

Appendix 1 - Coventry City Council – Corporate Risk Register

Risk Ref - 001			Last Reviewed	
Finance			February 2021	
<p>Risk Description: If financial and other pressures resulting from the requirement to deliver statutory duties and other services continue, there is a risk that the Council will be unable to achieve a balanced budget in the short and medium term. The risk is exacerbated by uncertainty about the future of local government financing and the legacy impacts of the COVID-19 pandemic.</p>				
Planned Treatment:	Timescale	Progress to date:	Risk Manager	Control Status
<p>Robust arrangements are in place to oversee budget setting, including an assessment of pressures, although COVID-19 has caused some disruption and delay.</p> <p>The budget is updated as new information is known and this analysis is used to inform actions required to balance it.</p> <p>The Provisional Local Government Settlement has brought short-term certainty to some key areas, although the short-term nature of many proposals inevitably shifts uncertainty into future financial years.</p>	February 2022 (Budget Report)	<p>Proposals are in place to deliver a balanced 2021/22 budget subject to final approval at Council.</p> <p>SMB and CLT have identified a transformation programme to help move the Council's medium-term budget towards a balanced position and Members have been briefed.</p> <p>Further work is being undertaken in response to the COVID-19 pandemic. The position for future years is very challenging and fluid with budget gaps rising to £24m by 2023/24, for which plans are not yet in place. The 2021/22 position reflects a broad range of anticipated financial pressures caused by COVID-19. These include but are not restricted to the Business Rates and Council Tax bases and carried forward deficit positions, Children's Social Care, waste disposal, car parking and other income and uncertainty in areas such as Adult Social Care (and its external funding position). These challenges have been recognised within the Pre-Budget Report with the final Budget Report due at Council in February 2021.</p>	Director of Finance	Red
<p>A rigorous structure exists to oversee the budgetary control process and delivery of savings.</p>	Ongoing	<p>A robust budgetary control timeline is being adhered to. Early reporting and the availability of live budgetary control forecasting are available via the Agresso financial system.</p> <p>There are monitoring arrangements to ensure that savings targets have appropriate structures to ensure delivery. The budget is managed on a whole Council basis including (for 2020/21) COVID-19 funding being assessed and applied across all areas affected.</p>	Director of Finance	Red

<p>Issues should be identified early allowing time for corrective action. These are formally reported through the regular Revenue and Capital Monitoring Reports.</p>	<p>Ongoing</p>	<p>The main area of concern through 2020/21 was looked after children (with a gross overspend of £9m) and the costs of COVID-19 (totalling c£34m at quarter 3). Medium term budget plans have taken account of the likely profile of non-COVID-19 ongoing expenditure pressures and they will be monitored closely through 2021/22. COVID-19 costs are likely to be matched by COVID-19 grants within 2020/21 but the pandemic threatens to adversely affect the Council's financial position in 2021/22.</p>	<p>Director of Finance</p>	<p>Red</p>
<p>There is an effective consultation process for proposals outlined in the Pre-Budget Report.</p>	<p>Ongoing</p>	<p>The proposals in the 2021/22 Budget Report have been subject to public consultation over an eight-week period.</p>	<p>Director of Finance</p>	<p>Green</p>

Risk Ref - 002				Last Reviewed	
Sky Blue Sports and Leisure Ltd and Ors and Coventry City Council and Ors				January 2021	
Risk Description: An adverse outcome in respect of legal action by the owners of the football club results in a significant financial and reputational impact to the Council.					
Planned Treatment:	Timescale	Progress to date:	Risk Manager	Control Status	
Appropriate arrangements are put in place to defend the legal action being taken against the Council by the owners of Coventry City Football Club.	Ongoing	<p>The Supreme Court upheld the judgement of the Court of Appeal which was to refuse permission for the hearing. The Judicial Review process in the English Courts is exhausted.</p> <p>The owners of Coventry City Football Club have raised a complaint with the European Commission which the City Council has responded to via the Department for Business, Energy and Industrial Strategy. A decision is awaited as to whether the European Commission is minded to investigate the complaint.</p>	Director of Legal and Governance Services	Green	

Risk Ref – 003			Last Reviewed	
ICT Infrastructure and Change			January 2021	
<p>Risk Description: If the major programme of ongoing developments and implementation of an ICT and Digital strategy is not implemented successfully it would cause the following risks to the Council: (1) additional financial pressures (2) significant disruption to the day to day running of the Council both in the implementation phase as a result of continuing to operate with ageing systems in the meantime and an ongoing basis, (3) does not underpin the Council's transformation programme and associated new ways of working. (4) infrastructure and systems are not resilient to enable business continuity and data security as the Council becomes more heavily reliant on ICT. (5) Moving to a Digital approach to delivering services offers greater opportunity for Cyber-attacks.</p>				
Planned Treatment:	Timescale	Progress to date:	Risk Manager	Control Status
Embed and track actions within the approved Coventry Digital Strategy.	Ongoing - annual review	<p>The delivery of the Council's Digital Strategy is ongoing, with Lead Members driving this agenda. A range of activity is continuing over the key areas of development. These are,</p> <ul style="list-style-type: none"> • Digital Place • Digital Communities • Digital Customer and Inclusion • Digital Workforce <p>A new city-wide Digital Board has been established, focussing on further growing Coventry's prominence as a Digital place and economy.</p> <p>The Council's Digital First programme meanwhile, is spearheading our digital capability by focussing on working with residents, Members and the workforce to optimise the benefits, effectiveness and efficiencies that digital provides.</p> <p>Examples include, new digital services for residents (Adults and Revenue & Benefits), Members and the Workforce (Teams Rollout, launch of new Staff App) as well as prioritised digital services to support the council's response to COVID-19</p>	Director of Housing and Transformation	Green

