

# Corporate Policy Development and Scrutiny Panel

**Date: Monday, 11th July, 2022**

**Time: 4.00 pm**

**Venue: Council Chamber - Guildhall, Bath**

**Councillors:** Karen Warrington, Winston Duguid, Mark Elliott, Andrew Furse,  
Lucy Hodge, Shaun Hughes, Hal MacFie, Alastair Singleton and Sally Davis



**Michaela Gay**

**Democratic Services**

Lewis House, Manvers Street, Bath, BA1 1JG

Telephone: [michaela\\_gay@bathnes.gov.uk](mailto:michaela_gay@bathnes.gov.uk), 01225 394411

Web-site - <http://www.bathnes.gov.uk>

E-mail: [Democratic\\_Services@bathnes.gov.uk](mailto:Democratic_Services@bathnes.gov.uk)

## NOTES:

1. **Inspection of Papers:** Papers are available for inspection as follows:

Council's website: <https://democracy.bathnes.gov.uk/ieDocHome.aspx?bcr=1>

2. **Details of decisions taken at this meeting** can be found in the minutes which will be circulated with the agenda for the next meeting. In the meantime, details can be obtained by contacting as above.

3. **Recording at Meetings:-**

The Openness of Local Government Bodies Regulations 2014 now allows filming and recording by anyone attending a meeting. This is not within the Council's control.

Some of our meetings are webcast. At the start of the meeting, the Chair will confirm if all or part of the meeting is to be filmed. If you would prefer not to be filmed for the webcast, please make yourself known to the camera operators.

To comply with the Data Protection Act 1998, we require the consent of parents or guardians before filming children or young people. For more information, please speak to the camera operator.

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The Council has a scheme to encourage the public to make their views known at meetings. They may make a statement relevant to what the meeting has power to do. They may also present a petition or a deputation on behalf of a group.

**Advance notice is required not less than two full working days before the meeting. This means that for meetings held on Thursdays notice must be received in Democratic Services by 5.00pm the previous Monday.**

Further details of the scheme can be found at:

<https://democracy.bathnes.gov.uk/ecCatDisplay.aspx?sch=doc&cat=12942>

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## Corporate Policy Development and Scrutiny Panel - Monday, 11th July, 2022

at 4.00 pm in the Council Chamber - Guildhall, Bath

### A G E N D A

1. WELCOME AND INTRODUCTIONS
2. EMERGENCY EVACUATION PROCEDURE

The Chair will draw attention to the emergency evacuation procedure as set out under Note 6.

3. APOLOGIES FOR ABSENCE AND SUBSTITUTIONS
4. DECLARATIONS OF INTEREST

At this point in the meeting declarations of interest are received from Members in any of the agenda items under consideration at the meeting. Members are asked to indicate:

- (a) The agenda item number in which they have an interest to declare.
- (b) The nature of their interest.
- (c) Whether their interest is **a disclosable pecuniary interest** *or* **an other interest**, (as defined in Part 2, A and B of the Code of Conduct and Rules for Registration of Interests)

Any Member who needs to clarify any matters relating to the declaration of interests is recommended to seek advice from the Council's Monitoring Officer or a member of his staff before the meeting to expedite dealing with the item during the meeting.

5. TO ANNOUNCE ANY URGENT BUSINESS AGREED BY THE CHAIRMAN
6. ITEMS FROM THE PUBLIC OR COUNCILLORS - TO RECEIVE DEPUTATIONS, STATEMENTS, PETITIONS OR QUESTIONS RELATING TO THE BUSINESS OF THIS MEETING

At the time of publication no notifications had been received.

7. MINUTES (Pages 7 - 12)
8. CABINET MEMBER UPDATE  
The Cabinet Member will update the Panel on any relevant issues. Panel members may ask questions on the update provided.
9. UPDATED CORPORATE RISK REGISTER (Pages 13 - 22)
10. PROCUREMENT POLICY ANNUAL UPDATE

There will be a presentation on this item at the meeting.

11. AEQUUS GROUP UPDATE

There will be a presentation on this item at the meeting.

12. PANEL WORKPLAN (Pages 23 - 26)

This report presents the latest workplan for the Panel. Any suggestions for further items or amendments to the current programme will be logged and scheduled in consultation with the Panel's Chair and supporting officers.

The Committee Administrator for this meeting is Michaela Gay who can be contacted on [michaela\\_gay@bathnes.gov.uk](mailto:michaela_gay@bathnes.gov.uk), 01225 394411.

