Date doc sent out	Date response received or approved
Contributors:				
Michelle Salmon	Governance Services Officer	Law and Governance	02/03/2022	03/03/2022
Paul Jennings	Finance Manager Corporate Finance	Finance	02/03/2022	03/03/2022
Names of approvers for submission: (officers and members)				
Barry Hastie	Chief Operating Officer (Section 151 Officer)	-	02/03/2022	09/03/2022
Councillor G Duggins	Cabinet Member for Policy and Leadership	-	02/03/2022	09/03/2022

This report is published on the council's website: www.coventry.gov.uk/meetings

Appendix One – Summary findings from Key Audit Reports completed between April and December 2021

Audit Review / Actions Due / Responsible Officer(s)	Key Findings
<p>Purchasing Card Compliance</p> <p>April 2022</p> <p>Procurement Systems and Contracts Manager</p>	<p>Overall Objective: To provide insight and assurance around the behavioural drivers and controls linked to non-compliance with responsibilities of purchasing card holders and approvers, given the inherent risks involved.</p> <p>Key controls assessed: The review considered how “soft” controls impact on the behaviour of purchasing card holders and approvers. These controls included leading by example, achievability, transparency and accountability.</p> <p>Opinion: not applicable – given the scope of the work undertaken, formal assurance was not provided. In any activity where the control environment is based predominantly on manual controls, ensuring compliance relies upon having an effective framework of soft controls in place which act to influence the behaviours of individuals. As such, the review identified a number of insights into what further steps the Council can take to influence behaviours and increase compliance.</p> <p>Actions Agreed:</p> <ul style="list-style-type: none"> • Directly issuing the purchasing card guidance to cardholders and approvers by email, including details of how to request further training / support. • Putting in place appropriate arrangements to provide mandatory refresher training to cardholders and approvers. • Issuing more frequent reminders to both cardholders and approvers to review and approve purchasing card transactions. • Developing an approach to pro-actively roll-out the Power-BI reports on compliance to management teams / approvers on a regular basis, accompanied by guidance on how the data can be used to improve compliance through raising issues with cardholders / approvers.

Audit Review / Actions Due / Responsible Officer(s)	Key Findings								
<p data-bbox="136 276 555 336">St Osburg's Primary School Follow up Review</p> <p data-bbox="136 373 331 403">January 2022</p> <p data-bbox="136 440 510 470">School Business Manager</p> <p data-bbox="136 507 533 603">A summary of progress made against the agreed actions is shown below:</p> <table border="1" data-bbox="147 639 544 815"> <tbody> <tr> <td data-bbox="147 639 353 708">Number of Actions</td> <td data-bbox="353 639 544 708">6</td> </tr> <tr> <td data-bbox="147 708 353 743">Implemented</td> <td data-bbox="353 708 544 743">3</td> </tr> <tr> <td data-bbox="147 743 353 778">No Progress</td> <td data-bbox="353 743 544 778">1</td> </tr> <tr> <td data-bbox="147 778 353 815">On-going</td> <td data-bbox="353 778 544 815">2</td> </tr> </tbody> </table>	Number of Actions	6	Implemented	3	No Progress	1	On-going	2	<p data-bbox="566 276 2040 336">Overall Objective: To provide assurance that agreed actions have been implemented as planned and there are now robust systems and controls in place to support the effective management of the School's resources.</p> <p data-bbox="566 373 1014 403">Recommendations followed up:</p> <ul data-bbox="566 408 2040 743" style="list-style-type: none"> - Ensure that the use of order request forms is embedded within the School's working practices to ensure that purchase orders are raised / issued at the time the order is placed with the supplier. (M) - The petty cash system is introduced as planned to reimburse staff for minor items of expenditure. (M) - Introduce arrangements to allow for supplier payments to be made using the BACS payment run facility within the School's finance system and ensure that all direct debits are subject to review and ended where appropriate. (H) - Ensure that an appropriate audit trail is maintained to evidence that banking is prepared by two officers. (M) - Ensure that separation of duties is maintained between the raising and authorisation of credit notes and supporting documentation is retained to support the authorisation of any debts written off. (M) - Ensure that all credits on account are cleared within the financial year that they relate to. (M) <p data-bbox="566 780 969 810">Opinion: Moderate assurance</p> <p data-bbox="566 815 2040 943">Whilst the School have made progress in implementing the actions agreed in the March 2021 follow up audit report, there are still some areas for improvement which need to be addressed to ensure that there is a robust system of internal control in place. Alongside this, it is our view that financial expertise within the School is still developing, with further time required for knowledge and skills to become fully embedded in working practices.</p> <p data-bbox="566 979 1283 1010">Actions Agreed – risk level high (H) or medium (M):</p> <ul data-bbox="566 1015 2040 1286" style="list-style-type: none"> • Continue to embed the use of order request forms to ensure that purchase orders are raised / issued at the time the order is placed with the supplier. (M) • Cease the practice of raising purchase orders to reimburse staff for minor items of expenditure and as an alternative, use non-order invoice payments to process these transactions. (M) • Ensure that credit notes / write offs are adequately controlled and the correct accounting treatment applied in respect of this type of transaction. (M)
Number of Actions	6								
Implemented	3								
No Progress	1								
On-going	2								



Cabinet
Audit and Procurement Committee

15th February 2022
21st March 2022

Name of Cabinet Member:

Cabinet Member for Strategic Finance and Resources - Councillor R Brown

Director Approving Submission of the report:

Chief Operating Officer (Section 151 Officer)

Ward(s) affected:

City wide

Title:

2021/22 Third Quarter Financial Monitoring Report (to December 2021)

Is this a key decision?

No

Executive Summary:

The purpose of this report is to advise Cabinet of the forecast outturn position for revenue and capital expenditure and the Council's treasury management activity as at the end of December 2021. The headline revenue forecast for 2021/22 is for net expenditure to be **£12.8m** over budget before the application of COVID-19 emergency funding for local government. After the use of this grant, the net forecast over-spend is **£2.5m**. At the same point in 2020/21 there was a projected underspend of £0.5m. This overall position incorporates two key areas of overspend.

There is an underlying overspend of £10.1m within Children's Services although £8.5m of this has been attributed to the pandemic and funded from one-off Covid funding leaving a net overspend of £1.6m. (3.4m at Quarter 2). Despite this use of Covid funding the underlying overspend represents a serious worsening of the position since the start of the year and a heightened risk to the Council's overall financial position. Whilst this position is consistent with the basis of the 2022/23 Pre-Budget Report it remains critical that work continues to be undertaken to understand the likelihood and extent of these pressures and any potential actions to reduce them in the future. It is clear though that a combination of societal and demographic trends and market pressures are creating a very difficult environment for the service, part of the effect of which is the challenging financial position reflected here.

After adjusting for the effects of Covid, the Streetscene and Regulatory Service is forecasting to be overspent by £4.3m by the year-end if the current industrial dispute by HGV drivers continues over this period. The HGV driver industrial dispute is resulting in a net pressure of c£1.8m, due primarily to the facilitation of the temporary waste collection sites, the revised arrangements for a fortnightly household waste collection and the loss of commercial waste income.

Elsewhere, lower-level budget pressures have continued or emerged within Business, Investment and Culture, Finance and Legal and Governance Services. Underspends are reported within Corporate budgets and Housing and Transformation such that the corporate position has stayed within acceptable tolerances and can be reasonably expected to improve towards the year-end.

The Council and the city continue to receive Government support linked to Covid within the 2021/22 financial year. This amounts to c£24m announced to date to support Council services directly and a further c£43m channelled through the Council to support Coventry businesses and external suppliers. Although further allocations cannot be ruled out, the pace of funding announcements has slowed markedly reflecting the wider easing of lockdown measures. The scale of any residual Covid related grants is therefore likely to be modest although the emergence of any further Covid-variants could still change the landscape of Government funding through 2022.

The Council's capital spending is projected to be £223.6m and includes major scheme expenditure which ranges from: investment in the A46 Link Road; Coventry Station Masterplan; construction of a second office building and a hotel within the Friargate development; Air Quality highways works; and Secondary Schools expansion. The size of the programme and the nature of the projects within it continue to be fundamental to the Council's role within the city.

The Council's services and its financial position had been moving gradually towards a business as usual position as the year progresses with activity and impacts arising from the Covid pandemic starting to subside. This position could be disrupted with the recent rise in case numbers whilst some pockets of service activity continue to be significantly affected. Significant financial risk remains in relation to the underlying funding position for local government, the future trajectory of Covid costs and challenging financial situations within a few service areas. It remains a financial imperative therefore to focus on the medium-term horizon and for the Council to anticipate and address the anticipated legacy effects of Covid.

Recommendations:

The Cabinet is requested to:

- 1) Approve the Council's revenue monitoring position incorporating the application of Covid emergency funding.
- 2) Approve the revised forecast capital outturn position for the year of £223.6m incorporating: £27.4m programme rescheduling since quarter two and £2.3m net reduction in spending relating to approved/technical changes.

The Audit and Procurement Committee is requested to:

- 1) Consider the proposals in the report and forward any recommendations to the Cabinet.

List of Appendices included:

- Appendix 1 - Revenue Position: Detailed Directorate breakdown of forecast outturn position
- Appendix 2 - Capital Programme: Analysis of Budget/Technical Changes
- Appendix 3 - Capital Programme: Estimated Outturn 2021/22
- Appendix 4 - Capital Programme: Analysis of Rescheduling
- Appendix 5 - Prudential Indicators

Background papers:

None

Other useful documents

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?

Yes - Audit and Procurement Committee, 21st March 2022

Will this report go to Council?

No

Report title:

2021/22 Third Quarter Financial Monitoring Report (to December 2021)

1. Context (or background)

- 1.1 Cabinet approved the City Council's revenue budget of £243.8m on the 23rd February 2021 and a Directorate Capital Programme of £220.4m. This is the third quarterly monitoring report for 2021/22 to the end of December 2021. The purpose is to advise Cabinet of the forecast outturn position for revenue and capital expenditure and to report on the Council's treasury management activity.
- 1.2 The current 2021/22 revenue forecast is for expenditure to be £2.5m over budget. This is after applying £10.3m of emergency funding received from Government for the purpose of managing the estimated cost of COVID-19 to the Council. The reported forecast at the same point in 2020/21 after adjusting for Covid-related funding was an underspend of £0.5m. Capital spend is projected to be £223.6m.
- 1.3 The revenue forecast has continued to improve through the year and is anticipated will move further towards a balanced position by the year-end although significant pressures reported within Children's Services and Streetscene represent a serious challenge to the Council's ability to stay within budget. If this were not to be achieved, the Council maintains a strong balance sheet which could withstand any overspend within reasonable limits.

2. Options considered and recommended proposal

- 2.1 This is a budget monitoring report and as such there are no options.

Revenue Position - The revenue forecast position is analysed by service area below. The position shown for each service area assumes that all Covid costs are met from the emergency funding referenced above.

Table 1 - Forecast Variances

Service Area	Revised Net Budget	Forecast Spend	Total Over/ (Under) Spend	Funding For Covid Related Variance*	Non Covid Forecast Variance
	£m	£m	£m	£m	£m
Adult Social Care	81.8	81.9	0.1	0.1	0.0
Business Investment & Culture	5.4	7.0	1.6	0.5	1.1
Children & Young People	78.2	82.6	4.4	2.8	1.6
Contingency & Central Budgets	5.7	2.7	(3.0)	0.0	(3.0)
Education and Inclusion	16.1	16.7	0.6	0.6	0.0
Finance	4.9	5.8	0.9	0.2	0.7
Housing & Transformation	13.0	11.4	(1.7)	0.2	(1.8)
Human Resources	1.3	1.5	0.2	0.1	0.1
Legal & Governance Services	4.1	5.5	1.4	0.6	0.7
Directorate Management	1.3	1.4	0.1	0.0	0.1
Project Management & Property Services	(4.8)	(4.1)	0.7	1.9	(1.3)
Public Health	0.3	0.1	(0.2)	0.0	(0.2)
Streetscene & Regulatory Services	29.4	36.0	6.6	2.3	4.3

Transportation & Highways	7.0	8.3	1.4	1.1	0.3
Total	243.8	256.6	12.8	10.3	2.5

*Covid Emergency Funding will be applied at year-end as contributions of specific grant.

2.2 An explanation of the major forecast variances is provided below. Further details are provided in Appendix 1 to the report.

The headline overspend of £10.1m within Children and Young People’s Services is caused by: an increased number of children’s placements; an increased reliance on high cost external residential placements; and the cost of agency staffing to manage increased caseloads. This has been accentuated by unit costs of the external placement market rising by 10% since the last financial year. During quarter 3, £5.7m of specific Covid funding has been used to reduce the total overspend from £10.1m to £4.4m, of which a further £2.8m is judged to be the result of Covid and eligible to be funded from Covid emergency funding. This leaves a net overspend of £1.6m. It should be noted that the additional funding for Children’s Services within the 2022/23 Budget proposals reflect the view that much of the Covid impact is now expected to continue into the medium term.

The overall Streetscene and Regulatory Services overspend has increased from £3.5m at Quarter to £6.9m at Quarter 3, incurred mostly across Waste and Fleet Services (£3.7m), Streetpride (£0.8m), Planning (£0.7m), Streetscene and Greenspace (£0.5m) and Environmental Services (£0.4m).

The key variations can be broken down as follows. Within Waste and Fleet, the HGV driver industrial dispute is forecast to result in a net pressure of c£1.8m if this continues to the end of March. This is primarily the cost of the temporary waste collection sites (£1.6m), the revised arrangements for a fortnightly household waste collection (£0.4m) and a net loss of commercial waste income (£0.9m) less savings from salaries, fuel and waste disposal costs. The loss of commercial business may have a lasting impact on the sustainability of the service. Other Streetscene variations include domestic refuse pressure of £0.35m due to the acceleration of 2 additional rounds originally planned for April 2022 and £0.4 for temporary cover arrangements required to cover higher than budget sickness, plus isolation and accrued leave absences. A range of other income pressures exist across Bereavement Services, Planning, the War Memorial Park car park and Pest Control.

Directorate - Covid-Related

The largest part of the Council-wide variations reported at quarter 3 are as a direct result of the COVID-19 impacts across the City Council totalling an estimated £10.3m. It must be stressed that the differentiation between Covid and non-Covid costs is subject to significant estimation uncertainty. Covid financial impacts accounted for a budget variation of c£31m in 2020/21.

In addition to the Children’s and Streetscene variations above, other Covid related impacts include: forecast commercial property rent losses (£1.8m); parking and enforcement income loss (£1.1m); and additional staffing across several services reflecting staffing cover for additional Covid workload including within Legal Services (£0.6m).

Directorate - Non-Covid

The Quarter 1 position also includes variations which are separate from those attributable to Covid.

In addition to the Children’s and Streetscene variations above there is an overspend in Business Investment and Culture of £1.1m. This pressure is due primarily to the corporate decision to acquire the former IKEA site and redevelop into a national collections centre

resulting in some unbudgeted Business Rates costs. In addition, there are smaller variations in relation to the Council's share of 'the Wave' profit caused by the facility being closed in the early part of the year due to Covid, reduced Godiva festival ticket sales, and some short-term operating costs in respect of the Brandon Wood Golf course site whilst closed.

There is also a £1.8m Housing and Transformation underspend driven by lower-than-expected costs amounting to £2.4m due to a lower than anticipated number of households in temporary accommodation.

Contingency and Central Budgets

A favourable variation of £3.0m is forecast at this stage arising from a combination of lower borrowing costs and greater investment income within the Asset Management Revenue Account than assumed at Budget Setting, greater Business Rates pooling income and lower than anticipated employer superannuation and contingency costs.

Covid-Related Grants

The Government has announced a range of grant funding allocations to manage the financial impact of COVID-19 and deliver services to mitigate or address the effects of the pandemic.

Table 2: Covid Funding Allocations

	Grant Value	Sub-Total
Funds Council Expenditure - Unallocated	£000	£000
Emergency Funding	(11,314)	
Sales, Fees and Charges Income Loss (Quarter 1 claim - subject to confirmation)	(1,002)	
		(12,316)
Funds Council Expenditure – Specific*		
Covid Winter Grant Scheme/Local Support Grant/Household Support Fund	(5,194)	
Contain Outbreak Management Fund	(2,920)	
Holiday Activities and Food Programme 2021	(1,499)	
LA Practical Support Payment (Public Health)	(718)	
Clinically Extremely Vulnerable Support	(670)	
Welcome Back Fund (Support to High Streets)	(334)	
Business Support Grant New Burdens	(290)	
Community Vaccine Champions	(185)	
Emergency Accommodation Allocation	(130)	
		(11,940)
External Provider or Programme Spend		
Adult Social Care Infection Control and Protection Fund	(3,111)	

Adult Social Rapid Testing Fund	(2,108)	
Adult Social Care Vaccine Funding	(155)	
		(5,374)
Grants to Businesses and Individuals**		
Restart Grants	(13,573)	
Omicron Hospitality and Leisure Grants	(1,878)	
Additional Restrictions Grant	(433)	
		(15,884)
Business Rates & Council Tax Collection Fund Contributions		
Retail Leisure and Hospitality Business Rates Reliefs	(22,000)	
		(22,000)
Overall Support		(67,514)

* A further £8.3m is available having been carried forward as receipts in advance. £6.1m of this is COMF.

**Further amounts will have been paid out in 2021/22 from pre-existing schemes for Additional Restrictions Grant and Local Restrictions Support Grant.

The emergency funding allocation of £11.3m and Sales Fees and Charges Income Loss Compensation of £1.0m is sufficient currently to manage the cost of £10.3m detailed in Table 1. In addition, the specific grants communicated to date of £11.9m are being used to address Covid-specific priority programmes and are shown with a net nil position overall. It is possible that the purpose and guidelines specified in some instances means that not all of the grant will be spent with an expectation that any unused funding will be returned to Government at or after the year end.

The remaining grants and reliefs above are being passported to external Coventry businesses and Council suppliers in line with grant conditions.

2.3 Capital

The quarter 3 2021/22 capital outturn forecast is £223.3m compared with the original programme reported to Cabinet in February 2021 of £220.4m. Table 3 below updates the budget at quarter 3 to take account of a £2.3m reduction of new approved/technical changes and £27.4m of rescheduling.

The resources available section of Table 3 explains how the Capital Programme will be funded in 2021/22. It shows 79% of the programme is funded by external grant monies, whilst 12% is funded from borrowing. The programme also includes funding from capital receipts of £13.1m.