<p>To review the Council's provision for ICT Cyber security and the methods employed to protect networks from Cyber-attack. To ensure that any attacks against the Council's ICT network can be defended and impact minimised.</p>	<p>Ongoing</p>	<p>A security audit of the Council's Cloud presence has been completed and there are proactive and ongoing programmes of activity around cyber resilience. The Audit Committee have also maintained oversight of this area. Cyber Resilience is also a fundamental part of the continuing ICT Service plan for 2020/21 and future years, it also forms part of the newly published ICT strategy. During 2020/21 it was planned that the Council would be undertaking a "Cyber Essentials Plus" accreditation, which is developed by the National Cyber Security Centre to provide further assurances. Unfortunately, due to the demands of COVID-19 this has not been possible to complete, and this now forms part of a renewed plan and focus on cyber security.</p> <p>In recent months there have been several high-profile cyber security incidents, and a growing number within the public sector and local government. It is important that the Council continually reviews its cyber security posture considering the increased frequency and sophistication of cyber-attacks. There has also been a significant increase in staff working from home which needs to be factored into cyber security planning. The Council is undertaking audits in this area and will be providing the outcome of this focussed activity to SMB for consideration by the end of QTR 1 of financial year 2021/22.</p>	<p>Director of Housing and Transformation</p>	<p>Amber</p>
<p>To continue to review disaster recovery arrangements both within ICT and with Directorates to ensure that the impact of any disruption can be managed, and any disruption minimised.</p> <p>This feeds into the wider review of Business Continuity arrangements following the outage in May 2017.</p>	<p>Ongoing</p>	<p>Regular updates are provided to Audit Committee on Disaster Recovery provision. Work is in progress to test the provision for each key line of business system. A full review of ICT recovery plans was completed last financial year and is now continually reviewed as part of "business as usual" with monthly "checkpoint" meetings to review any concerns. Regular external audits are carried out to review the arrangements.</p> <p>Further work is planned with the CSW resilience team to ensure that the ICT protocols and inputs to the Council's wider Business Continuity arrangements are robust, understood and operating effectively, especially considering how services have come to rely more fundamentally on ICT & Digital services during the COVID-19 pandemic.</p> <p>During 2020/21 the Council will be relocating its secondary data centre to a new facility. The secondary data centre is a fundamental component of the Council's disaster recovery approach and therefore the project to deliver the relocation will be very carefully planned and managed following the standard ICT change process, to provide assurance on the planning and technical resilience of the project.</p>	<p>Director of Housing and Transformation</p>	<p>Amber</p>

<p>To agree a programme of audit / peer review work to gain assurance around the efficacy of arrangements in place including the Council's core network infrastructure and cyber arrangements.</p>	<p>Ongoing</p>	<p>An independent health check review of the Council's core network infrastructure has been scoped and commissioned following the network outage on 23rd May 2017. Immediate remedial actions were taken, and a full network redesign programme has been agreed with SMB. This work will be due for completion during 2021/22 and is part of an ongoing and continuous review of the Council's network infrastructure.</p> <p>A plan of ICT audits has been agreed for 2020- 2023, and this is underway. Regular meetings are held with Internal Audit to ensure the plan meets the ongoing needs.</p>	<p>Director of Housing and Transformation</p>	<p>Green</p>
<p>Develop and periodically review Corporate and Directorate ICT strategies, roadmaps and technology catalogues to ensure technology is kept up to date and maintains a sufficient level of capacity to support increased or change of use.</p>	<p>Ongoing</p>	<p>The Corporate roadmap has been refined; this will be reflected in directorate strategies and be continually reviewed. Individual ICT projects are subject to change management and appropriate project management arrangements.</p> <p>A revised ICT Strategy was approved by Cabinet in October 2019. The Strategy is based on the key principles of "Coventry as a Platform" which seeks to streamline and modernise processes and systems and the "Digital Workforce", ensuring staff have the relevant skills and tools to make the best use of the technologies available. The Strategy is aligned to the One Coventry approach and reflects requirements stemming from:</p> <ul style="list-style-type: none"> • Medium Term Financial Strategy • One Coventry Council Plan • Coventry UK City of Culture 2021 • Digital Coventry Strategy for the city <p>The Strategy also recognises the priority of protecting the Council's technology estate, data and users from cyber-threats through robust and proactive approaches to the Council's cyber security measures.</p>	<p>Director of Housing and Transformation</p>	<p>Green</p>