**BATH AND NORTH EAST SOMERSET**

**MINUTES OF CORPORATE POLICY DEVELOPMENT AND SCRUTINY PANEL MEETING**

Monday, 9th May, 2022

Present:- **Councillors** Karen Warrington, Winston Duguid, Mark Elliott, Andrew Furse, Lucy Hodge, Shaun Hughes, Hal MacFie, Alastair Singleton and Sally Davis

**98 WELCOME AND INTRODUCTIONS**

The Chair welcomed everyone to the meeting.

**99 EMERGENCY EVACUATION PROCEDURE**

The Chair drew attention to the emergency evacuation procedure.

**100 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS**

There were none.

**101 DECLARATIONS OF INTEREST**

There were none.

**102 TO ANNOUNCE ANY URGENT BUSINESS AGREED BY THE CHAIRMAN**

There was none.

**103 ITEMS FROM THE PUBLIC OR COUNCILLORS - TO RECEIVE DEPUTATIONS, STATEMENTS, PETITIONS OR QUESTIONS RELATING TO THE BUSINESS OF THIS MEETING**

Councillor Joanna Wright made a statement regarding Cleveland Bridge. *A copy of the statement is attached to the minutes.*

Councillor Hughes stated that he shared the frustrations and asked why Councillor Wright had brought the statement to this Panel. Councillor Wright explained that the finance for the repairs sits with this Panel, the work has overrun so the Government Grant may have ended. Councillor Wright added that the bridge work may impact on the Clean Air Zone targets which could have financial implications.

Councillor Duguid proposed that the statement be referred to the Climate Emergency and Sustainability PDS Panel as transport sits within their remit. Councillor Wright stated that she found further delay challenging as the next meeting of the relevant Panel is 27<sup>th</sup> June 2022. Councillor Warrington stated that she would forward the statement to the CES Panel and ask them to address the issues raised.

## **Cllr Wright statement 20220509**

### **104 MINUTES**

The Panel confirmed the minutes of the previous meeting as a true record and they were duly signed by the Chair.

### **105 CABINET MEMBER UPDATE**

The Cabinet Member for Economic Development and Resources, Councillor Richard Samuel, updated the Panel on the following:

#### Finance

- Work is ongoing on the outturn report which will be reported to Cabinet in July 2022.
- Regarding the Council Tax energy rebate – direct debit payers should receive their payment this week. The officers are working on payment for the non direct debit payers.

#### Economic Development

- The Milsom Quarter Master Plan was launched last week, there was also a Councillor briefing. It is a comprehensive package and there will now be a 3 month consultation period as it is the public's city and they should have a say. The Cabinet will receive the outcomes of the consultation and will consider the proposals for adoption. This will then feed into the Local Plan.
- The Somer Valley Enterprise Zone proposals will be going out to consultation on 19<sup>th</sup> May 2022 for 28 days.
- Bath Quays South – two tenants have already signed up but it is difficult to market a building when it is a building site.
- Avon Street Car Park – we are expecting demolition in July.

#### Panel Members asked the following questions and made the following points:

In response to a query from Councillor Duguid, The Cabinet Member explained that the bridge would initially be open for tenants of the two building spaces at Bath Quays South. It is likely that contractors will leave the site at the end of December and public access will be at the start of next year.

Councillor Furse urged the Cabinet Member to ensure that there is a robust system to prevent fraud regarding the Council Tax energy rebate scheme and any software patch must be tested. The Cabinet Member stated that it was a balance to get the payments out but avoid fraud. He explained that while we were slower to get the Covid grants out, we avoided a lot of fraud in that process. There was no warning from the Chancellor on this, very short notice. All Council's are in the same situation. We will test the systems.

Councillor Furse asked that, in the development of the Milsom Quarter, it is remembered that we have residents in the city centre along with businesses.

Councillor Hughes thanked Councillor Samuel for his work in resolving the issues that were raised in the previous meeting regarding the Somer Valley Enterprise Zone.

## **106 CUSTOMER SERVICE STANDARDS**

Amanda George, Director of Business Change and Customer Services, gave a presentation to the Panel which covered the following:

- Customer Contact Strategy – What we know
- Customer Contact Strategy – 10 Principles
- The Strategy – by channel, we will ...
- 'Agile' Methodology for Projects
- Customer Contact Strategy – Current Programme
- Programme Progress – High Level Plan
- Customer Contact Strategy Governance
- Summary and Next Steps (Focus always on user needs)

Panel Members asked the following questions and made the following points:

Councillor Elliott stated that 'Agile' methodology suits some projects but not all. The officer agreed and explained that it was used for testing and trials.