Table 3 – Movement in the Capital Budget

CAPITAL BUDGET 2021-22 MOVEMENT	Qtr 3 Reporting £m
Estimated Outturn Quarter 2	253.4
Approved / Technical Changes (see Appendix 2)	(2.3)
“Net” Underspending	(0.1)
“Net” Rescheduling from future years (See Appendix 4)	(27.4)
Revised Estimated Outturn 2021-22	223.6

RESOURCES AVAILABLE:	Qtr 3 Reporting £m
Prudential Borrowing (Specific & Gap Funding)	27.7
Grants and Contributions	177.4
Capital Receipts	13.1
Revenue Contributions and Capital Reserve	5.4
Total Resources Available	223.6

2.4 Treasury Management

Interest Rates

The ongoing impact to the UK from Coronavirus, together with higher inflation, the likelihood of higher interest rates and the country’s trade position post-Brexit are major influences on the economy and the Council’s ability to gain returns on investments.

On the 16th December 2021, the Monetary Policy Committee (MPC) agreed to raise bank interest rates from 0.10% to 0.25%. Recent rising inflation prompted the move as the MPC raised concerns about strong labour market performance and persistent increases in prices. The decision was accompanied by comments about the path for Bank Rate which may see further rate rises over the coming months despite weakening economic activity. The Council’s Treasury Management Advisors, Arlingclose, expect the Bank Interest Rate to rise to 0.50% in Q1 2022, but then remain there. Other experts are predicting bigger rate rises in the near future.

Long Term (Capital) Borrowing

The net long term borrowing requirement for the 2021/22 Capital Programme is £14.5m, taking into account borrowing set out in Section 2.3 above (total £27.7m), less amounts to be set aside to repay debt, including non PFI related Minimum Revenue Provision (£13.2m). The Council has no immediate plans to take any further new long-term borrowing although this will continue to be kept under review.

Although the Council’s recent Capital Programmes have incorporated prudential borrowing as part of the overall resourcing package, no long-term borrowing has been undertaken for several years. This is due in part to the level of investment balances available to the authority. However, the recent high level of capital spend combined with a lower level of investment balances available mean that the Council will keep this under review. The actual pattern of these factors and the level and expected movement in interest rates will dictate when the Council next seeks to borrow.

The Public Works Loan Board (PWLB) is the main source of loan finance for funding local authority capital investment. In November 2020, the rules governing local authority access to PWLB changed and borrowing interest rates were reduced by 1%. The Treasury

Management Strategy 2021/22 approved by Cabinet on 23 February 2021 reflected this change and agreed that the Council will not buy investment assets primarily for yield. The Budget Report 2021/22 advised to not pursue this type of activity in the medium term and no current capital projects are affected by this. This will ensure that the Council's access to the PWLB for capital funding is maintained.

Interest rates for local authority borrowing from the Public Works Loans Board (PWLB) between 1 October and 31 December 2021 have varied within the following ranges:

PWLB Loan Duration (maturity loan)	Minimum 2021/22 to Q3	Maximum 2021/22 to Q3	As at the End of Q3
5 year	1.49%	1.84%	1.80%
50 year	1.45%	2.37%	1.89%

The PWLB now allows qualifying authorities, including the City Council, to borrow at 0.2% below the standard rates set out above. This "certainty rate" initiative provides a small reduction in the cost of future borrowing.

Regular monitoring continues to ensure identification of any opportunities to reschedule debt by early repayment of more expensive existing loans replaced with less expensive new loans. The premiums payable on early redemption usually outweigh any potential savings.

Short Term (Temporary) Borrowing and Investments

The Council's Treasury Management Team acts on a daily basis to manage the Council's day to day cash-flow, by borrowing or investing for short periods. By holding short term investments, such as money market funds, helps to ensure that the Council has an adequate source of liquid funds. Current cash projections indicate that the Council may require short-term borrowing to cover cash shortfalls for the final quarter of 2021/22. All previous short-term borrowings (£54m) were fully repaid by the end of Quarter 1.

Returns provided by the Council's short-term investments yielded an average interest rate of 0.05% over the last 12 months. This rate of return reflects low risk investments for short to medium durations with UK banks, Money Market Funds, Certificates of Deposits, other Local Authorities, Registered Providers and companies in the form of corporate bonds.

Although the level of investments varies from day to day with movements in the Council's cash-flow, investments held by the City Council identified as a snap-shot at the reporting stages were: -

	As at 31 March 2021	As at 30 June 2021	As at 30 September 2021	As at 31 December 2021
	£m	£m	£m	£m
Banks and Building Societies	0.0	0.0	0.0	0.0
Local Authorities	0.0	0.0	0.0	0.0
Money Market Funds	15.0	57.5	39.1	21.2
Corporate Bonds	0.0	0.0	0.0	0.0
Registered Providers	10.0	0.0	0.0	0.0
Total	25.0	57.5	39.1	21.2

External Investments

In addition to the above in-house investments, a mix of Collective Investment Schemes or “pooled funds” is used, where investment is in the form of sterling fund units and not specific individual investments with financial institutions or organisations. The pooled funds are generally AAA rated; are highly liquid, as cash can be withdrawn within two to four days; and have a short average duration. These investments include Certificates of Deposits, Commercial Paper, Corporate Bonds, Floating Rate Notes, Call Account Deposits, Property and Equities. However, they are designed to be held for longer durations allowing any short-term fluctuations in return due to volatility to be smoothed out. In order to manage risk these investments are spread across several funds (CCLA, Schroders, Ninety-One Investec, Columbia Threadneedle and M&G Investments).

Returns provided by the Council’s pooled funds yielded an average interest rate of 3.92% over the last 12 months. As at 31 December 2021 the pooled funds were valued at £30.6m (£29.8m at 30 September 2021), against an original investment of £30m. Four of the seven funds have now exceeded their original purchase capital value, whilst the remaining three are yet to recover their original capital value. This type of investment should always be managed over the medium term although short-term value may still fluctuate. Current accounting rules allow any ‘losses’ to be held on the Council’s balance sheet and not counted as a revenue loss although this is due to change in April 2023. These investments will continue to be monitored closely.

Prudential Indicators and the Prudential Code

Under the CIPFA Prudential Code for Capital Finance authorities are free to borrow, subject to them being able to afford the revenue costs. The framework requires that authorities set and monitor against Prudential Indicators relating to capital, treasury management and revenue issues. These indicators are designed to ensure that borrowing for capital purposes is affordable, sustainable and prudent. The purpose of the indicators is to support decision making and financial management, rather than illustrate comparative performance.

The indicators, together with the relevant figures as at 31 December 2021 are included in **Appendix 5** to the report. This highlights that the City Council’s activities are within the amounts set as Performance Indicators for 2021/22. Specific points to note on the ratios are:

- The Upper Limit on Variable Interest Rate Exposures (indicator 9) sets a maximum amount of net borrowing (borrowing less investments) that can be at variable interest rates. At 31 December 2021 the value is -£75.8m (minus) compared to +£96.2m within the Treasury Management Strategy, reflecting the fact that the Council has more variable rate investments than variable rate borrowings at the current time.
- The Upper Limit on Fixed Interest Rate Exposures (indicator 9) sets a maximum amount of net borrowing (borrowing less investments) that can be at fixed interest rates. At 31 December 2021 the value is £258.5m compared to £481.1m within the Treasury Management Strategy, reflecting that a significant proportion of the Council’s investment balance is at a fixed interest rate.

3. Results of consultation undertaken

3.1 None

4. Timetable for implementing this decision

4.1 There is no implementation timetable as this is a financial monitoring report.

5. Comments from the Chief Operating Officer (Section 151 Officer) and the Director of Law and Governance

5.1 Financial implications

Revenue

Based on budget monitoring trends in previous years the Council will expect to be able to balance its overall revenue budgetary position over the remainder of the year. Should this not be the case, the Council has taken steps to ensure that it has a strong balance sheet position supported by reserve balances and provisions set aside for amounts owed to it which together provide protection against unexpected adverse budget variations. The further worsening of pandemic conditions experienced recently adds some uncertainty to the position but is not expected to affect the bottom-line position to a significant degree at this stage.

The position within Children's Services continues to represent a serious financial issue for the Council which has worsened since the Quarter 2 report. Although significant, the Council has been able to manage much of this pressure in 2021/22 through Covid resources available on a one-off basis. The reality that much of the budgetary pressure being experienced currently will outlast the direct impacts of Covid has been reflected in the Council's 2022/23 and future budget plans. Despite this, it remains a priority of management to continue to focus on projects to understand and mitigate these overspends taking a longer-term view that the Council should seek cost effective models for safe management of vulnerable and looked after children in the city.

The emerging pressures within Streetscene and Regulatory Services represents further risk to the Council's financial position. Much of the non-Covid pressure relates to the current HGV driver industrial dispute which has been assumed for financial forecast reasons to last for the remainder of the financial year. The Council is keen to resolve the dispute as quickly as possible to prevent this scenario. Given that the rate at which costs are being incurred, it is a financial as well as a service imperative to bring this matter to a conclusion.

The indicative unrestricted Covid funding of £12.3m made available for 2021/22 is likely to be enough to manage the current estimates of unbudgeted Covid costs. The Council has also brought forward funding from a range of other Covid-related grants including the Contain Outbreak Management Fund (COMF) which it will seek to utilise to fund eligible expenditure in a way that best manages support to local communities and services across the city. The Covid pressures shown in this report represent variations to Budget. These do not include Covid pressures of nearly £16m (including within the Council Tax and Business Rates Collection Fund) that the Council had already taken account of as part of the Budget approved in February 2021, the large part of which has been managed locally by the Council without Government funding. Some of these pressures have also been assumed to continue into 2022/23 and therefore it is crucial for the Council to manage its Covid resources on a multi-year basis, maximising the use of specific and time-limited Covid grants in-year but managing more general and flexible funding to support Covid priorities running into next financial year.

Capital

The Council's Capital Programme continues to include a range of strategically important schemes across the city. Current forecasts indicate that the Council's capital spending is projected to be £223.6m compared with the base budget of £220m. This takes account of programme spend brought forward from 2020/21 plus new approvals added to the programme. At this stage it is expected that £27.4m of the approved programme is likely to be rescheduled into the 2022/23 programme, with the A46 and Friargate 2 accounting for much of this spend.

This continues to be a large mostly grant funded programme continuing the trend of recent years. The programme includes major scheme expenditure on secondary schools' expansion, the second Friargate building, Coventry Station Masterplan, the Air Quality programme, the A46 Link Road and residual Public Realm works.

Legal implications

None

6. Other implications

6.1 How will this contribute to the Council Plan (www.coventry.gov.uk/councilplan/)?

The Council monitors the quality and level of service provided to the citizens of Coventry and the key objectives of the Council Plan. As far as possible it will try to deliver better value for money and maintain services in line with its corporate priorities balanced against the need to manage with fewer resources.

6.2 How is risk being managed?

The need to deliver a stable and balanced financial position in the short and medium term is a key corporate risk for the local authority and is reflected in the corporate risk register. Budgetary control and monitoring processes are paramount in managing this risk and this report is a key part of the process. The impact of Covid has represented a heightened level of financial risk over this period. The Council has sought to take a proportionate approach to supporting key sectors, partners and vulnerable groups ensuring that a fundamental safety net is provided but doing so in a financially sustainable way, ensuring that the Council can maintain legacy support within the broad financial envelope indicated by Government emergency funding announcements.

6.3 What is the impact on the organisation?

It remains important for the Council to ensure that strict budget management continues to the year-end. The Council continues to monitor any changes to the financial position represented by Covid.

6.4 Equalities / EIA

No impact.

6.5 Implications for (or impact on) Climate Change and the environment

No impact at this stage although climate change and the environmental impact of the Council's decisions are likely to feature more strongly in the future.

6.6 Implications for partner organisations?

No impact.

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

Paul Jennings
Finance Manager Corporate Finance

Service:

Finance

Tel: 02476 977228

Email contact: paul.jennings@coventry.gov.uk

Enquiries should be directed to the above person.

Contributor/approver name	Title	Service	Date doc sent out	Date response received or approved
Contributors:				
Michelle Salmon	Governance Services Officer	Law and Governance	21/1/22	26/1/22
Helen Williamson	Lead Accountant Capital	Finance	17/1/22	21/1/22
Adam Stretton	Accountant	Finance	17/1/22	21/1/22
Names of approvers for submission: (officers and members)				
Barry Hastie	Chief Operating Officer (Section 151 Officer)	Finance	24/1/22	31/1/22
Sarah Harriott	Corporate Governance Lawyer	Law and Governance	21/1/22	21/1/22
Councillor R Brown	Cabinet Member for Strategic Finance and Resources		31/1/22	01/2/22

This report is published on the council's website: www.coventry.gov.uk/councilmeetings

Appendix 1 Revenue Position: Detailed Directorate Breakdown of Forecasted Outturn Position

Budget variations have been analysed between those that are subject to a centralised forecast and those that are managed at service level (termed “Budget Holder Forecasts” for the purposes of this report). The Centralised budget areas relate to salary costs – the Council applies strict control over recruitment such that managers are not able to recruit to vacant posts without first going through rigorous processes. In this sense managers have to work within the existing establishment structure and salary budgets are not controlled at this local level. The Centralised salaries and Overheads under-spend shown below is principally the effect of unfilled vacancies.

Service Area	Revised Net Budget	Forecast Spend	Centralised Variance	Budget Holder Variance	Total Variance	Less Covid Impact	Non-Covid Forecast Variation
	£m	£m	£m	£m	£m	£m	£m
Adult Social Care	81.8	81.9	(0.7)	0.8	0.1	0.1	0.0
Business Investment & Culture	5.4	7.0	0.4	1.3	1.6	0.5	1.1
Children & Young People	78.2	82.6	(2.9)	7.3	4.4	2.7	1.6
Contingency & Central Budgets	5.7	2.7	0.0	(3.0)	(3.0)	0.0	(3.0)
Education and Inclusion	16.1	16.6	0.0	0.6	0.6	0.6	0.0
Finance	4.9	5.8	(0.2)	1.0	0.9	0.2	0.7
Housing and Transformation	13.0	11.4	0.1	(1.8)	(1.7)	0.2	(1.8)
Human Resources	1.3	1.5	0.0	0.2	0.2	0.1	0.1
Legal and Governance Services	4.1	5.5	0.1	1.2	1.4	0.6	0.7
Directorate Management	1.3	1.4	0.0	0.0	0.1	0.0	0.1
Project Management & Property	(4.8)	(4.1)	0.3	0.3	0.7	1.9	(1.3)
Public Health	0.3	0.1	0.0	(0.2)	(0.2)	0.0	(0.2)
Streetscene and Regulatory	29.4	36.0	0.2	6.4	6.6	2.3	4.3
Transportation & Highways	7.0	8.3	(0.3)	1.6	1.4	1.1	0.3
Total	243.8	256.6	(2.7)	15.6	12.8	10.3	2.5

Budget Holder Variances

Service Area	Reporting Area	Explanation	£m
Education and Skills	Education Entitlement	The overspend is largely a result of reduced opening at Plas Dol-y-Moch due to COVID-19 pandemic meaning that we have been unable to achieve income targets. The centre is now back open and taking groups in accordance with a risk assessment.	0.2
Education and Inclusion	Other Variances Less than 100K		0.4
Education and Inclusion			0.6
Children and Young People's Services	Children's Services Management Team	Covid funding allocated to Management Team cost centre.	(5.1)
Children and Young People's Services	Commissioning, QA and Performance	<p>The overspend is largely linked to a shortfall of £0.1m in the Safeguarding training income target that is not expected to be met. Opportunities to increase income in this area are currently being progressed as part of the commercialisation programme and new training packages have been developed but we are yet to see how these will land and see increased income as a result.</p> <p>Other pressures include the higher cost of agency staff vs. permanent staff within the Safeguarding service and a legacy saving target of £53k in PSS which is not going to be met.</p>	0.4
Children and Young People's Services	Help & Protection	<p>The most significant overspend is linked to staffing, with an £876k overspend forecast across the Area Teams. This is largely attributable to the high use of agency staff and the cost variance between the budget for permanent staffing and the additional costs of agency staff. This is offset by a £300k staffing underspend in the family hubs. There is ongoing development work which aligns with Coventry's recruitment and retention strategy to address the staffing challenges which are seen both regionally and nationally.</p> <p>Additionally, there is an £120k forecast overspend on S17 budgets. This is due to spend on accommodation for 2 cohorts i) Children and families who are being financially supported by Children Services in temporary accommodation where housing have discharged their duty to support ii) Young mothers in supported accommodation. There is ongoing development work to address the issues regarding this overspend which involves working collaboratively with multi agency partners.</p>	2.8
Children and Young People's Services	LAC & Care Leavers	<p>A £6.5m pressure on placements budget forms the majority of this overspend; £2m of this is due to market price increases; £4.5m is due to a high numbers of children looked after and an increase in the use high cost residential placements due to issues with placement sufficiency.</p> <p>Both pressures are linked to COVID activity and the associated impact on supply and demand. Sufficiency problems and a lack of suitable placements have</p>	9.2