Risk Ref - 005			Last Reviewed	
Workforce Strategy			January 2021	
Risk Description: If the council does not deliver “The People Plan” key workforce and organisational development objectives will not be met, resulting in the failure of “One Coventry” and the council’s priorities of being globally connected, locally committed and delivering its priorities with fewer resources not being achieved.				
Planned Treatment:	Timescale	Progress to date:	Risk Manager	Control Status
<p>Organisational Development</p> <p>One Coventry values will be established which will enable the Council to have a workforce that is engaged in a supportive culture of learning, well-being, competence and leadership.</p>	One year	<p>The organisational values have now been developed and introduced, although later than intended due to the pandemic. The engagement plan is now being developed to increase knowledge and engagement across the Council.</p> <p>The workforce Equality, Diversity and Inclusion action plan is being implemented.</p> <p>The Council is ensuring organisational compliance with mandatory training, appraisals and inductions.</p> <p>The Council has completed a stakeholder analysis and put in place a diversity of communication methods to ensure timely and effective consultation with all stakeholders. This will be captured in a written plan and monitored for effectiveness.</p>	Director of Human Resources	Amber
<p>Pay, Reward and Recognition</p> <p>The council will have a total reward strategy that attracts, values and retains talent that will support the organisational values and priorities</p>	One year	<p>A pay modeller has been engaged to assist the Council in developing a pay structure in line with best practice, undertake an equality review and help shape the future offer. Discussions have taken place with the Trades Unions, and SMB/CLT. Formal consultation is underway with the Trades Unions, with a view to reaching an agreement.</p>	Director of Human Resources	Amber
<p>Recruitment and Retention</p> <p>The Council will develop flexible recruitment methods which meet the needs of the Council and provides a diverse workforce for the future, that is commercially aware and strives for excellent customer care.</p>	One year	<p>Tribepad, the new recruitment system was introduced in April 2020 and has been successful at increasing the volume of applications and improved management information. Training for managers was initially delayed due to the pandemic as it was amended to an online solution. The next step is to train managers on the equality aspects of the recruitment process and introduce the values into the process.</p>	Director of Human Resources	Amber

<p>Health and Well-being</p> <p>A supportive culture of health and well-being will be established as an essential element of the Council's offer to employees.</p>	<p>One year</p>	<p>Working with Public Health and the Trades Unions, a health and well-being plan is being developed to introduce some creative initiatives to support staff at work. In 2020, the group supported the Thrive accreditation, developed a staff health and wellbeing guide and secured the Chief Executive as a sponsor. The group also oversaw the development of the flexible working framework which resulted from feedback from the staff health and well-being survey. A further survey has just been undertaken.</p> <p>The group meets monthly. The agenda in the last few months has been dominated by COVID-19. However, an employee survey has been undertaken on the impact of COVID-19 which will now influence the strategy, which is in the process of being revised in the light of the pandemic. Interventions include; introduction of Kaido, health and well-being app, physical and mental health workbooks, risk assessments and training.</p> <p>A review with the Trades Unions of 'Promoting Health at Work' policy is underway with a draft policy shared with the trades unions, a toolkit and training are planned</p>	<p>Director of Human Resources</p>	<p>Amber</p>
<p>Workforce Planning and Management Information and Support</p> <p>The Council will have a positive employee relations climate which is supported by effective policies and procedures and management information.</p>	<p>One year</p>	<p>Working in partnership with our Trade Union colleagues, five policies have been reviewed and revised to date. A further five are under active discussion and the remainder are being timetabled. This remains an organisational priority, with a revised consultation agreement in place including revised health and safety meetings.</p>	<p>Director of Human Resources</p>	<p>Amber</p>

Risk Ref - 006			Last Reviewed	
Health and Adult Social Care			February 2021	
<p>Risk Description: The organisation is unable to deliver its statutory requirements in respect of the provision of adult social care within the resources available and work in partnership with health to deliver the national expectation of an integrated care system, resulting in significant risks to vulnerable residents, reputational damage and overspends.</p> <p>The impact of COVID-19 has seen costs of activity increase and although met with short term additional funding these costs may be enduring. Ongoing expectations in respect of areas of joint working with health (for example in respect of rapid hospital discharge) will also require a sustainable resourcing solution if they are to continue. Any ongoing long-term demand changes as a result of COVID-19 are not yet known although areas including mental health, carer support and supporting the health system are likely to become higher profile.</p>				
Planned Treatment:	Timescale	Progress to date:	Risk Manager	Control Status
<p>Use of Better Care Fund and Adult Social Care Support Grant.</p> <p>Use of additional monies provided to respond to COVID-19 until March 2021</p> <p>Levying the 3% adult social care precept.</p> <p>Continuing to take a rigorous approach to budget management and financial control in the context of demand facing adult social care and support.</p>	Ongoing	<p>The funding for the Improved Better Care Fund has been rolled into 2020/21 and as yet is not confirmed for 2021/22.</p> <p>Uncertainty remains regarding future grant allocations, beyond 2020/21. The short term COVID-19 grants are being used to support the market with a range of additional cost pressures associated with infection control and staffing. Should the grants stop, this area of activity will be required to reduce accordingly.</p> <p>There has been limited review of Better Care Fund projects since March 2020 as a result of a whole focus on COVID-19, however some of the working practices introduced over this period, e.g. 7-day discharge planning, supports Better Care Fund requirements.</p> <p>Monthly budgetary reviews remain in place to review the position and actions are identified to manage the overall resource envelope.</p> <p>Additional costs associated with COVID-19 are being tracked. This includes one-off costs plus longer-term costs as a result in changing demand.</p>	Director of Adult Services	Amber