Councillor MacFie explained some frustrations as a user/consumer of the system, he gave an example of waiting 5 hours for a phone response. He stated that while the organisation may be saving time, is this resulting in taking up the consumer's time. The officer responded that part of the methodology is to talk to service users and that information will feed into the process redesign. She explained that the goal was to improve user experience. Councillor Furse stated the importance of training and culture and also that there are internal customers who may struggle with some of the digital systems. The officer explained that any redesign must be fully embedded, there is a training and culture workstream which should benefit internal and external customers.

Councillor Duguid stated that 'Councillor Direct' was very valuable and asked about 'Fix My Street'. The officer explained that the system is perfectly good but needs some further development as some of the scripting is not up to standard. Most issues are relatively easy to resolve and most customer feedback is positive.

Councillor Singleton asked where Councillors sit in terms of customers. He stated that a lot of phone calls and emails go unanswered, he stated that this is inefficient and concerning. He stated that a resident had tried a Council number three times and it had rung out. The officer explained that there were currently too many numbers on the website and these contact points will be reduced. She stated that the volume of emails received can be extremely high. 'Councillor Direct' is a dedicated service.

Councillor Hughes stated that the email volume may be high because people have not had a response on the phone.

Councillor Hughes asked how surveys are carried out, are they all online. The officer explained that the Voicebox survey goes to a random selection of BANES residents and is paper based.

Councillor Hodge stated that she would rather look up the correct number than have the automated choices. She asked if the 'out of office' message is used for annual leave or when someone is busy. The officer responded that this would predominantly be used for annual leave.

Councillor Warrington stated that people want to phone a person if they get stuck with online systems. Online forms are frustrating if you are unable to save changes. She also pointed out that the figure of 94% quoted regarding internet access does not mean people can always get online due to issues such as rural broadband.

Councillor MacFie stated that when this item comes back to the Panel in 6 months, there will be the first dashboard of Performance Indicators which we can track. The officer agreed that progress can be shown.

The Panel **RESOLVED** to note the presentation.

## **107 CUSTOMER COMPLAINTS PROCESS**

David Langman, Customer Feedback and Standards Manager, gave a presentation to the Panel which covered the following:

- Requested discussion today – Overview of BANES policy and procedures for handling Customer Feedback with focus on complaints
- Customer Feedback
- Overview
- Complaint Process Stages
- Response Timescales
- Outcomes and Resolutions
- Statistics – Stage 1
- Statistics – Stage 2
- Statistics – Annual Trend

The officer explained that all information presented is in the public domain.

Panel members asked the following questions and made the following points:

Councillor Macfie asked how happy consumers are with the handling of complaints. The officer explained that users are contacted at the end of their journey and asked about this, feedback can be affected by the outcome of the complaint.

Councillor Hodge asked if the complaints officers had other areas of work. The officer explained that this function was added on to their main role and it depends on the size of the service as to how many complaints officers there are. It is a responsive role and there are varying volumes of work.



Councillor Hodge asked what percentage of cases are left open. The officer explained that the vast majority are closed in 15 days.

Councillor Hodge asked how it is decided when moving from Stage 1 to Stage 2. The officer explained that there is a suite of response templates including sign off protocols for what the customer can do if they are not satisfied with the result. We give information at each point on the next stage process.

Councillor Hodge asked if Councillors should direct people to the complaints process. The officer explained that there needs to be a triage process to sort out the difference between a request/reporting of a problem and a complaint.

Councillor Hughes asked how to find out why there has been a substantial increase in complaints in the last 2 years. The officer confirmed that there had been an increase in this time of lockdowns and Covid. This is in line with most other Councils and also the Ombudsman. People have spent more time at home and in their local environment/Council.

Councillor Hughes stated that 'Fix My Street' says a complaint is closed when it is not and asked how complaints are closed. The officer explained that letters are clear, if we do not hear back from someone in 30 days, we consider the complaint closed.

Councillor Singleton asked how vexatious complaints are dealt with. The officer explained that this is decided by the Council's Monitoring Officer. He added that there were a very small number of these cases.

The Panel **RESOLVED** to note the presentation.

## 108 PANEL WORKPLAN

The Panel noted the future workplan with the following request:

Councillor Duguid asked that an item on 'Aequus' be brought to the 11<sup>th</sup> July meeting and the item on 'Emerging Digital Data' be moved to the 26<sup>th</sup> September meeting.

The meeting ended at 5.52 pm

Chair(person) .....

Date Confirmed and Signed .....