		<p>resulted in several particularly high-cost placements and has meant that the agreed placements mix has only been partially delivered.</p> <p>There has been some success with reducing children looked after numbers in the year. However, there has been an increase in the proportion of looked after children living in external children's homes. This is because of a slower than predicted growth in internal fostering and a closed external fostering market. A reduction in numbers of children looked after in supported accommodation is because more are remaining with their foster carers under Staying Put arrangements.</p> <p>There is a forecast overspend of £0.7m Special Guardianship Order allowances, arising from an increase in SGO orders to promote permanence for children. This is partially offset by an underspend in Residence Order fees and some one-off income on the Adoption Central England budget, but this will be an ongoing pressure in the medium-long term.</p> <p>The remaining overspend consists of: £1.1m pressure in the LAC permanency team due to agency staff and professional fees, £0.1m in the Children's Disability Team due to an increase in support packages, and £0.2m in Supervised Contacts due to increased demand and £0.1m for children looked after transport due to increased use of secure transport. There is work underway in all of these areas to identify ways to mitigate these overspends and understand ongoing pressures.</p>	
Children and Young People's Services	Other Variances Less than 100K		(0.1)
Children and Young People's Services			7.2
Adult Social Care	Community Purchasing Other	Spend is increasing due to the cost of packages for both new and existing service users. Demand remains relatively stable at this time but increasing complexity of service users and the cost of services generally is increasing the pressure on the budget.	0.5
Adult Social Care	Localities and Social Care Operational	Overspend of £0.15m due to salary savings target. Further overspends relating to additional forecast agency costs which have been offset by centralised underspends due to staff vacancies. The use of agency is essential at the moment due to the high number of vacancies but we should slowly start to see a reduction in our use of agency as permanent staff are recruited.	0.4
Adult Social Care	Strategic Commissioning (Adults)	£0.2m underspend relates to Carers budgets. Work is underway to enhance the support offer to carers for the next 12 months. £0.4m underspend relates to transport as a result of reduced demand for day opportunities.	(0.6)
Adult Social Care	Partnerships and Social Care Operational	There remains significant pressures in Deprivation of Liberty Assessment demand leading to additional assessment costs (£0.2m). The Initial Contact and Promoting Independence Team and Community Discharge Team have also seen increasing demand alongside staff turnover. Ensuring statutory need is	0.4

		met has been essential and has resulted in additional forecast agency cost in both areas, which has been partly offset by centralised underspends due to staff vacancies.	
Adult Social Care	Other Variances Less than 100K		(0.1)
Adult Social Care			0.8
Housing Services & Transformation	Housing and Homelessness	Although the service has seen a steady demand for temporary accommodation the numbers have decreased rather than increasing. It had been anticipated that the number of households in TA would increase throughout the year, however to date this hasn't materialised. The number of prevention and relief positive outcomes have increased in line with the target for 21/22. It is likely that there will be increased pressure during Quarter 4 however this has been built into the forecast	(2.1)
Housing Services & Transformation	ICT & Digital	The Quarter 3 position reflects a continued reduction in income from our schools service meaning we are again unable to meet our income target. The services to school offering is currently being reviewed in line with the corporate review of traded services. There continue to be further uncertainties with the ICT budget with regards to demand for hardware and the fluctuation caused by increased demand due to COVID. This is being compounded further by issues with regards to availability and price variances with regards to ICT equipment as a result of the global microprocessor shortage. There is the possibility for more variance between Quarter 3 and 4 (both positive and negative) due to this volatility and uncertainty.	0.5
Housing Services & Transformation	Procurement	The Quarter 3 position reflects a one-off credit from a backdated procurement rebate circa £100k in addition to an improved performance from early payment system circa £45k	(0.1)
Housing Services & Transformation	Corporate Communications	Quarter 3 forecast overspend relates to outstanding savings targets and under-achievement of income. This may be balanced by a reduction in expenditure on the Centralised Promotions budget. Decisions will be made on that between now and the end of the financial year.	0.1
Housing Services & Transformation			(1.8)
Legal & Governance Services	Legal Services	This pressure is caused by a significantly increased workload for Children's care proceedings, c£450k of which is as a direct result of the pandemic, and an underlying pressure of £200k. In addition, a further pressure of £350k reflects the cost of agency staff to cover vacancies and other additional resource requirements. There are also pandemic related pressures in Coroners and Registrars of £180k due to additional costs incurred and lost income.	1.2
Legal & Governance Services			1.2
Finance & Corporate Services	Revenues and Benefits	This variation is primarily due to a £0.8m clawback pressure relating to the 2019/20 benefit subsidy claim due to failures on testing carried out in the certification process being higher than originally identified. Additionally, there is a net Housing Benefit subsidy pressure of £0.5m caused by an increase in the	1.2

		volume and price of supported accommodation, for which the Council only receives partial subsidy payments if the provider is not a registered social landlord. The Council has historically had the opportunity to recover overpayments to offset this pressure, however due to customers transferring to Universal Credit and the effects of COVID, this has been greatly reduced. These are offset partially by an estimated improvement in court cost income.	
Finance & Corporate Services	Other Variances Less than 100K		(0.2)
Finance & Corporate Services			1.0
Human Resources	HR and Workforce Development Management	This relates to delays in achievement of savings target. Work to address the remainder of the savings target, which increases by a further £150K in 2022/23, continues.	0.2
Human Resources			0.2
Business Investment and Culture	Sports, Culture, Destination & Bus Relationships	This pressure is due primarily to the corporate decision to acquire the former IKEA site and redevelop into a national collections centre resulting in some unbudgeted Business Rates costs. This is a long term project which will generate partner rent over 30 years. In addition, there are smaller variations in relation to the Council's share of 'the Wave' profit caused by the facility being closed in the early part of the year due to Covid, reduced Godiva festival ticket sales, and some short term operating costs in respect of the Brandon Wood Golf course site whilst closed.	1.3
Business Investment and Culture	Other Variances Less than 100K		(0.1)
Business Investment and Culture			1.2
Transportation & Highways	Parking	This reflects income pressures due to a significant reduction in enforcement income during the COVID-19 restriction periods and reduced collection rates. The position had initially improved significantly during Q3 following the easing of restrictions, however the reintroduction of restrictions following the Omicron variant will have an adverse impact on the final outturn position.	0.9
Transportation & Highways	Highways	This is primarily the use of agency to cover vacancies together with a delay in delivering an MTFs target	0.1
Transportation & Highways	Transport and Innovation	This reflects additional Highways Development Management agency staff resources which have been brought in to support the with the major planning applications and to provide cover for vacancies due to the inability to recruit	0.4
Transportation & Highways	Other Variances Less than 100K		0.2
Transportation & Highways			1.6
Streetscene & Regulatory Services	Planning Services	This pressure relates to lower planning application fee income primarily as a result of the economic downturn caused by the pandemic, with major applications	0.4

		having reduced (nationally) due to the economic uncertainty surrounding the timing of the recovery of the development industry.	
Streetscene & Regulatory Services	Regulatory Services	This variation is predominantly due to COVID. The service has been unable to carry out the required checks/inspections and as a result has had to issue 5 year rather than 1 or 2 year licenses, which has reduced the income received.	0.4
Streetscene & Regulatory Services	Streetpride & Parks	The primary cause of this variation relate to a combination of a loss of income at the War Memorial Park car park of £225k, reduced income in Bereavement Services of £335k caused by a reduction in death rates and £350k Covid related pressures relating to cancelation of events at parks causing (£130k), additional fleet costs (£130k) and Crematorium costs e.g. cleaning (£92k).	1.3
Streetscene & Regulatory Services	Waste & Fleet Services	The 2 primary variations relate to domestic refuse collection and the commercial waste function. In domestic refuse, the acceleration of 2 additional rounds originally planned for April 22 is costing £350k extra. Further pressure of £400k relates to temporary cover arrangements required to cover higher than budget sickness, plus isolation and accrued leave absences. The HGV driver industrial dispute is also resulting in a net pressure of c£1.8m, primarily due to the facilitation of the temporary waste collection sites and loss of commercial waste income less savings from salary and waste disposal costs. The loss of commercial income could have a sustained impact on the sustainability of the service. In commercial waste, the impact of Covid has caused a reduction in income due to the government restrictions of c£0.3m.	3.5
Streetscene & Regulatory Services	SSGS Management & Support	This variation is all due to COVID and relates to additional spend on security and car park management at the War Memorial Park & Coombe Park, and temporary mortuary fees.	0.4
Streetscene & Regulatory Services	Environmental Services	There are 2 primary causes of this pressure. Pest Control income is expected to be underachieved by around £100k, partially due to the impact of the pandemic. In addition, the Emergency Services Unit are forecasting an overspend of £180k. This is due partly to a reduced uptake of some services including call handling, CCTV and Alarm Monitoring, together with an increase in telephone & software costs and the change in the provision of the Careline Service. These pressures are under review to determine their recoverability in the medium term	0.3
Streetscene & Regulatory Services			6.3
Public Health	Public Health - Insight	A number of small scale projects have not been delivered due to resources being focussed on COVID activity	(0.1)
Public Health	Other Variances Less than 100K		(0.1)
Public Health			(0.2)
Project Management and Property Services	Commercial Property and Development	The underlying variance is a surplus of c£1m to reflect better performance against target. This is however being more than offset by a potential write off of rents	0.9

		forecast of £1.8m due to the lasting impact of the pandemic.	
Project Management and Property Services	Facilities & Property Services	This is primarily a trading surplus within the Repair and Maintenance function due to increased project work, together with lower running costs for operational property due to lower usage over the lockdown periods	(0.6)
Project Management and Property Services			0.3
Ringfenced Funding	SEND & Specialist Services	<p>Overall, SEN statutory provision (placements and child specific funding) is forecast to overspend by £1.7M against the set budget, as a consequence of increased demand, extended retention within the system and an increase in average unit costs, as a consequence of an increase in the complexity of need and the necessity to use market led external placements. Factors include:</p> <ul style="list-style-type: none"> • following the challenge of a return to full-time education, a small minority of pupils have presented with complex challenging behaviours requiring enhanced provision to secure mainstream placements. Requests for time limited pupil specific financial allocation to enable schools to enhance staffing (provision of 1:1 support are considered and reviewed though a panel process. • the ongoing demand for EHC Plans continues to increase, particularly in the early years alongside the severity of needs. Consequently, the average cost of funding an EHC Plan in mainstream has increased, because of the significant increase in Band 6 allocations, for pupils entering the SEND system. • the number of pupils placed within the independent/out of City sector has increased significantly, particularly for children presenting with complex social, emotional and behavioural difficulties. This is because local special school provision is currently exhausted. The situation is expected to alleviate when Woodfield School is able to expand pupil numbers. • There is an increased cost associated with post 16 provision as a result of demand growth compounded by an increase in the average placement fees because of the complexity of learners. It is evident that some of the growth (unanticipated retention) can be attributed to the impact of the pandemic, as students determine to repeat a year or extend their course length as an alternative to entering the world of work or adult social care provisions. <p>SEN Support services are forecasting an under spend of £0.4M. This includes salary forecasts taking into account vacancies, the majority of which have been recruited to from September 21; increased trading income and a planned Covid related pause in enhancing and expanding the delegated Autism enhanced resource centres, which are now underway.</p>	1.3
Ringfenced Funding	Schools	£2.8m relates to High Needs unallocated resource which has been earmarked to fund the SEND review. £138k is the underspend on Early Years provision.	(3.0)

Ringfenced Funding	Financial Strategy	Technical adjustment to remove total of ringfenced variances from corporate position	1.7
Ringfenced Funding	Education Entitlement	The net underspend is a combination of a number of staffing underspends due to vacancies offset against a planned overspend on the new arrivals fund. All variance is ringfenced and will be carried forward as part of the DSG reserve.	(0.1)
Ringfenced Funding	Other Variances Less than 100K		(0.1)
Ringfenced Funding			0.0
Corporate & Contingency		A favourable variation of £3.1m is forecast at this stage arising from a combination of lower borrowing costs and greater investment income within the Asset Management Revenue Account, greater Business Rates pooling income and lower than anticipated pay contingency and employer superannuation costs.	(3.1)
Corporate & Contingency			(3.1)

Appendix 2

Capital Programme Approved / Technical Changes

SCHEME	EXPLANATION	£m
Re-provision of Coventry's Indoor Bowls Facility	Removal of scheme as agreed jointly by the Council and Avenue Bowling Club	(2.1)
St Marys Refurbishment Project	Additional National Heritage Lottery Fund grant funding	0.6
Miscellaneous	Total technical changes less than £250k per scheme.	(0.9)
TOTAL APPROVED / TECHNICAL CHANGES		(2.3)

Appendix 3

DIRECTORATE	BASE BUDGET 21/22 plus 20/21 RESCHEDULING £m	TOTAL APPROVED TECHNICAL CHANGES £m	TOTAL OVER / UNDER SPEND £m	TOTAL RESCHEDULED EXPENDITURE £m	REVISED ESTIMATED OUTTURN QTR1 21-22 £m
PEOPLE	41.2	2.7	0.0	(1.9)	42.0
PLACE	211.7	15.3	(0.3)	(45.4)	181.3
TOTAL	252.9	18.0	(0.3)	(47.3)	223.3

Appendix 4

Rescheduling and Accelerated Spend

SCHEME	EXPLANATION	£m
UK Central + Connectivity - Coventry South Package	The Main Works contract was awarded to Colas-SIAC Limited (CSL) in November 2020 following completion of the pre-construction contract. Delivery of the new A46 bridge beams has been taken despite the main contractor's original supplier going in to administration. The opening of the new northbound entry slip road has been achieved as planned at the end of 2021, but due to unforeseen drainage and utility clashes the opening of the new southbound exit slip has been pushed back to Feb 2022 which has shifted the completion date of the scheme to Dec 22. The new A46 structure will open in Aug 22 and the new LRN bridge will likely now open in Nov 22. The full impact of COVID on the scheme to date is being negotiated with the contractor. Liaison work continues to ensure the scheme construction works are co-ordinated with other planned works in the area by HS2 and Highways England.	(9.2)
Air Quality	A delay in Full Business Case sign off has delayed the programme in design and carrying out public consultation. This has led to the Spon End and Junction 7 schemes commencing on site in January 2022, which is significantly later than initially programmed during budget setting 2021.	(7.0)
Vehicle & Plant Replacement	Some vehicles have been retained longer so won't be replaced this year as planned	(0.8)
Disabled Facilities Grants (Better Care Fund)	The planned expanded programme of works will not be fully realised this year. This can be attributed to the lack of contactors available in the market to complete identified works.	(0.5)
City Centre South	Delay in potential land acquisition due to negotiating positions of the relevant parties. We anticipate this acquisition will be concluded during 2022/23	(1.5)
Commercial Waste	Due to issues around COVID- 19 staffing issues and strike action, spend has been lower this year	(0.5)
Re-provision of Coventry's Indoor Bowls Facility	Correcting rescheduling reported at Qtr 1 as scheme is no longer being pursued	0.8
Housing Venture	Problems with obtaining Planning Permission have stopped the majority of the projects being carried out this year.	(1.1)
Friargate	Due to delays in the Project Development Agreement authorisation in January 21 the project has experienced further issues with staff catching COVID causing 4-6 weeks delay. However the projects has plans to recover this delay and still complete as planned November	(7.1)
Miscellaneous	Total rescheduling less than £250k per scheme.	(0.5)
TOTAL RESCHEDULING		(27.4)

Appendix 5

Prudential Indicators

Indicator	per Treasury Management Strategy 2021/22	As at 31 December 2021
<p>Ratio of Financing Costs to Net Revenue Stream (Indicator 1), This is an indicator of affordability and highlights the revenue implications of existing and proposed capital expenditure by identifying the proportion of the revenue budget required to meet borrowing costs.</p>	14.62%	14.24%
<p>Gross Borrowing should not, except in the short term, exceed the total of the Capital Financing Requirement (CFR) at 31st March 2021 plus the estimates of any additional CFR in the next 3 years (Indicator 2), illustrating that, over the medium term, net borrowing (borrowing less investments) will only be for capital purposes. The CFR is defined as the Council's underlying need to borrow, after taking account of other resources available to fund the capital programme and is the amount of capital expenditure that has not yet been financed by capital receipts, capital grants or contributions from revenue.</p>	Estimate / limit of £529.5m	£331.8m Gross borrowing within the limit.
<p>Authorised Limit for External Debt (Indicator 5), This statutory limit sets the maximum level of external borrowing on a gross basis (i.e. excluding investments) for the Council. Borrowing at this level could be afforded in the short term but is not sustainable. The Authorised limit has been set on the estimated debt with sufficient headroom over and above this to allow for unexpected cash movements.</p>	£549.5m	£331.8m is less than the authorised limit.
<p>Operational Boundary for External Debt (Indicator 6), This indicator refers to the means by which the Council manages its external debt to ensure it remains within the statutory Authorised Limit. It differs from the authorised limit as it is based on the most likely scenario in terms of capital spend and financing during the year. It is not a limit and actual borrowing could vary around this boundary for short times during the year.</p>	£529.5m	£331.8m is less than the operational boundary.
<p>Upper Limit on Fixed Rate Interest Rate Exposures (Indicator 9), These indicators allow the Council to manage the extent to which it is exposed to changes in interest rates. The Upper Limit for variable rate exposure has been set to ensure that the Council is not exposed to interest rate rises which could impact negatively on the overall financial position.</p>	£481.1m	£258.5m
<p>Upper Limit on Variable Rate Interest Rate Exposures (Indicator 9), as above highlighting interest rate exposure risk.</p>	£96.2m	-£75.8m
<p>Maturity Structure Limits (Indicator 10), This indicator highlights the existence of any large concentrations of fixed rate debt needing to be replaced at times of uncertainty over interest rates and is designed to protect against excessive exposures to interest rate changes in any one period, thereby managing the effects of refinancing risks. The maturity of borrowing is determined by reference to the earliest date on which the lender can require payment.</p>		

< 12 months	0% to 50%	7%
12 months – 24 months	0% to 20%	3%
24 months – 5 years	0% to 30%	18%
5 years – 10 years	0% to 30%	3%
10 years +	40% to 100%	69%
Investments Longer than 364 Days (Indicator 11) , This indicator sets an upper limit for the level of investment that may be fixed for a period greater than 364 days. This limit is set to contain exposure to credit and liquidity risk.		
	£30m	£0.0m



Public report

Audit and Procurement Committee

21 March 2022

Name of Cabinet Member:

Cabinet Member for Policy and Leadership – Councillor G Duggins

Director Approving Submission of the report:

Chief Operating Officer (Section 151 Officer)

Ward(s) affected:

City Wide

Title:

Corporate Risk

Is this a key decision?

No

Executive Summary:

The purpose of this report is to provide the Audit and Procurement Committee with the outcome of the review of the Risk Management Policy in Appendix 1, Corporate Risk Register 2022-23 in Appendix 2 and the COVID-19 Risk Register in Appendix 3. This provides the Audit and Procurement Committee with an overview of the Council's corporate and COVID-19 risk management arrangements, the main risks identified and the mitigations in place.

Recommendations:

The Audit and Procurement Committee are requested to:

1. Note the outcome of the review of the Risk Management Policy, indicating that they are satisfied with the risk management process.
2. Note the current Corporate Risk Register, indicating that they have satisfied themselves that corporate risks are being identified and managed.
3. Note the COVID-19 Risk Register, indicating that they have satisfied themselves that COVID-19 risks are being identified and managed.
4. Identify any areas where they require additional information (if any).

List of Appendices included:

Appendix 1 – Risk Management Policy

Appendix 2 – Corporate Risk Register

Appendix 3 – COVID-19 Risk Register

Background papers:

None

Other useful documents:

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

1. Context (or background)

- 1.1 The Council's Risk Management Policy has been reviewed and updated. It provides a process of risk identification, assessment, management, mitigation, recording and review. It facilitates the process of escalation of risk in order that it is managed at the correct level of the Council.
- 1.2 The Council's Corporate Risk Register and COVID-19 Risk Register are set out in this report within the context of three important factors. Firstly, the ongoing challenge of the resources that are available, secondly the demographic challenges leading to increased demand for services whilst quality must be maintained and thirdly the COVID-19 pandemic which has had a dramatic impact on citizens and local government.
- 1.3 The Audit and Procurement Committee's Terms of Reference requires the Committee to monitor the effective development and operation of risk management within the Council. The Council's Risk Management Policy identifies that the Committee will receive an annual risk management report.
- 1.3 This report provides the Audit and Procurement Committee with the outcome of the review of the Corporate Risk Register 2022-23 and provides an opportunity for a review of the latest version of the COVID-19 Risk Register.

2. Options considered and recommended proposal

- 2.1 Following consultation with services, the Risk Management Policy has been reviewed with Strategic Leadership Team and it is proposed that it is adopted from 1 April 2022.
- 2.2 The Corporate Risk Register at Appendix 2 has been reviewed in consultation with Strategic Leadership Team and the allocated Risk Owner. It identifies the main risks facing the Council, the impact of the risk, the inherent risk score before risk mitigation, the risk mitigations, the risk score after the mitigations are applied and where responsibility lies for the Council's response.
- 2.3 It should be noted that the Corporate Risk Register covers only those risks that are viewed as the most critical for the Council and which are considered at a corporate level. Risk management activity continues throughout the Council dealing with those of a lower level.
- 2.3 The Corporate Risks and the control measures in place to address them are more fully described in Appendix 2. 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 Policy.
- 2.4 There are some changes to the Corporate Risk Register from the previous report to Members.