	Ongoing	<p>Providers continue to be engaged on an individual basis to understand and risk assess issues that exist that may threaten sustainability.</p> <p>COVID-19 has introduced new risks into the social care market including requirements for PPE, risk of staff being unavailable due to self-isolation requirements. Existing risks including workforce and infection control have also been amplified.</p> <p>A range of support offers have been put in place to support sustainability, including support with PPE and revised payment processes and the newly announced infection control fund.</p> <p>It is not possible to predict the longer-term impacts on the market as a result of COVID-19 at this point, but some providers are reporting lower than usual levels of activity which is impacting on sustainability in the short term.</p> <p>A provider contingency plan is in place that is used in instances of provider failure. Specifically, vulnerabilities are associated with several providers failing in quick succession.</p>	Director of Adult Services	Green
Develop the Coventry and Warwickshire Integrated Care System (ICS) and local arrangements to deliver the Long-Term Plan.	Ongoing	<p>The development of the Coventry and Warwickshire ICS and delivery of the Long-Term Plan is the major NHS led change programme aimed at delivering financially sustainable and quality services across health and social care.</p> <p>NHSE launched a consultation on placing ICS's on a statutory footing, the implications of which are being considered at a place and system level</p> <p>The City Council is a key partner in the progression and delivery of this work through a range of existing and new governance arrangements and is leading on the Population Health and Prevention work stream to help ensure that the maximum benefit for the City Council can be achieved.</p>	Deputy Chief Executive	Amber

		<p>Much of this system development work paused during the early phase of COVID-19 but is now back underway although recognising that the pace of development is significantly impaired by the resources and energy required to keep health and care operating during a pandemic.</p> <p>The ICS maturity and development plan are currently being updated with a view to being subjected to NHSE/I assurance processes in 2021.</p>		
Implement learning and action plans from Safeguarding Adults Reviews (SAR) and other learning reviews commissioned by CSAB	Ongoing	<p>There is on-going work to progress learning from SARs and reviews. For every review undertaken each subgroup of the Boards have a work plan to include assurance on the recommendations.</p> <p>There are no current live SARs or outstanding action plans.</p>	Director of Adult Services	Green
Introduction of a Use of Care Director for the recording of safeguarding adults processes and progress to facilitate better monitoring of cases and capacity to performance monitor.	Ongoing	Care Director is now being used to record safeguarding activity. Performance monitoring is in place.	Director of Adult Services	Green
Responding to hidden harm against vulnerable adults	Ongoing	COVID-19 has resulted in less interaction with people on a one-to-one basis and as a result less input in people's own homes. It is possible that harm has happened that has not come to the attention of the Council or other safeguarding partners. Working practices have been adapted for the COVID-19 environment.	Director of Adult Services	Amber
Awareness raising for all employees regarding signs and indicators of risk for vulnerable adults.	Ongoing	<p>Safeguarding training is part of mandatory training. During the COVID-19, this is by e-learning methods.</p> <p>Training is checked at appraisals and if staff have not completed training, they receive reminder e-mails and are followed up by line managers.</p>	Director of Adult Services	Amber

		<p>Posters have been disseminated to reinforce messages.</p> <p>Safeguarding Partnerships annual conferences and events to raise awareness across all agencies and promote prevention and protection of vulnerable adults.</p> <p>An enhanced suite of training is in place for practitioners.</p>		
Safeguarding work where there is an immediate risk of harm is prioritised	Ongoing	Continuous robust oversight of potential safeguarding cases continues. Safeguarding messages to community volunteer groups with key signposting. Use of CSAB to provide an overseeing role	Director of Adult Services	Amber