**Prepared by Democratic Services**

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<b>Bath &amp; North East Somerset Council</b>	
Meeting:	<b>Corporate Policy Development &amp; Scrutiny Panel</b>
Meeting:	<b>11 July 2022</b>
Title:	<b>Risk Management Update</b>
Ward:	All
An open public meeting	
<b>List of attachments to this report:</b>	
Appendix 1 – Corporate Risk Register	

## 1 THE ISSUE

- 1.1 This report provides an update on the Council's risk management arrangements following the Panel meeting in March 2022.
- 1.2 The Council's Corporate Audit Committee has responsibility within its terms of reference for overseeing the risk management framework of the Council.

## 2 RECOMMENDATION

The Corporate Policy, Development & Scrutiny Panel is asked to:

- 2.1 Consider this update report and note the actions taken to further strengthen our risk management arrangements during last three months.
- 2.2 Note and consider the content of the corporate risk register.
- 2.3 Comment on any areas that would like to be considered within the refresh of the Council's Risk Management Strategy to be carried out later in 2022.

## 3 THE REPORT

- 3.1 On 28 March the Corporate PDS panel considered a report on the Council's risk management arrangements. The framework for how the Council identifies and manages risk was detailed in the report.
- 3.2 At the March meeting the Panel raised questions on cyber security and adaptation of council functions/facilities to the risks arising from the climate emergency. The Panel requested that the latest version of the Corporate Risk Register be presented to a future meeting (Appendix 1).
- 3.3 As Panel Members will be aware a number of significant geo-political risks have heightened in recent months which are causing a dynamic situation in relation to planning around mitigating actions. These obviously include the economic impacts from recent international events which are spiking energy costs along with significant uncertainty around broader costs bases for goods and services. This scenario could lead to an extended period of stagflation, i.e. high inflation and low growth or

recession which would impact both the Council directly and the community at large. Already reserves set aside to combat some of this risk, i.e. increased cost of energy are being exhausted at a faster pace than expected.

3.4 Answers to these issues are not straightforward and it is important to remember therefore that risk management is a dynamic tool, so changes in risk ratings, actions and assessments can change at very short notice.

3.5 For information a number of risk actions have been progressed following the Panel March meeting.

- Informal Cabinet has received a briefing on the council's risk register and received a copy of the register (3/5/22).
- Cabinet Members were encouraged to hold regular conversations with Directors and consider the content of the both the corporate and directorate risk registers.
- There has been good progress in the review of directorate held risk. The majority of directorate risk registers have been updated and it is envisaged that the remaining documentation will be produced over the coming weeks.
- The Director of Public Health has led the Covid 'look back, look forward' review and this partnership work is being fed into local outbreak management plans. It will be used to aid our preparation for the coming Autumn/Winter pressures.
- The Director of Sustainable Communities has tasked the newly appointed Head of Green Transformation to lead on assess organisational risk and required adaptations to the climate and ecological impacts. This area was identified as an area for improvement by the Panel.
- Further actions undertaken the include the development of our corporate risk dashboard, which now forms part of the council's integrated reporting framework. The dashboard will pull information primarily from the corporate risk register.
- The council's Corporate Management Team has received an update on the council's business continuity arrangements. A number of actions were agreed to strengthen arrangements to mitigate risk to critical services in the event of a major incident.
- The Avon and Somerset Local Resilience Forum has delivered a number of training exercises to test our partnership response to emergencies. These exercises are focused on the higher residual risks identified in our partnership risk register. Officers have participated in this training.

3.6 Next steps. For the next three months there we will focus on the production of the remaining directorate risk registers. The corporate risk management group steering group will meet in July. The agenda will include

- Consideration of escalating risks and key actions to mitigate risk.
- Subjects for discussion include insurance against a cyber-attack, the emerging community health and social care services model, inflationary pressures (including supply chains) and HR matters such as recruitment, retention and risk of industrial action.
- Outcomes in relation to risk management from the Grant Thornton VFM review.

3.7 Finally the Corporate Audit Committee will receive a report later in 2022 on a review and refresh of the Council's Risk Management Strategy. Whilst comments on the Strategy were positive when presented to the Panel in March the Strategy is due for review and so any comments on areas for improvement or amendment would be appreciated. This also includes comments on guidance on the risk management section for key decision making presented to Councillors.

#### **4 STATUTORY CONSIDERATIONS**

4.1 The council has statutory duties to plan and prepare for emergencies under the provisions of the Civil Contingencies Act 2004.

#### **5 RESOURCE IMPLICATIONS (FINANCE, PROPERTY, PEOPLE)**

5.1 There are no direct implications arising from this report.

#### **6 RISK MANAGEMENT**

6.1 This report details the council's approach to risk management.

#### **7 EQUALITIES**

7.1 Equalities impacts are considered and integrated into risk registers where appropriate.

#### **8 CLIMATE CHANGE**

8.1 Risk Management actions can impact directly on our approach to tackling the Climate Emergency, this report is not proposing specific actions and is an update for information only.