Risks added:

Risk 24 - Tackling the causes and consequences of climate change and promoting sustainability

Risk 25 - Education and the link to inequalities

Risk 26 - Increases in demand for specialist school placements for children with an EHC plan
Risk 27 - Reducing health inequalities
Risk 28 - A deterioration in industrial/employee relations affects the Council's ability to deliver vital services

Risks removed from the previous Corporate Risk Register:

Risk 2 – Sky Blue Sports and Leisure Ltd and Ors and Coventry City Council and Ors
Risk 14 – Information Governance (There is a link to Risk 3, ICT and Digital Services)
Risk 16 – Failure to comply with health and safety legislation (there is a link to Risk 5, A workforce that delivers the Council's priorities.)
Risk 23 – Elections

- 2.6 This is the second time that the COVID-19 Risk Register has been considered by the Audit and Procurement Committee. This version is the 6th. The risks are grouped under different service areas. They are:

Service area 1 – Children's Services
Service area 2 – Education & Skills
Service area 3 – Adult Services
Service area 4 – Finance
Service area 5 – Human Resources
Service area 6 – Housing and Homelessness
Service area 7 – Public Health
Service area 8 – Business, Investment and Culture

3. Results of consultation undertaken

None

4. Timetable for implementing this decision

There is no implementation timetable as this is a monitoring report.

5. Comments from the Chief Operating Officer (Section 151 Officer) and the Director of Law and Governance

5.1 Financial implications

There are no financial implications directly associated with the Risk Management Policy or the risk registers although the management of the risks is essential to the operation of the Council, the pursuit of its priorities and its financial integrity.

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 achievement of the Council’s plan?

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

The measures outlined in the COVID-19 Risk Register assist the Council to deliver statutory and other services safely.

6.2 How is risk being managed?

The Council has a policy 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 are part of the good governance arrangements which lead to improved decision making and operational practices across the organisation especially during the COVID-19 pandemic.

6.4 Equalities / EIA

None

6.5 Implications for (or impact on) climate change and the environment

The Corporate Risk Register outlines the risk as the Council tackles the causes and consequences of climate change and promotes sustainability.

6.6 Implications for partner organisations?

None

Report author(s):

Name and job title:

Roger Martin
Insurance Manager

Service:

Finance

Tel and email contact:

02476 978758 – roger.martin@coventry.gov.uk

Enquiries should be directed to the above person.

Contributor/ approver name	Title	Service	Date doc sent out	Date response received or approved
Contributors:				

Michelle Salmon	Governance Services Officer	Law and Governance	03/03/22	03/03/22
Jim Crawshaw	Head of Housing and Homelessness	Housing and Homelessness	14/02/22	14/02/22
Susanna Newing	Director of Human Resources	-	02/03/22	03/03/22
Peter Fahy	Director of Adult Services and Housing	-	01/02/22	09/02/22
John Gregg	Director of Children's Services	-	31/01/22	17/02/22
Paul Ward	Head of ICT and Digital	ICT and Digital	02/03/22	02/03/22
Andy Williams	Director of Business, Investment and Culture	-	31/01/22	14/02/22
Valerie De Souza	Interim Director of Public Health and Wellbeing	-	31/01/22	14/02/22
Kirston Nelson	Chief Partnerships Officer/Director of Education and Skills	-	01/03/22	07/03/22
Names of approvers for submission: (officers and members)				
Paul Jennings	Finance Manager	Finance	01/03/22	07/03/22
Julie Newman	Director of Law and Governance	-	01/03/22	07/03/22
Barry Hastie	Chief Operating Officer (Section 151 Officer)	-	01/03/22	07/03/22
Councillor G Duggins	Cabinet Member for Policy and Leadership	-	08/03/22	

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Coventry City Council

Risk Management Policy

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Coventry City Council

Risk Management Policy

Introduction

Good corporate governance requires mechanisms to be in place for the identification and management of risk. There must be clear focus on risks that can prevent the Council from achieving its priorities as set out in the One Coventry Plan, delivering services as planned and fulfilling its statutory duties. This policy seeks to provide a mechanism for the management of these risks.

Good corporate governance requires that risk management is embedded into the culture of the Council with Members and Officers managing risk at all levels and recognising that this is part of their job. It is important that the nature of how the Council delivers services is acknowledged. In particular, the use of partnerships, projects, shared services, and business transformation programmes bring fresh risks to manage.

Definition of Risk

The definition of risk applied to local circumstances is:

Any potential development or occurrence which, if it comes about, would jeopardise the Council's ability to:

- Achieve its priorities
- Provide services as planned
- Fulfil its statutory duties

Definition of Risk Management

Risk Management is the process by which the Council continuously and methodically addresses the risks which could hinder the achievement of its priorities, provide services as planned and fulfil its statutory duties. The focus of good risk management is the identification of risks, assessment of them, and mitigation where necessary, in order that success is achieved. Risk management increases the probability of success and reduces the probability of failure.

Risk Management Strategy

The aim of the policy is to facilitate effective risk management throughout the Council so that risks are identified, evaluated, mitigated, and monitored to enable the Council to achieve its One Coventry priorities, deliver services as planned and fulfil its statutory duties.

This will be done by:

- Keeping risks under regular, methodical, and recorded review
- Ensuring that the One Coventry priorities, delivering services as planned and fulfilling statutory duties are the focus of risk management
- Considering not just the present but also the medium and long term
- Managing risks at an appropriate level
- Monitoring key corporate risks at the highest levels including Strategic Leadership Team and by Members at the Audit and Procurement Committee
- Managing risk within the usual business processes of the Council
- Assessing risks against a common understanding of the Council's risk appetite set by the Strategic Leadership Team
- Maintaining Directorate risk registers which are reviewed at appropriate intervals by Directorate leadership teams
- Understanding when risks should be escalated from Directorate risk registers to the Corporate Risk Register
- Maintaining service risk registers which are reviewed at appropriate intervals by the Head of Service
- Understanding when risks should be escalated from service risk registers to the Directorate risk register.
- Establishing mitigation measures to manage down risks to appropriate levels
- Establishing clear accountabilities and roles
- Ensuring that the risk assessment is considered and aligned with the budget setting process and the Medium Term Financial Strategy
- Working closely with partner organisations and other bodies such as the National Audit Office and external auditors
- Managing risk via a process that is compatible with any guidance provided by regulatory bodies.
- Ensuring that the Council has access to accurate, meaningful, and timely data
- Considering external factors affecting overall risk management strategy such as changes in Government legislation or the current state of the economy

Accountabilities and Roles

Roles, responsibilities, and reporting lines within the Council are set out below.

Audit and Procurement Committee

The Audit and Procurement Committee will monitor the effective development and operation of risk management and corporate governance within the Council. The Committee will consider the report on the Corporate Risk Register annually.

Cabinet

Cabinet is responsible for maintaining and improving the corporate governance of the city, the preparation and implementation of the One Coventry Plan including its priorities and the effective implementation of the Council's policies including the Risk Management Policy.

Cabinet Members

Cabinet members provide risk management oversight of service provision in the services aligned with their portfolio.

They must be aware of the key risks within their portfolio of services and within any projects or partnerships related to these.

Chief Executive

The Chief Executive Chairs and leads the Strategic Leadership Team and the wider corporate governance agenda of which risk management is part. The Chief Executive will review an annual governance statement and together with the Leader consider and sign it off as appropriate.

Colleagues

All Colleagues have responsibility for identifying hazards and risks whilst performing their day to day duties and to agree with their manager how these should be controlled. This may involve:

- Informing their manager if they identify a new risk, or an existing risk that has not been properly assessed
- Assisting in the development and implementation of processes and risk assessments to manage the risk
- Working in accordance with safe procedures and the findings of a risk assessment
- Informing their manager of changes in their personal circumstances that influence their ability to work safely and in line with a risk assessment.

Directorate and Service Management Teams

Management and management teams have responsibility for delivering services. For successful delivery, many factors such as objectives, people, budget etc. must be considered. Risk Management is just one aspect of the overall management task. Risks which threaten the successful delivery of services must be identified through the business planning process. Managers will put in place actions to reduce the risks and promote success. The risks will be monitored and reviewed at appropriate intervals by the service leadership team.

Heads of Service and strategic leads

Implement plans within their services to deliver agreed objectives. They should ensure that risks and the management of those risks have been explicitly considered in the framing of these plans. The risks that could cause them to fail to meet their objectives must be identified, assessed, and mitigated and recorded and reviewed in order that their objectives are successfully achieved.

Internal Audit

Internal Audit is an assurance function that provides an independent opinion on the control environment, including risk management, by evaluating its effectiveness in achieving the Council's One Coventry priorities. Annually, Internal Audit examines, evaluates, and reports on the adequacy of the risk control environment giving the Council assurance concerning the management of risk and the proper economic and effective use of resources.

Leader of the Council

To lead the Council and the Cabinet in the governance of the city. The Leader of the Council will review an annual governance statement and together with the Chief Executive consider and sign it off as appropriate.

Members

Members collectively are the ultimate policy makers. They will represent their communities and bring their views into the Council decision making process being advocates of and for their communities. They contribute to the continual improvement of Council services and directly to risk management via membership of the Audit and Procurement Committee.

Insurance Manager

The Insurance Manager will coordinate work on the Corporate Risk Register, collate the Directorate Risk Registers and act as a point of reference and support, including attending service leadership meetings when required.

Monitoring Officer

The Monitoring Officer is appointed under section 5 of the Local Government and Housing Act 1989 and is required to report to the council where it appears to them the authority has done, or is about to do, anything which would contravene the law, or which would constitute maladministration.

Section 151 Officer

The Section 151 Officer is responsible for the proper administration of the Council's financial affairs and oversees the production of the Corporate Risk Register prior to its consideration by the Strategic Leadership Team. They must ensure that risks are fully considered and aligned with the Council's Medium Term Financial Strategy.

Service Directors

Together with the Chief Executive they are integral to the leadership of the risk management process. They lead on the management of risks arising from corporate initiatives, business transformation, major projects, external environment, and partnership working and assessing the wider implications of risk assessments associated with service provision.

They also embed risk management within their service, to provide assurance to the Chief Executive and Strategic Leadership Team. They have responsibility for the delivery of relevant One Coventry priorities, including service improvements and efficiencies.

They shall ensure that appropriate risk registers are in place and are kept under regular review, including a service risk register and project risk registers, and that risks are managed at the appropriate level, with escalation of risks to Strategic Leadership Team for consideration to be added to the Corporate Risk Register if necessary.

Strategic Leadership Team

The Strategic Leadership Team will set the Council's risk appetite. They will also scan the horizon for new risks to the Council, provide a view of the medium to long term impacts of Government policy, financing, business transformation and partnership working.

Strategic Leadership Team will oversee an annual Corporate Risk Register and keep it under review throughout the year. They will review risks that are escalated to them by Directors and the effectiveness of actions put in place to mitigate risk at other meetings throughout the year.

Risk Management Methodology

The risk management methodology describes the way in which risks are managed by the Council.

Part 1 – Setting the Council's Risk Appetite

Risks must be assessed against the Council's risk appetite. Risk appetite can be defined as the amount of risk that an organisation is prepared to accept, tolerate, or be exposed to before it takes proactive action. Setting a risk appetite helps the Council to view risks in a consistent way across all services areas.

The Council's risk appetite is demonstrated by reference to the matrix on page 11. The colours of the matrix are a traffic light system. Those which exceed the Council's risk appetite are in the **red** zone. Low risks within the appetite are in the **amber** and **green** zones.

Part 2 – Identifying Risk

Risk identification is concerned with identifying events and their consequences which could impact on the Council's achievement of its One Coventry priorities, delivering services as planned and fulfilling its statutory duties. Consequently, the starting point is knowing what the One Coventry priorities are, as set out in the One Coventry Plan, the services that need to be delivered and the Council's statutory duties. Risk identification is not a stand-alone activity but is part of strategic business planning processes of the Council.

How to identify risks

There is no one right way of identifying risks but it can help to use prompts which identify different sources of risk. These include:

- Strategic: doing the wrong things as an organisation so that the goals of the One Coventry Plan are not prioritised

- Customers/citizens: Failure to deliver services of a required standard or misunderstanding their needs
- Finance: losing monetary resources, exceeding budgetary limits, or incurring unacceptable liabilities
- Reputation: The Council's image, loss of public confidence
- Legal and regulatory: claims against the Council, non-compliance, not meeting statutory duties, new regulations resulting in new or severe risks
- Information: loss of or inaccuracy of data, systems or reported information
- Environmental: things that may be, but not always, outside of the Council's control; environmental impact, loss of biodiversity or the impact of climate change
- Environmental Risk Assessment & Environmental Impact Assessments
- People: risks associated with employees, management, and Members
- Political: political embarrassment, not delivering local or national policies
- Partnerships: the risks the council is exposed to because of partnerships
- Considering the long-term projected impacts of a business as usual approach
- Considering how changes in one factor may contribute to or adversely impact upon other factors
- Policy Impact Assessments

These categories can be used to identify events that can prevent or hinder the Council from achieving its One Coventry priorities, delivering services, or fulfilling its statutory duties.

There are different techniques that can be employed to facilitate risk identification. These include but are not limited to:

- Brainstorming with colleagues
- Questionnaires
- Risk assessment workshops
- Incident investigation
- Auditing and inspection
- Dependency analysis
- SWOT analysis (Strengths, weaknesses, opportunities, and threats)
- PESTLE (Political, Economic, Social, Technical, Legal, Environmental)

Risk description

The information gained during the risk identification process needs to be gathered into common themes and developed into risk descriptions. The risk description should have an event which leads to a consequence which then has an impact:

- An event – this is the something that could go wrong and is where the uncertainty lies
- The consequence – this is the potential outcome of the event which may or may not happen
- The impact – this is the affect that the outcome will have if it does develop

A risk description would be framed as the event which leads to a consequence which then has an impact. E.g., A loss of xxxxx will lead to xxxx resulting in xxxx.

Examples are:

If the Council mismanages personal data (event) there may be data loss, misuse, or breach of privacy (consequence) resulting in breaches of legislation, fines, and reputational damage (impact).

There is a risk that an economic downturn (event) will mean that businesses struggle (consequence) resulting in an increase in unemployment (impact).

If the Council fails to develop its workforce (event) Colleagues will be less able to offer good service (consequence) resulting in vulnerable members of the community suffering harm (impact).

When will risks be identified?

Risk identification should take place as part of managing and reviewing the business, decision making and managing performance. Key opportunities to identify risk are when:

- The One Coventry priorities are agreed
- Strategic Leadership Team considers how One Coventry priorities will be delivered
- Service senior leadership teams consider what services will be delivered and how this will be done
- There are management team meetings
- Something significant changes
- The Council provides a new service or starts a new partnership
- Something nearly goes wrong
- After something has gone wrong
- Budgets are set

Part 3 – Assessing the inherent risk

When the risks that threaten the achievement of the Council's One Coventry priorities, the delivery of services as planned or the fulfilment of statutory duties have been identified, they must be assessed in terms of the likelihood that they will occur now or in the future and the impact if they do. This information will then be used to inform professional judgements about the significance of the risks to the Council and how they relate to the Council's risk appetite.

The Council has agreed criteria for the levels of likelihood and impact. These are shown in Tables 1 and 2 below. The definitions for the likelihood of occurrences are quite short. However, because the impact of the risk, should it occur, can be much wider, there is a more comprehensive set of definitions.

When first considering the likelihood and impact any existing controls that are in place should not be taken into consideration. The risk score you have will be an inherent or uncontrolled score.

When both the likelihood and impact have been considered, the likelihood is multiplied by the impact to get the overall inherent risk score. This should be mapped onto the matrix in Table 3. The colours of the matrix are a traffic light system. Those which exceed the Council's risk appetite are in the **red** zone. Lower risks within the appetite are in the **amber** and **green** zones.

The risk score should be used to inform the judgement, rather than dictate how risks compare and what the priorities should be. The scores help to identify the serious threats and to inform decisions about the significance of those risks to the Council, now or in the future and how, or whether, they should be treated.

Table 1: Description and definition of Likelihood

Score	Description
5	Highly likely to happen – More than an 80% chance
4	Likely to happen – 60% to 79% chance
3	Will possibly happen – 40% to 59%
2	Unlikely to happen – 20% to 39%
1	Highly unlikely to happen – Less than 20%

Table 2: Description and definitions of Impact of the risk

Impact	Example
5	Death or life changing injury to more than one person Long term loss of service capability Failure to deliver a One Coventry priority Long term negative perception of the Council Litigation is certain and impossible to defend Significant corporate budget realignment Breaches of law punishable by imprisonment Large scale irreversible environmental damage
4	Medium term loss of service capability Death or life changing injury to a person Adverse UK wide publicity Litigation almost certain and difficult to defend Some corporate budget realignment Breaches of law punishable by fines Persistent environmental damage
3	Short term loss of service capability Serious injury to a person causing 6-month recovery Adverse regional wide publicity Litigation to be expected Budget adjusted across service areas Breaches of major statutory duty Environmental impact on a small area or a wider area with limited damage
2	Short term disruption to service capability Less serious injury requiring one-month recovery Adverse local publicity High potential for complaint, litigation possible Financial implications contained within the Directorate Breaches of statutory regulations/standards Environmental impact that is contained and rectified easily
1	No significant disruption to service capability Minor injury Unlikely to cause any adverse publicity Unlikely to cause complaint or litigation Financial implications contained within the service area Breaches of local procedures or standards Environmental impact that disperses in a short time

Now that the inherent risk score has been calculated, you can plot the risks on to the risk prioritisation matrix in Table 3. This is a guide of their relative significance to the Council, and how they will be managed.

	Impact				
Likelihood	5	10	15	20	25
	4	8	12	16	20
	3	6	9	12	15
	2	4	6	8	10
	1	2	3	4	5

Part 4 - Managing and mitigating risks

Having considered how corporate risks should be identified and assessed for likelihood and impact, it is necessary to consider how risks can be managed and mitigated. The risk score should not dictate the level of management required; however, it is a guide as it does point to matters that will require managing.

This involves:

Assessing the inherent risk against the Council’s risk appetite

The degree to which an inherent risk is tolerable should be considered against the Council’s risk appetite. Table 3 identifies which risks are high (red zone), medium (amber zone) or low (green zone). Those which are red exceed the Council’s risk appetite.

Assigning ownership to manage the inherent risk to specific officers or designated officers

The following is a guide to the correct levels of ownership

Red risks – These are high risks that exceed the Council’s risk appetite. They require active management by senior officers at Director level. The risk owner will report to Strategic Leadership Team.