Risk Ref - 007			Last Reviewed	
Safeguarding Children and Young People			January 2021	
Risk Description: A child or young person experiences abuse or neglect leading to significant harm or death and the Council and its statutory partners or commissioned services are deemed to have failed to safeguard or protect.				
Planned Treatment:	Timescale	Progress to date:	Risk Manager	Control Status
Implement learning and action plans from Safeguarding Practice Reviews.	Ongoing	On-going work in this area to progress learning from Safeguarding Practice Reviews and other learning reviews. For every review undertaken and each subgroup of the Boards there is a work plan to include assurance of the recommendations from SPRs and SARs as they are completed.	Director of Children's Services	Amber
Re-invigoration of quality assurance framework around social work cases in all teams within children's services	Ongoing	Quality Assurance activity is in place ensuring strong compliance and a firm baseline for review. Robust performance information developed. New audit tools developed with increased level of audit activity. Children's peer reviews and inspections include a sample audit of cases to inform learning. Other quality activity is underway through the Practice Improvement Forum and workforce development and webinars. Managers are focusing on the quality of practice. Audits for April 2020 were paused as a result of the COVID-19. Audits have continued from May 2020 onwards.	Director of Children's Services	Green
Ensure Early-help services are effective and the provision of an improved response to need	Ongoing	The Early Help Board is leading the continued implementation of the Family Hub Model and shared ownership of the early help agenda across the whole partnership. A plan to re-open family hubs and area teams has been implemented all buildings are now COVID-19 compliant and have re-opened to the public.	Director of Children's Services	Green
Deliver an improving Children's Services	Ongoing	Identification and early assessment of those children who need immediate protection. Identification of risks and actions taken to protect	Director of Children's Services	Amber

		<p>them are appropriate and effective. Assessment and planning strengthened by use of a risk-management model to support child-focused practice.</p> <p>Assessment and visits will continue and will be in accordance with the measures identified in risk assessments.</p> <p>Ofsted interim visits commenced in September 2020. Children's Service anticipate an Interim Focus visit in February/March 2021. The focused visit will have a broader scope, focus on quality of decision making, fieldwork over 2 days and size of the inspection team increased to also include a school HMI.</p> <p>The Ofsted preparation and planning group oversee and monitor preparations. The Self-Assessment is currently being updated for 2021.</p>		
<p>Awareness raising for all Council employees of signs and indicators of risk to children, young people.</p>	<p>Ongoing</p>	<p>Safeguarding training is part of mandatory training. During the COVID-19 period face to face training has been cancelled and will be undertaken by e learning/virtual learning methods until further notice.</p> <p>Information through training to all staff advising of what to do if concerned about a child or adult at risk of harm or abuse. All staff have been reminded directly by e mail from the Deputy Chief Executive, of the importance of updating their training.</p> <p>Posters were disseminated to reinforce the responsibilities of staff to protect children and young people at risk of abuse.</p> <p>Safeguarding Partnerships annual conferences and events to raise awareness across all agencies and promote prevention and protection of children, young people and vulnerable adults.</p>	<p>Director of Children's Services</p>	<p>Amber</p>

To ensure that the impact of any proposed changes in service delivery specifically consider the risk in relation to safeguarding.	Ongoing	<p>Explicit consideration of safeguarding implications as part of any change process or proposal, e.g. changes to ICT systems.</p> <p>Explicit consideration of risk in relation to safeguarding to form part of decision making on change proposals.</p>	Director of Children's Services	Green
Effective plans in place to manage caseloads	Ongoing	<p>The current COVID-19 pandemic has seen case numbers rise significantly meaning the current establishment no longer provides enough capacity and a review of the workforce model against current activity (Nov-20) has highlighted significant risk with current caseloads and staff retention</p> <p>Additional temporary funding has been agreed to fund additional social worker posts that have been impacted by increases in CIN, CP, LAC to manage current demand.</p>	Director of Children's Services	Red

Risk Ref - 014	Last Reviewed
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Information Governance	February 2021
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Risk Description: Legal challenge made upon the City Council/Chief Executive

If the Council mismanages the large amounts of complex and personal data that it holds on different systems there is an increased risk that it will suffer data loss, misuse, inadvertent release and breach of privacy and be unable to respond to data requests in the required time frame resulting in breaches of legislation, fines and reputational damage.

Planned Treatment:	Timescale	Progress to date:	Risk Manager	Control Status
<ul style="list-style-type: none"> Approved Information Management Strategy and associated programme of work 	December 2021	Meetings of the Information Management Strategy Group (IMSG) are being reconvened with an updated term of reference to maintain corporate oversight of the Information Management Strategy with support from the Information Governance Team.	Director of Law and Governance Services	Amber
<ul style="list-style-type: none"> Refresh the Council wide training programme and ensure that high rates of completion are achieved 	September 2021	Refreshed training modules have been reviewed and are awaiting approval. Measures are in place to ensure increased rates of compliance and further work is planned to improve monitoring.		
<ul style="list-style-type: none"> Ensure that guidance and information about policies, roles and responsibilities is up to date and easily accessible 	December 2021	The Information Governance handbook will be reviewed		
<ul style="list-style-type: none"> IT platforms will be put in place to make the management of information more robust and effective. 	1 March 2021 (FOI)	The Freedom of Information system will be in place shortly. A business case is being prepared for the development of software which will help to control information asset		

