

Audit and Procurement Committee

15 March 2021

Name of Cabinet Member:

Cabinet Member for Policy and Leadership – Councillor G Duggins

Director Approving Submission of the report:

Director of Finance

Ward(s) affected:

City Wide

Title:

Corporate and COVID-19 Risk Registers

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 Corporate Risk Register 2021-22 in Appendix 1 and the COVID-19 Risk Register in Appendix 2. This provides the Audit and Procurement Committee with an overview of the Council's corporate and COVID-19 risk profiles and the controls in place to address these risks.

Recommendations:

The Audit and Procurement Committee are requested to:

1. Note the current Corporate Risk Register, indicating that they have satisfied themselves that Corporate Risks are being identified and managed.
2. Note the current COVID-19 Risk Register, indicating that they have satisfied themselves that COVID-19 Risks are being identified and managed.
3. Identify any areas where they require additional information (if any).

List of Appendices included:

Appendix 1 – Corporate Risk Register
Appendix 2 – 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 and COVID-19 Risk Registers

1. Context (or background)

- 1.1 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.
- 1.2 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 and Strategy identifies that the Committee will receive risk management reports to assist it to provide independent assurance of the risk management framework and associated control environment.
- 1.3 This report provides the Audit and Procurement Committee with the outcome of the review of the Corporate Risk Register 2021-22 and provides the first opportunity for a review of the COVID-19 Risk Register.
- 1.4 The One Coventry Outcomes that the Council wants to achieve as the city exits the COVID-19 crisis will be considered and if agreed a revised Corporate Risk Register will be brought to the Audit and Procurement Committee in September 2021.

2. Options considered and recommended proposal

- 2.1 The Corporate Risk Register at Appendix 1 has been reviewed in consultation with the Senior Management Board and the allocated Risk Manager. It identifies the main risks facing the Council, the planned risk treatment, the progress made to date, where responsibility lies for the Council's response and the risk control status using a traffic light system.
- 2.2 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 listed in Appendix 1 can be considered as falling into two separate categories:

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

- CR 001 – Finance
- CR 006 – Health and Adult Social Care
- CR 007 – Safeguarding Children and Young People
- CR 014 – Information Governance
- CR 016 – Failure to Comply with Health and Safety Legislation
- CR 021 – Economic Downturn

Specific/Project – those risks that could affect specific projects or the major change initiatives to how the Council operates

- CR 002 – Sky Blue Sports and Leisure
- CR 003 – ICT Infrastructure and Change
- CR 005 – Workforce Strategy

CR 019 – Homelessness and Temporary Accommodation
CR 022 – Children’s Social Services Workforce Stability
CR 023 – Elections

- 2.4 The Corporate Risks and the control measures in place to address them are more fully described in Appendix 1. Audit and Procurement Committee are asked to review the content of the register and satisfy themselves that the process is operating effectively within the Council as required under the Risk Management Policy and Strategy.
- 2.5 There are some changes to the Corporate Risk Register from the previous report to Members.

Risks added:

CR 021 – Economic Downturn
CR 022 – Children’s Social Services Workforce Stability
CR 023 – Elections

Risk with a change of title:

CR 007 – Safeguarding Children and Young People

Risks removed:

CR 011 – Friargate Business District
CR 013 – West Midland Combined Authority
CR 017 – City Centre South
CR 018 – Coventry Station Masterplan
CR 020 – Brexit

- 2.6 This is the first time that the COVID-19 Risk Register has been considered by the Audit and Procurement Committee. The risks are grouped under the following themes:

Theme 1 – Children Safeguarding and Education
Theme 2 – Adult Social Care
Theme 3 – Decision Making and Governance
Theme 4 – Financial Implications
Theme 5 – Staff Support and Health and Safety
Theme 6 – General Data Protection Regulation and Data Protection Act Compliance
Theme 7 – Support for Those Who Are Homeless or at Risk of Homelessness
Theme 8 – Public Health
Theme 9 – Workplace Reopening
Theme 10 – Culture, Tourism and Sport
Theme 11 – The Economic Prosperity of the City
Theme 12 – The Identification of Asymptomatic but Infectious Individuals

3. Results of consultation undertaken

None

4. Timetable for implementing this decision

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

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

5.1 Financial implications

There are no financial implications directly associated with the risk registers although the management of the risks is essential to the operation of the Council, the pursuit of its priorities, its financial integrity and the health and safety of citizens and Council staff.

5.2 Legal implications

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

6. Other implications

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

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

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

6.2 How is risk being managed?

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

6.3 What is the impact on the organisation?

Effective risk management arrangements 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

No impact

6.6 Implications for partner organisations?

None

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Susanna Newing	Director of Human Resources	-	15/2/21	22/2/21
Peter Fahy	Director of Adult Services	-	15/2/21	18/2/21
John Gregg	Director of Children's Services	-	15/2/21	15/2/21
Angie White	Service Manager Occupational Health, Safety and Wellbeing Services	Occupational Health, Safety and Well-being	19/1/21	1/2/21
Andy Williams	Director of Business, Investment and Culture	-	15/2/21	22/2/21
Elizabeth Read	Electoral Services Manager	Law and Governance	28/1/21	29/1/21
Adrian West	Members and Elections Team Manager	Law and Governance	20/1/21	5/2/21
Kirston Nelson	Director of Education and Skills	-	15/2/21	22/2/21
Elizabeth Gaulton	Director of Health and Well- being	-	16/2/21	19/2/21
Richard Moon	Director of Property Services and Development	-	15/2/21	15/2/21
Names of approvers for submission: (officers and members)				
Paul Jennings	Finance Manager	Finance	19/2/21	22/2/21
Julie Newman	Director of Law and Governance	-	4/3/21	4/3/21
Barry Hastie	Director of Finance	-	4/3/21	4/3/21
Councillor G Duggins	Cabinet Member for Policy and Leadership	-	26/2/21	26/2/21

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