Amber risks – These are medium risks that are within the Council’s risk appetite, but which still need to be closely monitored. The risk owner will be a Director or a member of their service senior leadership team reporting to the Director.

Green risks – These risks are within the Council’s risk appetite and will be managed and monitored within the service.

Assessing the method of risk mitigation

There are four ways that the Council can choose to respond to any risk. The Council could tolerate the risk, treat it, terminate it, or transfer it in whole or in part to a third party.

The cost and effectiveness of mitigations is a key consideration and needs to be balanced against the short and long term potential consequences if the event occurred. The cost of implementing the mitigation should not normally exceed the maximum potential benefit.

Depending on circumstances mitigations will fall under one of four basic approaches.

- **Tolerate the risk.** If the score is low, the correct response might be to recognise that the activity brings risk but continue with it. You would typically take this approach when it is not cost effective to act, because the likely impact of the risk, should it occur, is minimal. When a decision is made to tolerate a risk, the reason should be documented. In addition, you should continue to monitor the risk so that you can ensure that your decision remains the correct one.
- **Treat the risk.** This is the most widely used approach. The purpose of treating the risk is to continue with the activity, but at the same time take action to bring the risk score lower, to an acceptable level. This is done through either prevention actions, that remove the likelihood or consequences, containment actions that lessen the likelihood or consequences and are applied before the risk materialises or contingent actions which are pre-planned responses that will reduce the impact after the risk has happened.
- **Terminate the risk.** This involves stopping an activity altogether or doing things differently so that the risk is removed.
- **Transfer in whole or in part the risk to a third party.** The transfer of risk to another organisation can be used to reduce the financial exposure of the Council and/or pass the risk to another organisation which is more capable of effectively managing it. An example would be the transfer of a risk through the terms of a legal contract, such as an insurance policy.

All mitigation measures should, wherever possible, be SMARTER - specific, measurable, agreed, realistic, time bound, evaluated and reviewed. This will make it easier to assess whether they are being implemented to the full extent necessary.

The costs of managing risks should be understood and be proportionate to the risk being addressed. Resources should be prioritised to the higher-level risks that need active management.

The reasons why a course of action has been taken should be documented and the decision implemented by the risk owner.

Part 5 – Assessing the residual risk

Risks will have been identified and assessed and have an inherent risk score. In addition, mitigations will have been considered and decisions made about which are appropriate and been put in place. These controls will either make the likelihood that the risk will occur less, or they will reduce the impact of the risk should it take place

As the likelihood or impact of the risk has changed, it is now necessary to re-score the risk, taking these changes into consideration. The resulting score is the residual risk score.

The mapping of the score onto the matrix in Table 3 should be repeated to record the residual risk. This will show what influence the mitigations have had. The residual risk score should be lower than the inherent risk score. If it isn't, the mitigation measures are just having the effect of stopping the risk from deteriorating. The residual risk score needs to be at an acceptable level when considered against the Council's risk appetite. If the score does not reduce the risk to an acceptable level, the effectiveness and adequacy of the mitigation should be considered.

Part 6 – Recording and reviewing risks

It is necessary to monitor risk mitigation action plans to regularly report on the progress being made in managing risk. Alternative action will be needed if the mitigations taken prove ineffective.

All the information relating to the identified risks should be recorded in a risk register. This information should, as a minimum, include: a description of the risk; its impact; the inherent risk score, the mitigations in place or being put in place; the residual risk score and the risk owner. A template for a risk register is shown at Appendix C.

The risk register needs to be reviewed and approved at the right level of management. This will include the Corporate Risk Register being reviewed and approved by Strategic Leadership Team, Directorate risk registers by the Directorate Senior Leadership Team and the service risk register by the Head of Service.

- **Corporate Risk Register**

The corporate risk register will be reviewed quarterly by the Strategic Leadership Team. This is required because:

- Previously identified risks will change overtime
- New risks arising will need to be added
- It might be appropriate to take risks off the register. However, when this is done a record of the reasons for this should be kept.

Prior to review at Strategic Leadership Team, the Insurance Manager will liaise with risk owners and ascertain what changes to the risk assessment are proposed, including risks they wish to escalate. These proposals will be included within the report to Strategic Leadership Team for their consideration.

Strategic Leadership Team will consider:

- Are the risks still relevant?
- Have circumstances surrounding the risks changed?
- What progress has been made in managing the risk?
- Given the progress made, do the risk scores need revising?
- Are any further controls needed? If so, what should these be?
- Have any new risks arisen?

The Corporate Risk Register should then be updated to reflect these changes.

- **Directorate Risk Register**

Directors should review their Directorate risk register at appropriate intervals with their leadership team. This can be done as follows:

- Agree how often risk is an agenda item

- Allocate a member of the leadership team to lead on risk review
- Circulate the Directorate risk register to the members of the leadership team before the meeting
- The lead will guide the review of the service risk register highlighting areas for consideration
 - Have the previously identified risks changed?
 - Are risk mitigations acting as expected?
 - Are the risk scores for likelihood and impact still correct?
 - Have new risks arisen that need to be added?
 - Can risks come off the Directorate risk register?
 - Does the leadership team believe that a risk should be escalated to the Council's Strategic Leadership Team so that this group can consider if it should be added to the Corporate Risk Register?

Risks can be considered for escalation to the Council's Strategic Leadership Team if there are a combination of several of the following factors:

- The risk is a **red** risk. This means that it exceeds the Council's risk appetite
- The risk could result in the Council being unable to deliver a One Coventry priority, deliver vital services as planned or fulfil a statutory duty
- The risk cannot be addressed at a Directorate level
- The risk is likely to require considerable additional resource to manage
- The risk could result in considerable reputational damage
- The risk will impact areas of the Council other than the Directorate
- The Service Director believes that it is a risk that should be drawn to the attention of the Council's Strategic Leadership Team
- The risk will not be managed down into the **amber** category within the next quarter.

If a risk requires escalation to the Council's Strategic Leadership Team, this will be communicated to the Insurance Manager who will contact the Section 151 Officer and Monitoring Officer.

- **Service Risk Registers**

The Head of Service should review their service risk register at appropriate intervals with colleagues and consider:

- Have the previously identified risks changed?
- Are risk mitigations acting as expected?
- Are the risk scores for likelihood and impact still correct?
- Have new risks arisen that need to be added?
- Can risks come off the service risk register?
- If the risk should be escalated to the Directorate risk register?

Risks can be considered for escalation to the Directorate risk register if there are a combination of several of the following factors:

- The risk is an **amber** or **red** risk.
- The risk could result in the Council being unable to deliver a One Coventry priority, deliver vital services as planned or fulfil a statutory duty
- The risk cannot be addressed at a service level
- The risk is likely to require additional resource, beyond the service budget to manage

- The risk could result in reputational damage
- The risk will impact areas of the Directorate other than the service
- The Head of Service believes that it is a risk that should be drawn to the attention of the Directorate leadership team
- The risk will not be managed down into the **green** category within the next quarter.

Appendix A Glossary

Corporate Risk

The Council identifies its corporate priorities within the One Coventry Plan. Corporate risks are those which can result in the Council not achieving its stated priorities, as well as those that prevent it from providing services as planned and fulfilling its statutory duties.

Corporate Governance

Corporate Governance are the arrangements that the Council has in place to make sure that its aims are defined and achieved. The Council must make sure that its resources are directed in accordance with agreed policy and according to One Coventry priorities, that there is sound and inclusive decision making and that there is clear accountability for the use of those resources to achieve the desired outcomes for service users and communities.

Corporate Risk Register

A document that contains information about the most significant risks that the Council faces. It will describe them, list the impacts of the risk if it materialises, the inherent and residual risk scores, the risk mitigation measures and who is responsible for the management of the risk. It is kept under review by the Strategic Leadership Team.

Inherent Risk

The level of risk that is in place before actions are taken to either reduce the impact of the risk or the likelihood of it materialising or both.

One Coventry Priorities

These are the priorities which are identified in the One Coventry Plan.

Residual Risk

The level of risk that is in place after risk mitigation actions have been taken to either reduce the impact of the risk or the likelihood of it materialising or both.

Risk

Any potential development or occurrence which, if it comes about, would jeopardise the Council's ability to:

- Achieve its One Coventry priorities
- Provide services as planned
- Fulfil its statutory duties

Risk Appetite

The Council's risk appetite is the amount of risk that that the organisation is prepared to accept, tolerate, or be exposed to.

Risk Management

Risk Management is the process by which the Council continuously and methodically addresses the risks which could hinder the achievement of its One Coventry priorities, provide services as planned and fulfil its statutory duties.

Risk Mitigation

The planned actions that the Council will take to either reduce the likelihood of the risk occurring or its impact if it does.

Risk Register

A risk register is a document that contains information about the risks. It will describe them, list the impacts of the risk if it materialises, the inherent and residual risk scores, the risk mitigation measures and who is responsible for the management of the risk.

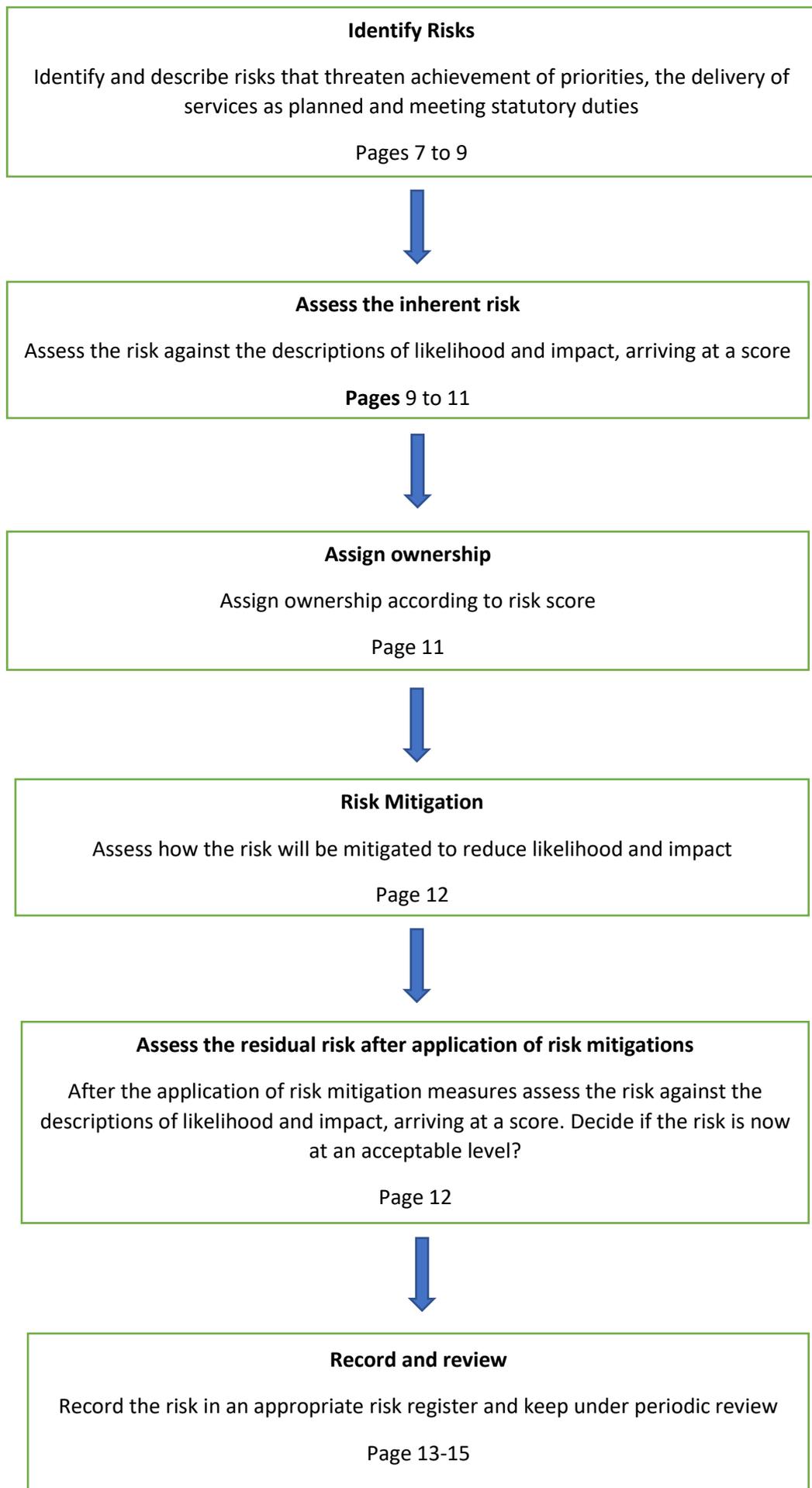
Strategic Leadership Team

Led by the Chief Executive it is the most senior Officer group within the Council and is held to account for its strategic and management responsibilities by the Cabinet.

Statutory Duties

Local Authorities are bound by statute or law. The functions that they must undertake, or statutory duties are set out in Acts of Parliament

Appendix B – Risk Management Flow Chart



Appendix C - Risk Template

Risk Register						
Risk Scores						
Likelihood is scored on a scale of 1 to 5 with 5 being high. For a description of likelihood scores refer to page 10 of the Risk Management Policy.						
Impact is scored on a scale of 1 to 5 with 5 being high. For a description of impact scores refer to page 10 of the Risk Management Policy.						
To calculate the total score, multiply the likelihood score by the impact score and arrive at a total score. This is done twice, firstly to calculate an inherent risk score and secondly a residual risk score, after risk mitigations are applied.						
A risk scoring above 15 is red, those between 6 to 14 are amber and those between 1 to 5 are green.						
Service Area:						
No	Risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
			Likelihood Score		Likelihood Score	
			X		X	
			Impact Score		Impact Score	
			=		=	
			Total Score		Total Score	

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Corporate Risk Register

Risk Scores

Likelihood is scored on a scale of 1 to 5 with 5 being high. For a description of likelihood scores refer to page 10 of the Risk Management Policy.

Impact is scored on a scale of 1 to 5 with 5 being high. For a description of impact scores refer to page 10 of the Risk Management Policy.

To calculate the total score, multiply the likelihood score by the impact score and arrive at a total score. This is done twice, firstly to calculate an inherent risk score and secondly a residual risk score, after risk mitigations are applied.

A risk scoring above 15 is red, those between 6 to 14 are amber and those between 1 to 5 are green.

Service Area: Finance

No	Risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
1	<p>Inability to deliver a balanced budget in the medium term</p> <p>There is a risk that the Council will not be able to achieve its priorities whilst at the same time balancing its budget because of a combination of increased pressure on all sources of funding and increased demand and complexity in services, including in adults and children’s social care. This could result in difficult</p>	<p>With stretched resources it becomes harder to meet the complex needs of vulnerable people, address inequalities and work towards climate change commitments.</p> <p>Difficult decisions about resource allocation might be required from Members and senior officers.</p> <p>Late announcements and increased volatility of</p>	<p>Likelihood Score</p> <p>4</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>20</p>	<p>A rigorous structure exists to oversee budgetary processes.</p> <p>The Council’s financial position for 2022/2023 is manageable but there are gaps in future years funding with the medium-term position being subject to further review.</p> <p>Work continues to identify flexibility in existing budgets and undertake technical analysis to identify alternative options to alleviate budgetary pressure.</p> <p>Specific programmes are in place to identify commercial opportunities and optimum service delivery models to produce a medium-term</p>	<p>Likelihood Score</p> <p>2</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>10</p>	<p>Chief Operating Officer (Section 151 Officer)</p>

	<p>decisions having to be made by Members and senior officers about which services to support, with consequences for citizens and the city.</p>	<p>funding make it difficult to obtain value for money, plan, consult and report within required timeframes.</p>		<p>programme of transformation and ensure future financial sustainability.</p> <p>Lobby UK Government through SOLACE, SIGOMA, Treasurers Societies and the F20 grouping of local authorities to highlight the Council's financial position.</p> <p>Assist in the economic recovery of the local economy to try to safeguard local income flows.</p>		
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Service Area: ICT and Digital

No	Risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
3	<p>ICT & Digital services and their contribution to the delivery of One Coventry Priorities</p> <p>The risk has two parts. Present delivery of services and future implementation of change.</p> <p>The risk of Cyber-attack has significantly increased following Russia’s invasion of Ukraine. If there were to be a large-scale failure of the services and technology that ICT & Digital provide, this would have a fundamental and significant impact on the day-to-day operation of the council and the delivery of services.</p> <p>If the programme of ongoing development and the implementation of the ICT and Digital Strategies are not successful, this will</p>	<p>If there was a large-scale failure of the services and technology that ICT & Digital provide (such as a cyber-attack) then services to residents and business, including statutory duties, would not continue to be delivered effectively and efficiently and in a manner that suits the customer.</p> <p>Data security and use of systems would be compromised leading to litigation, fines, reputational damage, increased costs, and a waste of staff and managerial time.</p> <p>If the programme of ongoing development and the implementation of the ICT & Digital strategies are not</p>	<p>Likelihood Score 5</p> <p>Impact Score 5</p> <p>Total Score 20</p>	<p>The ICT & Digital Service produce an annual service plan which details the programmes and activities that are being undertaken to continue to provide high performing, stable and resilient infrastructure, technology, and systems to support the day-to-day operation of the organisation and delivery of the One Coventry Council Plan Priorities. Progress against this plan is monitored throughout the year.</p> <p>The Council has an established governance, risk and compliance framework and approach which ensures that risk (including resilience) and compliance issues are actively identified, tracked and remediated.</p> <p>Cyber resilience is pursued by having scheduled monthly maintenance windows where servers are patched, upgraded, and maintained with the latest bug and security fixes and scheduled</p>	<p>Likelihood Score 4</p> <p>Impact Score 3</p> <p>Total Score 12</p>	Head of ICT and Digital

	<p>mean that the organisation will be less able to implement and support new ways of working in line with the One Coventry Council Plan. The Council would also become increasingly vulnerable to cyber-attacks. This will result in the inefficient delivery or disruption to the delivery of vital services to residents and businesses meaning that the Council will have failed to deliver its One Coventry priorities.</p>	<p>successful then the Council may fail to maximise service improvement leading to inefficient delivery of public services, impacting the overall performance of the Council against the One Coventry Plan.</p>		<p>network maintenance windows so that network, connectivity and firewall devices are patched and maintained.</p> <p>Patching and maintenance of laptops has been changed to a 14-day cycle in line with the recommendation of the National Cyber Security Centre.</p> <p>The One Coventry Council Plan is supporting new ways of working. Part of this plan is driving forward capability by focussing on working with residents, Members, and the workforce to optimise the benefits, effectiveness and efficiencies that digital provides.</p>		
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Service Area: Human Resources