<ul style="list-style-type: none"> • Ensuring data sharing decisions are documented and risks signed off by IAO. • A strategic review of the resources available to the team will be undertaken • Develop and implement revised approach to Information Asset and Information Risk Registers 	<p>Ongoing</p> <p>September 2021</p> <p>Approach to be agreed by May 2021</p>	<p>management and data security incidents.</p> <p>A review of resources is required as a priority to respond to increasing demand in Data Subjects exercising their rights under the GDPR.</p> <p>Needs to commence</p>		
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Risk Ref – 016	Last Reviewed
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Failure to Comply with Health and Safety Legislation	January 2021
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Risk Description:
 Failure to comply with Health and Safety legislation/practice leading to (a) injury to employees and other parties (b) intervention and prosecution by the HSE and other agencies (c) increase in sickness absence (d) liability claims (e) damage to reputation (f) corporate manslaughter (g) reduction in performance and standards

Planned Treatment:	Timescale	Progress to date:	Risk Manager	Control Status
<p>Corporate Health and Safety Policy and Strategy with roles and responsibilities clearly defined</p> <p>Health and safety consultation and communication with employees</p> <p>Health and safety audit, monitoring and inspection programmes</p> <p>Health and safety risk assessments, mitigation and action plans identifying areas for improvement</p>	Ongoing	<p>Approved Health and Safety Policy statement setting out roles, responsibilities - version July 2019 – 2021.</p> <p>Formal health and safety consultation arrangements through Health and Safety Strategy Group, Joint Safety Forum and Operational Health and Safety committees.</p> <p>Informal health and safety communication through management and at team meetings.</p> <p>Managers Health and Safety Annual Self Audit. Monitoring and inspection at service level by managers. Independent audit, inspection and monitoring by Health and Safety staff to ensure compliance and high performance.</p> <p>Corporate Health & Safety Action Plan – version July 2019 – 2021</p> <p>Directorate/service risk assessments including COVID-19 specific risk management</p> <p>Directorate/service action plans developed from risk assessments, audits, monitoring and inspection of the workplace.</p>	Director of Human Resources	Amber

Health and safety training, toolkits and information dissemination	Ongoing	<p>Risk Assessment toolkit and guidance on key Health & Safety issues is available for managers and employees.</p> <p>Mandatory Health and Safety training programme</p> <p>Toolbox talks and awareness campaigns on high profile issues</p> <p>Newsletter – Be Safe, Be Healthy, Be Well</p>	Director of Human Resources	Green
Process and system for recording and monitoring incidents and accidents	Ongoing	The Alcamus incident reporting system is in place. Investigations are carried out as required. Procedures for reporting work related injuries, diseases and dangerous occurrences are in place.	Director of Human Resources	Green
Professional Health and Safety and Occupational Health Service	Ongoing	<p>Team of Occupational Health and Health & Safety staff providing specialist advice and support to the organisation</p> <p>Health surveillance in line with legislative requirements</p>	Director of Human Resources	Green
<p>Arrangements for statutory / legislative inspections and assessments</p> <p>Electrical, fire, asbestos and water hygiene</p>	Ongoing	<p>Contracts/procedures are in place to comply with legal assessments/inspections</p> <p>Independent audit by Health and Safety Team</p>	Director of Human Resources	Green

Risk Ref – 019				Last Reviewed	
Homelessness/Temporary Accommodation				January 2021	
Risk Description: If the number of people presenting themselves as homeless or at risk of being homeless continues to rise there is a risk that the Council will be in breach of its statutory duties.					
Planned Treatment:	Timescale	Progress to date:		Risk Manager	Control Status
<p>The Council is actively working towards early prevention of homelessness, an increased and more affordable housing supply as well as reducing demand for temporary accommodation, focussing on:</p> <ul style="list-style-type: none"> • Targeted and universal prevention • Specific housing development projects for temporary and permanent accommodation • Reducing cost and improving quality of existing accommodation • Supporting vulnerable people 	Ongoing	<p>The council has several active projects to increase the supply and quality of temporary accommodation.</p> <p>The rates for existing temporary accommodation have been renegotiated and several new initiatives have reduced expenditure resulting in significant cost reduction. This has resulted in the service forecasting a £2.8 million (excluding COVID-19 related costs) underspend for 2020/21 and a new savings target of £1.5 million for 2021/22.</p> <p>The Council has made progress with key accommodation projects, such as Caradoc Hall which has been occupied as temporary accommodation for families since January 2020.</p> <p>Other projects of this type are also being developed which will allow the Council to exercise greater control over the accommodation including the ongoing purchasing of HMOs for singles, the purchase of 5 large family properties and the Cornerstone and Housing Network agreements.</p> <p>From a prevention perspective, the Council has markedly improved, which has contributed to a decrease in the number of singles and families in Temporary Accommodation. The service has a target to deliver 750 prevention and reliefs in 2020/21 and is on target to achieve 1,000+</p>		Director of Housing and Transformation	Amber
		<p>The Council has launched a Rent Guarantee scheme so homeless households can access affordable private rented properties in the city with 31 families having been accommodated to date.</p>		Director of Housing and Transformation	Amber

		<p>The Housing & Homelessness strategy ensures the delivery of projects to specifically reduce demand “upstream”, thereby reducing the numbers of homeless clients requiring different forms of statutory service.</p> <p>Cabinet agreed a Rough Sleeping Strategy in December 2019, which is complemented by a Rough Sleeper Outreach Team and ongoing participation in the Housing First programme.</p> <p>At a National level, a January 2021 report from National Audit Office on Rough Sleeping set out for the government to review the current rough sleeping strategy, in light of the impact of COVID-19 and the greater demand on local authorities.</p> <p><u>COVID-19</u></p> <p>The impact of COVID-19 has added greater risk and complexity and is currently a changing situation.</p> <p>The Public Health risk is being mitigated through the move to fully self-contained accommodation and support to individuals through the ‘Everyone In’ initiative, which has seen over 300 people being housed as at January 2021.</p> <p>Coventry has secured funding through MHCLG to provide different accommodation options including short term hotel accommodation, additional supported accommodation beds and 25 1-bed flats specifically for rough sleepers.</p> <p>Although demand on the Housing service initially reduced during the pandemic, the number of households requiring support has reached pre-COVID-19 demand levels. However, it is anticipated that a sharp increase in demand for services will be forthcoming over the coming months. This is being monitored closely and the above property and funding mitigations are required in order to effectively manage in the medium term.</p>		
		<p>The linked recommissioning exercise has been delivered on time and the new contracts went live, as planned, in April 2020. The outcomes are being monitored in line with the contractual responsibilities</p>	<p>Director of Housing and Transformation</p>	

Risk Ref - 021			Last Reviewed	
Economic Downturn			January 2021	
Risk Description: There is a risk that the combined impacts of COVID-19, combined with exiting the EU Single Market and Customs Union and the non-tariff trade barriers presented by the UK EU Trade & Co-operation Agreement (24/12/2020), will have an adverse impact on businesses resulting in downsizing or closure and redundancies, high long term unemployment (including among younger people), a decrease in citizens health and wellbeing, an increase in demand for Council services combined with a reduction in resources available to it, through a decrease in the business rates and the tax base. This will have a significant impact on the Council being able to fulfil its statutory responsibilities.				
Planned Treatment:	Timescale	Progress to date:	Risk Manager	Control Status
<p>End of Transition Agreement</p> <p>The Council has worked to ensure that all reasonable steps are in place for the end of the transition period (31/12/2020).</p> <p>A Brexit Preparedness Group led by a Director has been working to ensure a robust and coordinated response.</p> <p>CCC's Economic Development Service is working collaboratively with local business support partners to ensure businesses have access to the necessary information and guidance on steps they need to take to adjust to new trading regulations with the EU from 1/1/2021.</p>	<p>31 December 2021 (depending on how long COVID-19 related restrictions to business and social activities remain in place)</p>	<p>End of Transition Agreement</p> <p>Necessary measures are being implemented within the Council and it is advising businesses on the actions to take, in light of the UK-EU trading regulations which commenced at the beginning of 2021. Many actions are ongoing and include:</p> <ul style="list-style-type: none"> • Updating of the Council's Business Continuity Plans • Ongoing liaison with key suppliers to ensure contingency planning, particularly around possible delays to delivery of goods at ports • Promoting the EU settlement scheme with social care providers to support continuity of workforce • Contributing to the work of the Local Resilience Forum in ensuring regional resilience planning • Working with the Coventry & Warwickshire Local Enterprise Partnership Growth Hub, the Chamber of Commerce and local businesses to support businesses to take the necessary actions to ensure they comply with new regulations of different EU Member States • Working with WMCA to support management of and regional scale risks (e.g. possible impacts on automotive supply chains). 	<p>Director of Business, Investment and Culture</p>	<p>Red</p>
<p>Capital Projects</p> <p>The Council is investing in the city. Spending is projected to be £271.8m and includes major scheme expenditure which ranges from investment in the A46 Link</p>	<p>Ongoing</p>	<p>Capital projects to help stimulate economy</p> <ul style="list-style-type: none"> • Construction of UKBIC and installation of equipment (Innovate UK and WMCA funds) progressing and on track to be complete by March 2021. 		

<p>Road, Coventry Station Masterplan, Whitley South infrastructure, City Centre South, Two Friargate, Secondary Schools expansion and the UK Battery Industrialisation Centre</p>		<ul style="list-style-type: none"> • Coventry Station Extension progressing, which includes delivery of second station building, new car park, footbridge and lift/stairs - on track to be completed by Spring 2021. • CW LEP and WMCA funded City Centre Public Realm works on track for completion for start of UK City of Culture in May 2021. • The Council has agreed £17m funding to supplement £51.2m WMCA grant to deliver the Two Friargate commercial office scheme. Two Friargate started on site during Autumn 2020. • Public consultation to inform the City Centre South planning application was held in June 2020. The planning application was submitted to the local planning authority during Autumn 2020. 		
<p><u>Support to business in the city</u></p> <p>Collaboration with local business support partners (fronted by CWLEP Growth Hub) to develop an evidence base and lobby 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 Investment Fund grant</p> <p>Inward Investment Service</p> <p>Supply chains and networks</p> <p>Coventry City Council Employer Hub</p>	<p>Ongoing</p>	<p><u>Support to business in the city</u></p> <ul style="list-style-type: none"> • Monthly Coventry City Council Business & Economy Briefings and CWLEP Smart Region reports, detailing key local and macro-economic and business trends, actions being taken by the Council and partners to address these, and identifying areas where further public funds are required to address business and economic needs. • Coventry City Council has awarded over £56m in COVID-19 Government grants to over 4,700 businesses since April 2020, and 6,750 businesses have securing £262m in Government loans. • Coventry City Council’s major SME support programmes continue to use flexibilities to enable the delivery of its business support services, particularly through video conferencing 1:1 support and most notably webinars, which continue to receive significantly higher levels of take-up than physical seminars held prior to March 2020. 		