No	Risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
5	<p>A workforce that delivers the Council's priorities</p> <p>If the council does not deliver its Human Resources strategies, key workforce and organisational development objectives will not be met, and the Council will not have an agile, flexible and responsive workforce, resulting in the Council being unable to deliver its One Coventry priorities</p>	<p>The Council will be less able to achieve the successful implementation of the One Coventry priorities.</p> <p>The Council will be less able to deliver positive differences to the lives of the people of Coventry by improving quality of access to services</p> <p>Employment opportunities to people of different backgrounds will not be fair and the workforce will not be representative of the city that it serves.</p> <p>Harassment and discrimination will not be challenged and there will not be a culture of respect for differences</p>	<p>Likelihood Score</p> <p>4</p> <p>Impact Score</p> <p>3</p> <p>Total Score</p> <p>12</p>	<p>One Coventry values are embedded into the Council's recruitment and appraisal processes, and they will also form the cornerstone of the Council's recognition scheme.</p> <p>The People Plan is being delivered which focuses on organisational development, pay, reward and recognition, health, safety and well-being, workforce planning, information management and support and sustainability.</p> <p>Continued dialogue with Trades Unions on HR policies and pay and reward.</p> <p>The workforce Equality, Diversity and Inclusion action plan is being implemented including events and activities.</p> <p>The Employee Engagement Plan is being delivered to ensure that the Council's vision of One Coventry is achieved through the actions and</p>	<p>Likelihood Score</p> <p>2</p> <p>Impact Score</p> <p>2</p> <p>Total Score</p> <p>4</p>	<p>Director of Human Resources</p>

		<p>To fail to effectively manage well-being, health management and safety at work.</p> <p>Not to be legally compliant in relation to health and safety, payroll, and employment processes such as right to work would place the organisation at reputational and financial risk.</p> <p>Failure to produce relevant learning and development opportunities and/or qualifications which enable professional / personal development and improve service delivery.</p>		<p>behaviours of the workforce. This will make the Council an employer of choice and reflective of the community.</p> <p>A supportive learning culture is being established. This will develop greater staff engagement, continue to build on the apprenticeship offer and build better links with schools.</p> <p>The Council will retain and develop talented staff with effective succession planning including development of an agile, flexible, and responsive workforce to meet service needs.</p> <p>The leadership and management capability of the workforce will be strengthened so that the Council is in a better position to deliver its priorities. A range of new programmes will be launched in 2022.</p>		
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Service Area: Adult Social Care

No	Risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
6	<p>A failure in Adult Social Care safeguarding</p> <p>If the Council and its partners fail to discharge their safeguarding responsibilities then the most vulnerable citizens will not be protected and may suffer from abuse, harm, and reduced wellbeing.</p> <p>This risk has increased during the pandemic because there has been less opportunity for vulnerable people to make a disclosure.</p>	<p>A vulnerable adult (adult at risk) may experience abuse or neglect leading to significant harm or death.</p> <p>The most vulnerable citizens may not receive the services they require for their wellbeing.</p> <p>Waiting lists will increase as demand increases and cases become more complex.</p> <p>Action from regulators against responsible providers resulting in potential for provider closure.</p> <p>The reputation of the Council and its statutory partners is reduced because they have failed to safeguard or protect.</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>15</p>	<p>Financial pressures generated from increasing costs and activity, including those caused by the response to COVID 19 are being managed using additional Council budget resources alongside significant additional grant from Government and the Clinical Commissioning Group.</p> <p>The Coventry Adult Safeguarding Board has a workforce strategy, training plan and quality assurance scheme for training.</p> <p>Mandatory Council staff safeguarding training.</p> <p>Training for practitioners and managers.</p> <p>Regular monitoring of safeguarding activity and data to identify trends and any improvement areas.</p> <p>Audits of safeguarding activity to ensure thresholds are being appropriately applied.</p>	<p>Likelihood Score</p> <p>2</p> <p>Impact Score</p> <p>3</p> <p>Total Score</p> <p>6</p>	<p>Director of Adult Services and Housing</p>

				<p>The Council applies a consistent approach to risk management and prioritisation across the service.</p> <p>Adult Safeguarding Boards conferences and regular learning events.</p> <p>Quality/Contract monitoring and supporting providers of care.</p> <p>Manage response times, waiting lists and reviews.</p> <p>Support offered to existing staff to ensure that the workforce is resilient is ongoing.</p>		
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Service Area: Childrens Services

No	Risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
7	<p>Childrens Services statutory safeguarding responsibilities</p> <p>If the Council and its partners fail to discharge their statutory safeguarding responsibilities, including the management and oversight of caseloads, then a child or young person may experience abuse or neglect leading to significant harm or death.</p>	<p>Risk of children and young people suffering significant harm or death.</p> <p>Children will suffer worse physical and emotional health leaving them less able to lead happy and fulfilling lives.</p> <p>Potential for complaints and litigation.</p> <p>Children will not reach their potential and be less able to be independent in adult life.</p> <p>The reputation of the Council and its statutory partners is reduced because they have failed to safeguard or protect.</p>	<p>Likelihood Score</p> <p>5</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>25</p>	<p>Implement learning and action plans from Safeguarding Practice Reviews. For every review undertaken and each subgroup, the Boards have a work plan to include assurance of the recommendations as they are completed.</p> <p>Re-invigoration of quality assurance framework around social work cases in all teams within Children’s Services.</p> <p>Ensure Early-help services are effective and the provision of an improved response to need.</p> <p>Deliver an improving Children’s Services so that there is identification and early assessment of those children who need immediate protection. Identification of risks and actions taken to protect them are appropriate and effective. Assessment and planning are strengthened using a risk-management model to support child-focused practice.</p> <p>Develop an overarching Children’s Services Strategic Plan.</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>12</p>	Director of Children’s Services

				<p>The Ofsted assurance visit identified three areas of improvement. The Action Plan is closely monitored by the senior Leadership Team.</p> <p>Awareness raising for all Council employees of signs and indicators of risk to children, young people.</p> <p>To ensure that the impact of any proposed changes in service delivery specifically consider the risk in relation to safeguarding.</p> <p>Ensuring an effective system is in place to report on children who are missing, provide statutory missing from home interviews and other interventions to reduce further missing incidents.</p> <p>Effective plans are in place to manage caseloads. Additional temporary funding was agreed to fund additional social worker posts that have been impacted by increases in CIN, CP, LAC to manage current demand. In addition, a project team has been recruited to manage the increased demand in the service.</p>		
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Service Area: Housing and homelessness

No	Risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
19	<p>An increase in families in temporary accommodation and street homelessness</p> <p>There is a risk that there will be an increase in homelessness affecting families and single people across all groups, with an increase in the number of people living in temporary accommodation and rough sleepers, as the backlog of cases in the courts caused by the end of the eviction moratorium are worked through and as people struggle to meet housing costs due to the cost of living crisis.</p>	<p>Increased numbers of families in temporary accommodation and an increase in street homelessness will have a detrimental impact on the well-being of citizens.</p> <p>Levels of deprivation and inequality in the city will increase.</p> <p>The Council may fail in its housing duties.</p> <p>Businesses may struggle to grow if employees can't find the right housing.</p> <p>The reputation of the city as a great place to live and work will suffer.</p> <p>An increased financial burden on the Council.</p>	<p>Likelihood Score</p> <p>5</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>20</p>	<p>Additional funding has been provided by the Ministry of Housing, Communities and Local Government.</p> <p>Additional accommodation has been identified if numbers of street homeless increase.</p> <p>Maximising the internal and external support of partners to help people to remain in accommodation.</p> <p>The Rough Sleeping Strategy has been reviewed and The Department of Levelling Up Housing & Communities have announced the process to secure Rough Sleeping Initiative funding for 2022-25.</p> <p>The Change into Action (CIA) has been launched as an alternative giving scheme.</p> <p>All Data and reporting across the service has been improved and is now being used to drive improvements.</p> <p>The use of B&Bs has been eliminated. The Council continues the purchase of</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>12</p>	<p>Director of Adult Services and Housing</p> <p>Head of Housing & Homelessness</p>

				<p>HMOs and ensure 90% occupancy and effective management.</p> <p>The council works with Registered providers & other organisations and landlords in the city in order to ensure that there are appropriate levels of accommodation built in the city to meet the needs of residents.</p> <p>The Let's Rent Coventry scheme, will incentivise private landlords to make properties available for homeless households.</p> <p>Work with partners to provide high quality affordable housing.</p> <p>Working with registered partners to deliver more social housing including community led housing projects.</p>		
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Service Area: Business, Investment and Culture

No	Risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
21	<p>Business growth and investment</p> <p>If the Council does not support business to innovate and grow and is unsuccessful in securing inward investment, the city's economic prosperity will continue to lag behind comparable areas as it competes, against the background of COVID-19 and the new relationship with the EU. Businesses may contract or close leading to increased unemployment, deprivation, health inequalities and reduced wellbeing for citizens.</p> <p>Business continues to face challenges from weaker than expected international trade performance, the knock-on effects of "Plan B"</p>	<p>The city will not have a sustainable, growing, and prosperous economy. It will not be modern and vibrant and fewer people will choose to visit. There is evidence that the West Midlands economy will be the slowest region to recover and it is not expected to return to pre pandemic levels before the end of 2022.</p> <p>New businesses will not be attracted to the city including those at the cutting edge of technology.</p> <p>Downsizing or closure of businesses as UK Government COVID-19 support measures have been reduced and loans must be repaid. Businesses must now also navigate new customs</p>	<p>Likelihood Score</p> <p>4</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>16</p>	<p>The Council is investing in the city. Spending includes major schemes such as the investment in the A46 Link Road, Coventry Station Masterplan, Whitley South infrastructure, City Centre South, 2 Friargate, secondary schools expansion, completion and roll-out of the UK Battery Industrialisation Centre</p> <p>Outline planning permission has now been granted for a Gigafactory at Coventry Airport which has the potential to raise £2bn of investment.</p> <p>Collaboration with local business support partners (fronted by CWLEP Growth Hub) to develop an evidence base and lobby UK Government on local business needs.</p> <p>Business Support Services and Programmes (CW Business Support, Green Business, Innovation and Skills 4 Growth. All delivered with local business support partners).</p> <p>Grants and loans including the Additional Restrictions Grant fund, which needs to be spent by March, and was expanded as part of "Plan B".</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>3</p> <p>Total Score</p> <p>9</p>	Director of Business, Investment & Culture

	<p>measures and rising energy costs.</p>	<p>regulations which came into force in January 2022.</p> <p>Redundancies could result in increases in unemployment (including among younger employees and those aged over 60), which puts pressure on welfare systems.</p> <p>Levels of poverty and deprivation stay the same or get worse and inequality will increase.</p> <p>A decrease in citizens health and well-being.</p> <p>An increase in demand for Council services combined with a reduction in resources available to it, through a decrease in business rates and the tax base.</p>		<p>The Community Renewal Fund Pilot will provide further support to sectors that were most adversely impacted through forced temporary closures during 2020 and 2021.</p> <p>Referral of businesses to specialist support around EU exit, including DIT's Export Academy and clinics hosted by DIT and CWLEP Growth Hub, plus wider financial support and workshops/ 1:1 support on wider international trade. These were announced in the Export Strategy published in November 2021.</p> <p>Inward Investment Service.</p> <p>Supply chains and networks.</p> <p>Coventry City Council Employer Hub.</p> <p>Support for major events in the city that will bring benefits to business including UK City of Culture, the Commonwealth Games and the Rugby League World Cup.</p>		
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Service Area: Children's Services

No	Risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
22	<p>Childrens Services workforce stability</p> <p>If Children's Services fails to develop its workforce to reflect the way it needs to operate, this might result in social worker staff leaving the Council with the result that the service provided to children and young people and their families will deteriorate</p>	<p>A deterioration in service to children, young people, and their families</p> <p>Harm to children and young people may be missed</p> <p>Less continuity of social worker on cases</p> <p>A need to recruit expensive agency social workers</p> <p>A higher proportion of less experienced newly qualified social workers who require greater supervision</p>	<p>Likelihood Score</p> <p>5</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>25</p>	<p>Resource planning for workforce needs now and in the future.</p> <p>Supporting the workforce by refreshing the Council's employee engagement and ensuring employment practices are fit for purpose.</p> <p>Ensuring the workforce has the tools to work smart and efficiently.</p> <p>Have in place an effective leadership & management development programme and a pay and reward framework that is fit for purpose.</p> <p>Recruitment and retention strategies are in place to retain experienced social workers through an assessment model. A range of social media platforms, recruitment campaigns, and other innovative approaches are deployed.</p>	<p>Likelihood Score</p> <p>4</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>16</p>	<p>Director of Children's Services</p>

				<p>The number of newly qualified social workers going into the Social Work Academy has been increased to help manage the number of vacancies. This will help to stabilise the workforce, reduce the number of vacancies and the reliance on agency staff.</p> <p>Recruitment of Family Valued Programme posts in place to deliver the programme</p> <p>As a result of the positive strategies the number of social worker vacancies is beginning to reduce, which will have a positive impact and see reliance on agency staff reduce further.</p>		
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Service Area: Climate Change and Sustainability

No	Risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
24	<p>Tackling the causes and consequences of climate change and promoting sustainability</p> <p>If the Council does not have a relentless focus on sustainability issues and tackling the causes of climate change and mitigating its consequences, then the citizens of Coventry and the environment will suffer harmful impacts. These will have a detrimental effect on their health and wellbeing as well as biodiversity.</p>	<p>Carbon emissions will not reduce.</p> <p>Adverse effect on biodiversity.</p> <p>Reduced health and wellbeing for the population and greater health inequalities e.g. worse air quality impacting respiratory health and heat stress related health incidents.</p> <p>Fuel and food poverty.</p> <p>Increased costs to business, both for fuel and waste management. This would have detrimental impact on local economy.</p> <p>An increase in floods and flood damage</p>	<p>Likelihood Score</p> <p>5</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>25</p>	<p>The establishment of an independent Coventry Climate Change Board to address the challenge of climate change.</p> <p>Gather and measure information to produce annual status city reports with performance indicators to measure progress.</p> <p>The adoption of the International Council for Local Environmental Initiatives 5 Development Pathways which support the 17 United Nations goals.</p> <p>Investing in technologies to make the city a global market leader in clean and green transport.</p> <p>Increased use of zero carbon transport, active travel, and public transport. Improvements in energy efficiency and use of zero carbon technologies</p> <p>Reducing waste by supporting businesses schools, communities, and the development of a circular economy.</p> <p>Measures to improve air quality such as promoting modal shift and active travel.</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>12</p>	Director of Business Investment and Culture

				<p>Sustainable urban drainage and Green and Blue initiatives.</p> <p>Protecting and developing existing and new biodiversity.</p> <p>Promoting behaviour change within the population and businesses e.g. Arts and Culture.</p>		
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Service Area: Education and skills

No	Risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
25	<p>Education and the link to inequalities</p> <p>If the Council does not facilitate and enable children to take up their education entitlement, then there is a risk that their educational achievement may suffer resulting in young people who are less able to access positive destinations as they move to adulthood and lead fulfilling and healthy lives, leading to increasing inequalities.</p>	<p>Quality education is key in reducing inequalities and gaps in achievement between pupils from vulnerable groups and other pupils.</p> <p>An increase in the number of young people not in education, employment, and training.</p> <p>Greater deprivation as young people are unable to sustain a livelihood in the future.</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>12</p>	<p>Co-ordination of Coventry Partnership model including school improvement model.</p> <p>Management of supply and demand of school places across Coventry to fulfil the local authority's statutory duty in providing sufficient school places.</p> <p>Management of education capital investment in school buildings. This may include changing the capacity of schools and opening new schools to meet the changing needs of communities across the city</p> <p>Identify gaps in learning for all pupils and supporting children whose education has been most affected by disruption due to the pandemic.</p> <p>Increasing support for special educational needs and disability in</p>	<p>Likelihood Score</p> <p>2</p> <p>Impact Score</p> <p>3</p> <p>Total Score</p> <p>6</p>	<p>Chief Partnerships Officer/Director of Education and Skills</p>

				<p>the city and deliver bespoke responses to schools and children.</p> <p>Life-pathway approach including working to continue to minimise the number of young people Not in Education, Employment or Training.</p>		
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Service Area: Education and skills

No	Risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
26	<p>Increases in demand for specialist school placements for children with an EHC Plan</p> <p>If there are persistent year on year increases in demand for specialist school placements for children with an EHC Plan then supply both locally and nationally will be exhausted causing the potential for children to be displaced from an appropriate school placement within the City.</p> <p>Alternative out of city placements where available represent a significant unit cost increase in terms of fees and travel. The quality of external provision is lower than within City publicly funded schools and children achieve poorer outcomes.</p>	<p>Impact on the wellbeing and outcomes for children with special education needs in their childhood and on life chances into adulthood.</p> <p>Impact on the Council's budget, due to higher costs.</p>	<p>Likelihood Score</p> <p>4</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>16</p>	<p>Further specialist school placements will be commissioned locally, with a focus on delivering the planned expansion of Woodfield Special School on the Woodlands site.</p> <p>A range of early intervention and alternative support pathways will reduce the demand for special school placements by offering high quality mainstream alternatives.</p> <p>A school to school inclusion programme will develop practice and increase mainstream school's capacity to meet a broader range of complex needs, underpinned by a training programme and targeted financial resources delivered through the new banding framework.</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>3</p> <p>Total Score</p> <p>9</p>	<p>Chief Partnerships Officer/Director of Education and Skills</p>

Service Area: Public Health						
No	Risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
27	<p>Reducing health inequalities</p> <p>If the Council and its partners do not embrace the challenge of reducing health inequalities, then the more deprived and vulnerable citizens will continue to experience worse health outcomes leading to decreased quality of life, healthy life expectancy and life expectancy.</p>	<p>Citizens will not lead happy, independent, economically active, productive, and fulfilled lives.</p> <p>Life expectancy rates that are below the English average.</p> <p>A failure to reduce the wide gap in life expectancy between the most affluent wards and the least well off.</p> <p>Residents from more deprived wards continue to have proportionately fewer years of healthy life</p> <p>Continuing violence and the fear of violence, including domestic abuse, sexual violence, drug, and alcohol dependence</p>	<p>Likelihood Score</p> <p>5</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>25</p>	<p>A financial strategy which seeks to apply the Council's resources systematically to reduce inequalities.</p> <p>Systematically commission, employ, train, and procure in a way which proactively seeks to reduce inequality. Good application of EIA and Scrutiny processes.</p> <p>Use a population health approach to identify and respond to need.</p> <p>A clear focus on the wider determinants of health</p> <ul style="list-style-type: none"> • An Economic Prosperity approach which seeks to integrate the reduction of inequalities • Improve the quality of jobs across the economy • Work to reduce inequality in the education system, especially in the early years • Support the vulnerable, including the homeless, those 	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>15</p>	Director of Public Health and Wellbeing