		<ul style="list-style-type: none">• Coventry City Council's Employer Hub is working with Jobcentre Plus' Rapid Response Team to support SMEs that are considering making redundancies. It has established the Youth Hub as part of the Ambition Coventry programme to provide in-depth support to young people being made redundant. Working with CWLEP Growth Hub, Warwickshire County Council, CW Chamber of Commerce and Federation of Small Businesses, it also set up CW Employment Solutions, which is a portal providing local businesses with support with recruitment and help match local people to new vacancies.		
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Risk Ref - 022				Last Reviewed	
Children's Social Services Workforce Stability				January 2021	
Risk Description: If Children's Services fails to develop its workforce to reflect the way it needs to operate; it will result in social worker staff leaving leading to a deterioration in the level of service provided to children and young people.					
Planned Treatment:	Timescale	Progress to date:	Risk Manager	Control Status	
<p>Workforce planning; resource planning the Council's workforce needs for now and in the future.</p> <p>Supporting; refreshing the Council's employee engagement and ensure its employment practices are fit for purpose.</p> <p>Enabling: ensure the workforce has access to the tools to work smart and efficiently (technology/location/workstyle)</p> <p>Transforming: put in place an effective leadership & management development programme and a pay and reward framework that is effective and fit for purpose.</p> <p>Recruitment and retention strategies in place to retain experienced social workers</p>	Ongoing	<p>A robust Workforce Development Board is in place to monitor progress against the Workforce Development Strategy 2020/21. The Strategy will be updated in April 2021.</p> <p>The number of social work vacancies is currently high and is a concern. The COVID-19 pandemic has had an impact on this and made it difficult to recruit experienced social workers during this period. This has led to an increased use of agency staff and increased financial impact.</p> <p>There is difficulty to recruit agency social workers due to insufficient experienced social workers in the region. A shortage of social workers has led to higher caseloads and higher demand of work in the system.</p> <p>The current COVID-19 pandemic has seen case numbers rise significantly meaning the current establishment no longer provides enough capacity and a review of the workforce model against current activity (Nov-20) has highlighted significant risk with current caseloads and staff retention.</p> <p>Additional temporary funding has been agreed to fund additional social worker posts that have been impacted by increases in CIN, CP, LAC.</p> <p>Recruitment and retention initiatives are being explored to increase the number of experienced social workers appointed and to ensure that the offer for social workers supports and improves retention.</p> <p>The progression framework has been reviewed to further and strengthen the retention of social workers.</p>	Director of Children's Services	Red	

		<p>The Social Worker Academy provides support to newly qualified social workers into the service. This has seen the recruitment of 54 Newly Qualified Social Workers into the Academy since July 2018. In September 2020, a new cohort of 12 NQSW's commenced. The service has also agreed to fund additional Academy team for a temporary period to recruit more NQSW's to existing vacancies and reduce reliance on agency staff.</p> <p>A Comprehensive training offer is in place for Children's Services staff. A number of training courses continued to be delivered virtually as a result of the COVID-19 pandemic.</p>		
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Risk Ref - 023				Last Reviewed	
Elections				January 2021	
Risk Description: A loss of key staff or failure to comply with legislative requirements may result in a failure to deliver elections and increase the chance of an election petition being lodged, resulting in the need to rerun the election at significant cost and with severe reputational damage.					
Planned Treatment:	Timescale	Progress to date:	Risk Manager	Control Status	
The Council has detailed project plans, which are monitored by a high-level Project Board, Chaired by the Chief Executive.	Ongoing	This risk treatment is in place	Chief Executive	Amber	
Service contingency plans are in place. These include plans for the count venue, polling stations and ICT.	Ongoing	This risk treatment is in place			
The Council has experienced and trained staff who understand rules and procedures. Team leaders have received training delivered by the Association of Electoral Administrators.		This risk treatment is in place			
The Council follows detailed guidance provided by the Electoral Commission.		This risk treatment is in place			
The Council senior leadership team is gaining greater exposure and understanding of elections in order that there is greater resilience and the Council is less reliant on single individuals.		Senior officers are undergoing training for Returning Officers and verification and count training			
The Elections Service is receiving greater support from the wider Governance function to assist at the busiest times. For example, when elections need to be organised at short notice.		This risk treatment is in place			