				<p>with mental illnesses, refugees, and migrants</p> <ul style="list-style-type: none">• Tackle violence• Helping those on low incomes to access housing, heating, and insulation. <p>Work with our partners within the Integrated Care System and voluntary and community groups to tackle health inequalities.</p> <p>Apply at scale and intensity relating to the social gradient the promotion of healthy lifestyles and behaviours, empowering people to stay healthy and well and prevent limiting long-term health conditions.</p> <p>A greater focus on prevention rather than responding to social care needs and treating illness.</p> <p>Having a collaborative approach with residents and communities and enabling and building capacity for leadership within identified communities.</p>		
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Service Area: Human Resources						
No	Risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
28	<p>A deterioration in industrial/employee relations affects the Council's ability to deliver vital services</p> <p>The Council is currently subject to a strike by HGV drivers which is affecting its refuse collection service. If there is a further, more widespread deterioration in employee relations this may lead to further disruption or cessation of operations resulting in the Council being unable to provide other services as planned.</p>	<p>Residents, including those who are vulnerable, do not receive the standard of service that they expect, and their quality of life is adversely impacted.</p> <p>The Council is in breach of its statutory duties.</p> <p>A longer lasting worsening in relations with Trade Unions and colleagues.</p> <p>The Council suffers reputational damage.</p> <p>Increased costs of alternative delivery mechanisms.</p>	<p>Likelihood Score</p> <p>5</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>25</p>	<p>Effective industrial action management to locally cope with the impact of the strike within the depot.</p> <p>Continued negotiation with the trades unions to find a solution to the dispute including the use of third parties such as ACAS.</p> <p>Engagement with the wider workforce to contain the issue to the disaffected work group.</p> <p>Management of the equal pay risk and wider implications on the other groups/terms and conditions.</p>	<p>Likelihood Score</p> <p>4</p> <p>Impact Score</p> <p>3</p> <p>Total Score</p> <p>12</p>	Director of Human Resources

COVID-19 Risk Register Version 6

Service area: Children’s Services

No	Risk Description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
1	<p>Stress in family environments</p> <p>The pandemic has disrupted the local and wider UK economy leading to difficulties in the jobs market, inflation, and a squeeze on disposable incomes. Financial distress within families may lead to an increase in the likelihood of domestic violence, child abuse, neglect, exploitation, and psychological distress, with a negative impact on development, as well as financial hardship and housing issues which impact on the basic care needs of children.</p>	<p>Risk of children suffering significant harm with reduced ability to respond and protect.</p> <p>Escalation in risk and harm leads to an increase in court applications to seek to protect those at highest risk.</p> <p>Risk of consequent criticism in the Court arena for any delays or inactivity.</p> <p>Hidden harm in the city means some children are at risk and not heard.</p> <p>The demand means that the level of support and intervention is not delivered to the standard required which creates further risk for the child, service, and Council.</p>	<p>Likelihood Score</p> <p>4</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>20</p>	<p>Key child protection partners to prioritise child protection activity.</p> <p>Managers to support oversight of higher risk cases to ensure risks are managed.</p> <p>MASH is prioritised and there are safeguarding messages to volunteer groups that are in the community, with key signposting.</p> <p>More oversight from children’s services and schools.</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>15</p>	<p>Director of Children’s Services</p>

		<p>Greater demand for services including the need for closer contact with vulnerable people at a time when resources are stretched.</p> <p>Potential for complaints and litigation.</p> <p>A loss of reputation to the Council.</p>				
2	<p>Less engagement leading to isolation</p> <p>As young people continue to be less engaged in community activities, or wider groups and services, there are concerns that they are becoming more isolated and that they are likely to spend more time online with the consequence that they can come into contact with potential abusers / exploiters.</p>	<p>Increased likelihood of child protection threats such as child sexual exploitation.</p> <p>Increased likelihood of child sexual abuse images being accessed putting more children at risk of harm and exploitation.</p> <p>Children have less safe space to go to and no safe adults to turn to, therefore abuse remains hidden, and secrets are maintained, though this has improved as schools have returned.</p>	<p>Likelihood Score</p> <p>4</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>16</p>	<p>Identify those children who are most at risk.</p> <p>Reiterate child protection messages to most vulnerable children.</p> <p>Get messages out that children’s services are available to support.</p> <p>Ensure children are seen and not just remotely. This happens other than if a member of their family has COVID-19 or is showing symptoms.</p> <p>Childrens Services to respond to referrals in a timely manner.</p> <p>Children are back in schools so there is more opportunity for disclosure.</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>12</p>	Director of Children’s Services

<p>3</p>	<p>A reduction in social work</p> <p>There is a risk that the reduction in social work by the Council and the activity of other agencies and the increase in complexity of cases caused by the Omicron wave will result in harm to vulnerable children.</p> <p>This may result in a further increase in referrals, more demand and more complex work, as situations have become known at the point of crisis, with immediate harm resulting in more immediate action, rather than early notification of harm where the crisis could have been prevented.</p>	<p>Children’s care needs are not being met and some children have suffered, are suffering and continue to suffer abuse.</p> <p>Children may suffer distress, exposure to abuse, with long term consequences for the child’s resilience, ability to learn, safety and health.</p> <p>Children will be more likely to be suffering Adverse Childhood Experiences which can have a long-term impact, including into adulthood.</p> <p>As hidden harm becomes more known the impact of this on demand, caseloads and work-related stress is high and this will impact on responding in a timely manner.</p> <p>Needs are greater in the medium and long term.</p>	<p>Likelihood Score</p> <p>5</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>25</p>	<p>Referrals will be managed in a timely manner and children safeguarded based on the level of risks suffered/posed to them.</p> <p>The level of referrals to MASH has remained high since the end of lockdown but has eased slightly.</p>	<p>Likelihood Score</p> <p>4</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>20</p>	<p>Director of Children’s Services</p>
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4	<p>PPE in Childrens Services</p> <p>If Children’s Services staff are not properly equipped with the correct PPE, families may reduce their level of cooperation with care and statutory social work professionals and refuse them entry to their home resulting in professionals being less able to support children including identifying factors which would concern them.</p> <p>If children or families have a COVID-19 diagnosis or symptoms, then staff require appropriate PPE to enter the house to take necessary safeguarding actions. Consequently, visits may need to be undertaken remotely, or on the doorstep adhering to social distancing.</p>	<p>Complaints and litigation.</p> <p>Social workers and other professionals are less able to have face to face contact with children. Visits are undertaken remotely or on the doorstep using social distancing. Only in the case of a section 47 and immediate risk to children would the Council visit someone who has tested positive.</p> <p>Social worker’s risk assessments are less well informed.</p> <p>An increased risk of harm coming to the child.</p> <p>Potential increase in the number of court applications seeking protective orders to remove children.</p> <p>Placement availability for these children is becoming more limited, resulting in the need to</p>	<p>Likelihood Score</p> <p>5</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>25</p>	<p>Identify which areas of statutory practice should be prioritised.</p> <p>PPE guidance in place and sourcing activity on going.</p> <p>Face coverings are now worn in public areas such as receptions and family hubs.</p>	<p>Likelihood Score</p> <p>1</p> <p>Impact Score</p> <p>2</p> <p>Total Score</p> <p>2</p>	<p>Director of Children’s Services</p>
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		use costly external placements.				
5	<p>System pressures</p> <p>There is a risk that there is an increase in staff absences due to the Omicron variant, which will result in a reduction of staffing, exasperated by a proportion of staff not being vaccinated which will have an impact on existing service demands and providing statutory services.</p>	<p>High staff absences including unvaccinated staff isolating.</p> <p>An increased risk of harm coming to the child.</p> <p>Increased pressure on remaining staff covering staff absences.</p> <p>Pressure on other service areas in the event staff are transferred to other services.</p>	<p>Likelihood Score</p> <p>5</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>25</p>	<p>Deep cleaning of offices undertaken in accordance with the risk assessment in place for all outbreaks of COVID-19.</p> <p>Continue to undertake LFT's twice weekly.</p> <p>Continue to wear face covering walking around offices/buildings/visits.</p> <p>Continue to encourage, use of hand sanitisers etc.</p> <p>A list of experienced social workers identified to support gaps in service.</p> <p>Prioritisation of critical staff to be given access to LFT's.</p> <p>To hold a briefing for staff on vaccination safety.</p>	<p>Likelihood Score</p> <p>4</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>20</p>	Director of Children's Services

Service Area: Education & Skills						
No	Risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
6	<p>If schools are not COVID-19 secure</p> <p>If schools are not COVID-19 secure for children and staff to attend, there will be an increased risk of the transmission of COVID-19 infection within the school community, resulting in disruption to children's education, ill health, hospitalisations, and death, including in the wider community as the virus spreads.</p>	<p>Disruption to children's education.</p> <p>Increased transmission risk of COVID-19 infection within the school and back into the wider community leading to COVID-19 health issues, hospitalisations, and deaths.</p>	<p>Likelihood Score</p> <p>4</p> <p>Impact Score</p> <p>2</p> <p>Total Score</p> <p>8</p>	<p>Strong partnership approach continues to be embedded. Risk assessments reviewed and amended reinforcing ongoing hand and respiratory hygiene measures and good ventilation.</p> <p>LFDs at the start of term for secondary age children and continued promotion of ongoing LFDs of all children, their families and school community.</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>2</p> <p>Total Score</p> <p>6</p>	<p>Chief Partnership Officer / Director of Education & Skills</p>
7	<p>Parents lack confidence</p> <p>If parents lack confidence in school COVID-19 arrangements, they may not send their children to school and not effectively educate their children at home resulting in a detrimental impact on their child's education and well-being.</p>	<p>Impacts on the development of children including academic achievement, education progression and emotional and mental health well-being.</p>	<p>Likelihood Score</p> <p>2</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>8</p>	<p>Attendance is statutory. Guidance continues to be made available to parents providing assurance regarding school COVID-19 arrangements and emphasising the national statutory attendance position.</p>	<p>Likelihood Score</p> <p>1</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>4</p>	<p>Chief Partnership Officer / Director of Education & Skills</p>

8	<p>Children self-isolating</p> <p>There is a risk that the face-to-face education of children will be disrupted by them not being in school due to self-isolation and not being able to benefit sufficiently in remote learning due to variances in the school offer, digital poverty, and the support they can receive in the day at home.</p>	<p>Impacts on the development of children including academic achievement, education progression and emotional and mental health well-being.</p> <p>Disadvantaged groups are likely to be disproportionately affected and the educational achievement gap will widen, potentially reducing opportunities in adulthood including Further Education, Higher Education, and employment.</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>3</p> <p>Total Score</p> <p>9</p>	<p>Self-isolation is no longer required for contacts of positive cases (double-vaccinated nor those under 18 years and 6 months and self-isolation time-period was reduced to 5 days (subject to 2 negative LFTs and no symptoms) from 17/1/22</p> <p>Only children who test positive for COVID-19 will need to self-isolate, minimising the risk of disruption.</p> <p>Outbreak plans are in place which will ensure proportional responses that minimise disruption to education and break the transmission chain.</p>	<p>Likelihood Score</p> <p>2</p> <p>Impact Score</p> <p>2</p> <p>Total Score</p> <p>4</p>	<p>Chief Partnership Officer / Director of Education & Skills</p>
9	<p>Staff self-isolating</p> <p>If school staff must self-isolate, there is a risk that schools may not be able to stay fully open or open at all, resulting in disruption to children's education and their emotional well-being and also family life in the community.</p>	<p>Impacts on the development of children including academic achievement, education progression and emotional and mental health well-being.</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p>	<p>School staffing capacity is a challenge compounded by other non-COVID-19 winter illnesses.</p> <p>Other resource options (including supply staff, government initiative to bring back retired/former teachers, or other government suggestions).</p> <p>A reduction in the self-isolation time-period to 5 days (subject to 2 negative LFTs and no symptoms) from 17/1/22 may provide some mitigation.</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p>	<p>Chief Partnership Officer / Director of Education & Skills</p>

			15	Lessons can go on-line, providing some benefit, but it is recognised that this is not as effective as face-to-face teaching.	12	
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Service Area: Adult Services						
No	Specific risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
10	<p>Safeguarding</p> <p>If the Council and its partners fail to discharge their safeguarding responsibilities then the most vulnerable citizens will not be protected and may suffer from abuse, harm, and reduced wellbeing.</p> <p>This risk has increased during the pandemic because more vulnerable people have either been advised to stay at home or chosen to spend more time at home as a personal response to rising levels of infections. The more isolated people are, whether through necessity or choice, the more the risk of lack of identification of safeguarding issues increases.</p>	<p>A vulnerable adult may experience abuse or neglect leading to significant harm or death.</p> <p>Action from regulators against responsible providers resulting in potential for provider closure.</p> <p>The reputation of the Council and its statutory partners is reduced because they have failed to safeguard or protect.</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>15</p>	<p>The Coventry Adult Safeguarding Board has a workforce strategy, training plan and quality assurance scheme for training.</p> <p>Mandatory Council staff Safeguarding.</p> <p>Training for practitioners and managers.</p> <p>Regular monitoring of safeguarding activity and data to identify trends and any improvement areas.</p> <p>Audits of safeguarding activity to ensure thresholds are being appropriately applied.</p> <p>Adult Safeguarding Boards conferences and regular learning events.</p>	<p>Likelihood Score</p> <p>2</p> <p>Impact Score</p> <p>3</p> <p>Total Score</p> <p>6</p>	Director of Adult Services and Housing
11	<p>Infection, prevention, and control</p>	Illness and death of care home residents and other	<p>Likelihood Score</p>	Infection control training which is supported by care home nurses,	<p>Likelihood Score</p>	Director of Adult Services

	<p>If the Council does not support work to reduce the risk of COVID-19 in care homes and in other care settings, there may be an avoidable increase in illness and deaths of vulnerable people and staff.</p> <p>There is also a service continuity risk if significant levels of capacity are temporarily closed to new admissions due to ongoing outbreaks, or if services cannot deliver as required due to staffing absences as a result of self-isolation/illness.</p>	<p>vulnerable people and staff.</p> <p>Distress caused to families and staff.</p> <p>Greater pressure placed on the NHS.</p> <p>Care homes and other care settings become less financially sustainable.</p> <p>Compromises in the standards of care as services endeavour to keep things running with depleted staff.</p>	<p>3</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>15</p>	<p>commissioning staff and public health advisors.</p> <p>PPE is provided.</p> <p>Promotion of testing and support, whilst recognising that testing is not within the control of the Council.</p> <p>Where cases are identified contact is made and IMTs take place as needed.</p> <p>Outbreak reporting is undertaken regularly to monitor the effectiveness of management.</p> <p>Care home visiting guidance produced by the Council and endorsed through Health Protection Panel.</p>	<p>2</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>10</p>	<p>and Housing</p>
12	<p>Application of mandatory COVID-19 vaccinations (health and care settings other than care homes)</p> <p>If high numbers of staff in Health and social care settings or professionals who are required to visit people in their own homes / accommodation-based services, are not vaccinated</p>	<p>Internally/externally provided social care services may not be able to operate due to staff shortages.</p> <p>Inability to assess care needs and care planning across operational areas, including Safeguarding and AMHP activity.</p>	<p>Likelihood Score</p> <p>5</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p>	<p>ASCMT will keep itself apprised of the legal situation.</p> <p>Up to date information on the level of take up of vaccinations and identification of those staff who are not vaccinated will be compiled along with a list of the job roles affected to enable targeted messaging.</p> <p>Social care provider managers and staff and any visiting professionals to be fully</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p>	<p>Director of Adult Services and Housing</p>

	<p>they will not be able to fulfil their contracts of employment.</p> <p>These staff may then be served their contractual notice and dismissed due to “Some other Substantial Reason” under employment legislation.</p>	<p>Services that support homes may be unable to provide essential services and this could lead to unsafe care/provider failure</p>	<p>20</p>	<p>briefed on the implications of any ruling on mandatory vaccinations.</p> <p>Myth busting information sessions, communications materials and short, simple, and clear messaging will be issued to ensure staff understand the implication of not being vaccinated and to encourage further take up of the vaccinations.</p> <p>A project team has been created and managers are working closely with HR to understand the employment legislation and possible impact for employees.</p> <p>Engagement with CQC to understand the regulatory approach to be taken to enforcement</p> <p>Engage with health partners to ensure they are compliant.</p> <p>Develop a position on unregulated services although when the health and care bill becomes an Act social care will become CQC regulated so all front line staff will be required to be vaccinated (unless the health and care act provides an exception).</p>	<p>12</p>	
13	<p>Workforce resilience</p> <p>The COVID-19 pandemic has made the staffing position</p>	<p>Greater workloads fall on staff that are in post.</p>	<p>Likelihood Score</p> <p>3</p>	<p>Line managers are ensuring regular contact with staff (either face to face or remotely).</p>	<p>Likelihood Score</p> <p>2</p>	<p>Director of Adult Services and</p>

	<p>more challenging because of the increased stresses attached to job roles at a time when there were already challenges in recruitment across both regulated and unregulated roles.</p> <p>If the Council does not maintain adequate levels of staffing, then it may not be able to meet demand for services resulting in an increase in the likelihood of harm coming to vulnerable adults.</p>	<p>Staff absences and illness increase.</p> <p>Demand for services may not be met.</p> <p>Vulnerable people's needs escalate and become worse.</p> <p>The Council suffers a loss of reputation due to a deterioration in the services it provides.</p>	<p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>15</p>	<p>This includes conversations about health and wellbeing.</p> <p>Signposting or referral to in house Occupational Therapy and Counselling and Support services.</p> <p>Workshops for staff and managers to reflect on the impact of working from home.</p> <p>Electronic newsletters with links to online health and wellbeing resources.</p> <p>Risk assessments are used to assess risks in the workplace, and these have been inclusive in terms of gender, race and health conditions.</p> <p>Regular discussion item of team agendas including ASC Let's Talk sessions.</p> <p>Work underway to ensure recruitment requirements across the internal ASC workforce are supported corporately through recruitment services.</p> <p>Overrecruit to key posts i.e. social workers and CCWs so that good candidates are secured even if this means being over establishment for a period of time.</p>	<p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>8</p>	<p>Housing</p>
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Service Area: Finance						
No	Specific risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
14	<p>Inability to deliver a balanced budget this year</p> <p>Due to severe financial challenges, there is a risk that the Council will be unable to deliver a balanced budget at the end of the current financial year and will have to issue a Section 114 notice.</p>	<p>Intervention from UK Government who would take financial decisions.</p> <p>A loss of local control over what services can be supported.</p> <p>Funds could only be spent under statute to safeguard vulnerable residents or to meet existing contractual obligations.</p> <p>The Council suffers reputational damage.</p>	<p>Likelihood Score</p> <p>2</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>10</p>	<p>A robust budgetary control timeline is being adhered to, driven by formal reporting deadlines and specific detailed budgetary control analysis and action where required.</p> <p>Quarter 2 position indicates a manageable budgetary control situation.</p> <p>Close and detailed tracking of COVID-19 related cost and income pressures to inform monthly returns to government to highlight the extent of the pressures.</p> <p>Local cost control measures to be stepped up.</p> <p>Identification of potential flexibility in one-off sources of funding including reserves to manage the position in the short term.</p>	<p>Likelihood Score</p> <p>1</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>5</p>	Chief Operating Officer (Section 151 Officer)
15	<p>Inability to deliver a balanced budget in the medium term</p> <p>In the medium term, there is a risk that the Council will not be able to balance its budget because of increased pressure on all sources of funding, including from UK</p>	<p>Increased volatility of funding.</p> <p>Late announcements about funding make it difficult to plan, consult and report within required timeframes.</p>	<p>Likelihood Score</p> <p>4</p> <p>Impact Score</p> <p>5</p>	<p>Identify flexibility in existing budgets and undertake technical analysis to identify alternative options to alleviate budgetary pressure.</p> <p>Identify service-based savings options and support the work to produce a medium-term programme of transformation to ensure future sustainability.</p>	<p>Likelihood Score</p> <p>2</p> <p>Impact Score</p> <p>5</p>	Chief Operating Officer (Section 151 Officer)

	<p>Government, locally raised taxes and business rates as well as commercial income, at the same time as demand for services is increasing, resulting in difficult decisions having to be made about which services to support.</p>	<p>Difficult decisions must be taken by senior officers and Members.</p> <p>Having to make decisions quickly and in the short term, makes it more difficult for the Council to obtain value for money.</p>	<p>Total Score</p> <p>20</p>	<p>Lobby UK Government through SOLACE and the Treasurers Society</p> <p>Assist in the economic recovery of the local economy to try to safeguard local income flows.</p> <p>Pre-Budget Report shows a manageable 2022/23 position but there are gaps in future years.</p> <p>Provisional Local Government Settlement includes one-off funding to help balance 2022/23 but the medium-term position remains subject to future review.</p>	<p>Total Score</p> <p>10</p>	
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Service Area: Human Resources						
No	Specific risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
16	<p>Increased absence if staff are required to work outside of the home</p> <p>As staff are required to return to work outside of the home the COVID-19 pandemic may cause increased levels of stress, anxiety and psychological distress as staff experience physical proximity to other colleagues and members of the public, particularly on public transport. This may result in higher absence rates and impact on the Council's ability to deliver services.</p>	<p>Staff absence rates increase.</p> <p>Service levels are reduced to vulnerable people.</p>	<p>Likelihood Score</p> <p>2</p> <p>Impact Score</p> <p>3</p> <p>Total Score</p> <p>6</p>	<p>The Council provides mental health support to staff through a variety of means, including an Employee Assistance Programme which operates 24/7 and provides a range of information and practical support. Confidential counselling and an extensive range of CBT workbooks.</p> <p>A staff well-being handbook is available.</p> <p>Bespoke support to direct and indirect social care staff.</p> <p>Risk assessments are in place across the Council which are regularly reviewed as well as a Vulnerable Employee Risk Assessment which are also regularly reviewed to maintain and improve health and safety support. This meets legal responsibilities and government advice and reassures employees.</p> <p>Physical health support is also in place through Kaido and workbooks.</p> <p>Specific communication campaigns take place on a regular basis</p>	<p>Likelihood Score</p> <p>1</p> <p>Impact Score</p> <p>3</p> <p>Total Score</p> <p>3</p>	Director of Human Resources

				There is a health and well-being plan for the year and an investment in a dedicated HWB lead for a year to support staff and increase uptake.		
17	<p>Impact on staff due to increased service demands</p> <p>Levels of service demand caused by COVID-19 may continue to be high in the medium term resulting in staff having to work longer which could result in possible breaches of legislation and distress and fatigue. The risk may be exacerbated because more staff may be absent due to seasonal flu.</p>	<p>Possible breaches of Health & Safety and Working Time Regulations if normal practice is not followed.</p> <p>A detrimental impact on staff well-being.</p>	<p>Likelihood Score</p> <p>4</p> <p>Impact Score</p> <p>3</p> <p>Total Score</p> <p>12</p>	<p>Agency/casual staff can be brought in. This will supplement and support the workforce.</p> <p>Reduce non-essential work.</p> <p>Monitoring employees' level of work, introduction of a Flexible Working Framework to support employees working in a different way due to the pandemic.</p> <p>Bespoke support to direct and indirect social care staff.</p> <p>Review risk assessments regularly.</p> <p>Health and well-being surveys undertaken, and actions taken to respond to any concerns.</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>3</p> <p>Total Score</p> <p>9</p>	Director of Human Resources
19	<p>Demand for PPE</p> <p>As employees are encouraged to return to work outside of the home there will be an increase in demand for PPE. If demand increases, there is a possibility that the UK wide position may deteriorate impacting the city. In</p>	<p>Employees refuse to work outside of the home.</p> <p>Workforce reduced resulting in a reduced quality of service.</p> <p>Possible HSE investigations and</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>4</p>	<p>Compliance with UK Government guidelines on the use of PPE.</p> <p>PPE is checked by the Council's Trading Standards Department to ensure it meets quality standards.</p> <p>Risk assessments are shared and reviewed.</p> <p>Increase PPE supply and tracking of usage.</p>	<p>Likelihood Score</p> <p>1</p> <p>Impact Score</p> <p>2</p>	Service Directors

	<p>addition, there is the risk that PPE supplied does not meet the required standards, in which case it cannot be used by staff resulting in a reduction in workforce available.</p>	<p>Employers' Liability claims.</p> <p>Reputational damage to the Council.</p>	<p>Total Score</p> <p>12</p>	<p>Prioritise PPE to the highest risk areas while still maintaining national guidance.</p> <p>The management of physical space and social distancing.</p> <p>Phased returns.</p> <p>A targeted communications campaign to remind employees of the need to social distance, wash hands etc.</p>	<p>Total Score</p> <p>2</p>	
20	<p>A longer-term rebalancing of where staff work</p> <p>In the longer term it is likely that there will be a rebalancing between working at a Council property and working from home. There is a risk that if the Council does not manage issues correctly around flexibility and DSE, then there will be an increase in staff absence resulting in a deterioration in service provision.</p>	<p>Deterioration in the quality of service provision.</p> <p>Musculoskeletal injury to staff.</p> <p>Breaches of Health and Safety legislation.</p> <p>Potential Employers' Liability Claims.</p>	<p>Likelihood Score</p> <p>2</p> <p>Impact Score</p> <p>3</p> <p>Total Score</p> <p>6</p>	<p>Resources are available for employees to assist them to work safely through the Flexible Working Framework including access to equipment.</p> <p>Occupational Health/Human Resources advice hotline.</p> <p>Risk assessments to be undertaken by employees of homeworking arrangements and shared with managers.</p> <p>Information on DSE and working safely from home is available on the intranet.</p> <p>Health and well-being support such as 'healthy eyes' provided on a regular basis.</p>	<p>Likelihood Score</p> <p>2</p> <p>Impact Score</p> <p>2</p> <p>Total Score</p> <p>4</p>	Director of Human Resources
21	<p>A member of staff contracts COVID-19 and dies</p>	<p>Reporting under RIDDOR is required.</p>	<p>Likelihood Score</p>	<p>Clear advice in line with government guidance and the use of appropriate PPE is in place.</p>	<p>Likelihood Score</p>	Service Directors

	<p>There is a risk that a member of staff could contract COVID-19 and die or suffer a life changing deterioration in their health. The risk is higher based on certain characteristics such as age, gender, and ethnicity.</p>	<p>Increased litigation.</p> <p>Some staff in Adult Social Care cannot work in their job role without double vaccination from November 2021.</p>	<p>3</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>15</p>	<p>The Vulnerable Employee Risk Assessments have been completed. They include consideration of employee characteristics and the mitigation measures required.</p> <p>Staff suffering a change in their long-term health will be managed through the Council's human resources processes.</p> <p>Processes have been agreed for ASC workers to ensure vaccination.</p> <p>Vaccine Policy agreed and introduced. This issue is subject to further review by the Council.</p>	<p>2</p> <p>Impact Score</p> <p>3</p> <p>Total Score</p> <p>6</p>	
22	<p>The impact of the death of a staff member on colleagues</p> <p>There is a risk that the death of a member of staff will impact the mental health and well-being of colleagues and have a detrimental effect on the Council's ability to deliver services.</p>	<p>Increased sickness absence and poor morale and productivity result in a negative impact on service delivery.</p>	<p>Likelihood Score</p> <p>2</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>8</p>	<p>The Occupational Health and the Employee Assistance Programme provide a range of counselling including bereavement support.</p> <p>The organisation acknowledging and recognising the issue and valuing the contribution made by employees.</p> <p>Mental Health First Aid Training being provided to all managers then cascaded wider.</p>	<p>Likelihood Score</p> <p>1</p> <p>Impact Score</p> <p>3</p> <p>Total Score</p> <p>3</p>	Service Directors
23	<p>The impact of staff shortages on the delivery of services</p>	<p>The Council's ability to deliver statutory services to citizens is reduced.</p>	<p>Likelihood Score</p> <p>4</p>	<p>Staff are encouraged to be double vaccinated and have their booster.</p>	<p>Likelihood Score</p> <p>3</p>	Director of Human Resources

	<p>There is a risk that increased numbers of infections from the Omicron variant will result in staff being away from work because they are either ill or self-isolating, resulting in it becoming more difficult to deliver statutory services.</p>	<p>Vulnerable people do not receive the help they require resulting in them suffering harm.</p> <p>Increased litigation, claims and complaints whilst the reputation of the Council is reduced.</p>	<p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>16</p>	<p>Where possible agency and temporary staff are brought in.</p>	<p>Impact Score</p> <p>3</p> <p>Total Score</p> <p>9</p>	
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Service Area: Housing and homelessness						
No	Specific risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
24	<p>An increase in families in temporary accommodation and street homelessness</p> <p>When the furlough scheme comes to an end and the backlog of cases in the courts caused by the end of the eviction moratorium are worked through; there is both a risk of an increase in unemployment and an increase in the number of families in temporary accommodation, which may also lead to an increase in street homelessness.</p>	<p>Increased numbers of families in temporary accommodation and an increase in street homelessness will have a detrimental impact on the well-being of citizens.</p> <p>The ability of citizens to be treated and/or self-isolated would be compromised.</p>	<p>Likelihood Score</p> <p>5</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>20</p>	<p>Additional funding has been provided by the Department of Levelling Up, Housing and Communities.</p> <p>Additional accommodation has been identified if numbers of street homeless increase.</p> <p>Maximising the internal and external support of partners to help people to remain in accommodation.</p> <p>The Department of Levelling Up, Housing & Communities have announced the process to secure Rough Sleeping Initiative funding for 2022-25. Also, short term funding has been allocated to ensure access to accommodation and vaccine roll out for rough sleepers</p> <p>The Council understands the repossession statistics and has built these into its financial forecasts. The Council will continue to actively review resource allocation so that it can react to increases in service demand.</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>12</p>	<p>Director of Adult Services and Housing</p> <p>Head of Housing & Homelessness</p>

Service Area: Public Health						
No	Specific risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
25	<p>Insufficient Public Health capacity</p> <p>There is a risk that the Council's specialist Public Health capacity will be unable to provide the level of service demanded as the Council continues to lead the response to the crisis.</p>	<p>Public Health will be unable to adequately lead the Council's response to living with and through COVID-19 and the prevention of harm to health.</p>	<p>Likelihood Score</p> <p>5</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>25</p>	<p>Senior Public Health staff are prioritising workload to focus on COVID-19, managing their personal resilience and that of the wider team. The Director of Public Health has recently left the Council, but a replacement has been appointed, and will start in post in March 2022.</p> <p>A Programme Manager and two Programme Officers for COVID-19 Test and Trace have been recruited. Additional Programme Assistant and Analyst roles are also being appointed.</p> <p>New PH/GP trainees are being utilised to support the COVID-19 response.</p>	<p>Likelihood Score</p> <p>2</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>10</p>	Interim Director of Health & Wellbeing
26	<p>Test and Trace capacity if COVID-19 rates increase with the Omicron variant.</p> <p>There is a risk that if COVID-19 rates increase with the Omicron variant the local Test and Trace contact tracing function will not be able to deliver its commitments under the flexible joint working arrangement with the national team, and there will not be enough capacity to respond to</p>	<p>Greater risk of transmission of COVID-19 within the city and subsequent harm to health and the local economy.</p> <p>Reputational damage to the Council.</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>15</p>	<p>The Council has recruited additional staff including a Team Coordinator and Team Leaders x4. 10x Welfare Callers have been appointed on fixed term contracts. All contracts have been extended up to November 2022. The team is currently recruiting some additional casual Welfare Callers to help with the rise in cases.</p> <p>The Council has strong organisational links with the national team and have been working flexibly to ensure most at risk areas are being prioritised for contact tracing (i.e., areas with lowest vaccine uptake)</p>	<p>Likelihood Score</p> <p>2</p> <p>Impact Score</p> <p>5</p> <p>Total Score</p> <p>10</p>	Interim Director of Health & Wellbeing

	the increased demand in the city.					
27	<p>Insufficient PCR testing capacity</p> <p>There is a risk that if COVID-19 rates increase with the Omicron variant, the city will have insufficient PCR testing capacity at accessible locations if facilities must close because sites are returned to their original use, rather than being occupied for the purpose of testing. This may result in fewer people having PCR tests and infectious people circulating in the community.</p>	<p>A lack of easily accessible sites in the city.</p> <p>Fewer members of the public come forward for PCR tests.</p> <p>An increase in infectious people circulating in the community.</p> <p>An increase in COVID-19 rates leading to increased illness and hospitalisations.</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>12</p>	<p>The owners of the Coventry Building Society Arena have agreed to an extension of time for the existing facility.</p> <p>The city currently has the following symptomatic PCR testing sites operational:</p> <ul style="list-style-type: none"> - Moat St Car Park - CBS Arena Car Park C - Broad St - Whitefriars Car Park <p>Throughout the pandemic, access to PCR testing in Coventry has been better than in other areas. While there were some issues with accessing tests nationally in late December 2021 and early January 2022 this was linked to lab availability. This has now largely been resolved.</p> <p>Changes in national guidance means that if asymptomatic people have a positive LFT, they no longer need to confirm the result with a PCR test, this has reduced the demand for the PCR testing.</p>	<p>Likelihood Score</p> <p>1</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>4</p>	Interim Director of Health & Wellbeing

Services area: Business, investment, and culture

No	Specific risk description	Impact	Inherent risk score	Measures to mitigate risk	Residual risk score	Risk owner
28	<p>The vibrant city</p> <p>If measures to contain and reduce the COVID-19 pandemic are stepped-up across the winter period the culture, sport and tourism life of the city will be impacted, leaving the city less vibrant and prosperous.</p>	<p>The outcomes generated from UK City of Culture 2021 are reduced and/or different to those projected.</p> <p>An ongoing challenge in how the city plans and delivers a year of culture.</p> <p>Visitors may prioritise outdoor and coastal breaks over city destinations.</p> <p>There are no mass gatherings with over 40,000 people in the next 3 months. City of Culture Trust and BBC Big weekend are mass gatherings. The former is not ticketed Whilst the latter is. There are no contingencies for the Big Weekend other than</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p> <p>12</p>	<p>City of Culture planning is ongoing, with positive dialogue with the UK Government, Coventry City of Culture Trust and key funders. Restrictions on events have reduced but a focus remains on promoting responsible COVID-19 measures to encourage confidence and engage a wider range of audiences.</p> <p>The Council is working with the Destination Management Organisation and key partners to promote key events and the city as a safe destination.</p> <p>The Event Co-ordination Group assess the impact of restrictions on events in public spaces and the Events Safety Advisory Group offers consultation for organisers with event representation based on triage. The City of Culture Trust also plans events with COVID-19 measures in mind i.e., reduction in capacity, passporting, track and trace.</p> <p>Work with CV Life will continue to review operating performance and appropriate levels of capacity in the new delivery environment. This will include ongoing work to understand the impact of capping capacity on business plans.</p>	<p>Likelihood Score</p> <p>3</p> <p>Impact Score</p> <p>3</p> <p>Total Score</p> <p>9</p>	<p>Director of Business, Investment & Culture</p>

		<p>introducing passporting for attendance.</p> <p>Restrictions allow events to happen, but the audience is less than planned for resulting in an economic impact.</p> <p>Substantial investments have been made in sporting assets, underpinned by financial business plans that did not take reduced visitor capacities into consideration.</p>				
29	<p>Adverse impacts on business</p> <p>There is a risk that the combined impacts of COVID-19, exiting the EU Single Market and Customs Union and the non-tariff trade barriers presented by the UK EU Trade & Co-operation Agreement, will have an adverse impact on businesses.</p>	<p>Downsizing or closure of businesses, particularly as UK Government COVID-19 support measures have been reduced since Autumn 2021, the imposition of Plan B restrictions in December 2021, imposition of new customs regulations in January 2022, and need to repay COVID-19 loans</p>	<p>Likelihood Score</p> <p>4</p> <p>Impact Score</p> <p>4</p> <p>Total Score</p>	<p>The Council is investing in the city. Spending includes major scheme expenditure which ranges from investment in the A46 Link Road, Coventry Station Masterplan, Whitley South infrastructure, City Centre South, 2 Friargate, secondary schools expansion, completion and roll-out of the UK Battery Industrialisation Centre and the application to secure public and private investment in a Gigafactory at Coventry Airport (this has the potential to raise £2bn of investment).</p>	<p>Likelihood Score</p> <p>4</p> <p>Impact Score</p> <p>3</p> <p>Total Score</p>	<p>Director of Business, Investment & Culture</p>

		<p>which will further hinder many businesses' capacity to generate revenues and profits.</p> <p>Any subsequent redundancies could result in increases in unemployment (including among younger employees and increasingly workers aged over 60), which would then put pressure on welfare systems.</p> <p>A decrease in citizens health and well-being.</p> <p>An increase in demand for Council services combined with a reduction in resources available to it, through a decrease in business rates and the tax base. This could have a significant impact on the Council being able to fulfil its statutory responsibilities.</p>	<p>16</p>	<p>Collaboration with local business support partners (fronted by CWLEP Growth Hub) to develop an evidence base and lobby UK Government on local business needs.</p> <p>Business Support Services and Programmes (CW Business Support, Green Business, Innovation and Skills 4 Growth. All delivered with local business support partners).</p> <p>Grants and loans including the Additional Restrictions Grant fund, which needs to be spent by March 2022 – this includes the £1.8m top-up approved by BEIS in July 2021, after the initial £10m was fully allocated, plus the additional £432k ARG top-up announced in January 2022. The Community Renewal Fund Pilot will provide further support.</p> <p>Referral of businesses to specialist support around EU exit, including DIT's Export Academy and clinics hosted by DIT and CWLEP Growth Hub, plus wider financial support and workshops/ 1:1 support on wider international trade. These were announced in the Export Strategy published in November 2021.</p> <p>Inward Investment Service.</p> <p>Supply chains and networks.</p> <p>Coventry City Council Employer Hub.</p>	<p>12</p>	
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