#### **9 OTHER OPTIONS CONSIDERED**

9.1 No options considered this is an update and information item requested by the Panel

#### **10 CONSULTATION**

10.1 The report is an information and update report and has been consulted with the Council's Chief Operating Officer and S151 Officer.

<b>Contact person</b>	Mandy Bishop – Chief Operating Officer Jeff Wring – Director – One West
<b>Background papers</b>	Risk Management – Overview of Arrangements. Report to the Corporate PDS Panel 28 March 2022 (item 84): <a href="https://democracy.bathnes.gov.uk/ieListDocuments.aspx?CIId=635&amp;MIId=5861&amp;Ver=4">https://democracy.bathnes.gov.uk/ieListDocuments.aspx?CIId=635&amp;MIId=5861&amp;Ver=4</a>
<b>Please contact the report author if you need to access this report in an alternative format</b>	





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Corporate Risk Register (Active Risks continue to updated)

	Theme	Service Area	Risk	Director Lead	Officer Lead	Q3 2021 Inherent risk	Q3 2021 Residual risk	Q4 2021/22 Inherent risk	Q4 2122 Residual risk	Q1 2223 Inherent risk	Commentary & Mitigating Actions	Q1 2223 Residual risk	Risk Change
1	Partnership Working	Economy & Growth	Risk that we do not maximise the opportunities to retain an influential role in the West of England area to deliver continued economic growth, skills and funding through the WEP/LEP, Western Gateway & City Deal	Sophie Broadfield	David Trethewey	HIGH	HIGH	HIGH	HIGH	HIGH	New WECA Mayor in place and revised priorities for WECA developed and discussed at WECA Committee. Elected members and senior officers continue to actively engaged in the WoE Joint Committee, LEP and liaise with colleagues regularly in WECA to ensure B&NES is engaged and can influence and align as necessary to maximise outcomes for the area. There continues to be differences of opinion on Governance and discussions continue. B&NES is also a member of the Western Gateway and continues to work closely with other LAs across the sub region and region, particularly around economic recovery and renewal, which includes infrastructure, transport, skills, supporting businesses and employment.	HIGH	NO CHANGE
2	Local Economy	Economy & Growth	Risk that we do not ensure our Economic Plan delivers a cohesive economic strategy to support employment and economic growth across the area and reduce inequalities	Sophie Broadfield	Simon Martin	HIGH	HIGH	HIGH	MEDIUM	HIGH	Economic Recovery and Renewal Strategy is under development from ERRB. This will aim to address business recovery and skills and employment issues in the context of the pandemic with key focus on a digital, green, healthy and inclusive economy. Steering Board set up with representatives from key sectors, business ambassadors and business networks. Strong read across to the wider WoE Economic Recovery and Renewal Taskforce with officers and Members involved. Series of shorter term measures also being developed - particularly for high streets, and town/city centres and skills - to support businesses to re-open as lockdown eases and social distancing can be maintained. Close working between Economy Team and Finance to ensure Small Business and Discretionary Business Grants schemes administered.  In addition a WECA Employment and Skills Taskforce was established in 2021 to focus on bringing together the partners that can tackle disadvantage and improve residents resilient in a challenging labour market.	MEDIUM	NO CHANGE
3	Housing	Economy & Growth	Risk that we do not deliver sustainable solutions to the housing needs for the wider community as detailed in the Council's development plan and meeting our targets for affordable and social housing	Sophie Broadfield	Simon Martin	HIGH	HIGH	HIGH	HIGH	HIGH	Following withdrawal of the JSP the Local Plan process will be developed alongside a Spatial Development Strategy for the WECA UAs. This has now been presented to the Cabinet in April and endorsed with a number of comments. The initial issues and options stage (known as Challenges and Choices) has been undertaken in two phases through comprehensive consultation with residents, businesses and stakeholders. Significant progress in reviewing governance arrangements between the Council and Aqueous and ADL pipeline now being refreshed and aligned.	MEDIUM	DECREASED
4	Infrastructure	Economy & Growth	Risk that we do not plan for and manage investment in our infrastructure at a local and regional level to meet housing & transport needs in our community including delivery of key projects (Capital Programme & Major Projects)	Sophie Broadfield	Simon Martin	MEDIUM	MEDIUM	HIGH	MEDIUM	HIGH	Capital Programme Strategy Group oversees the overall Capital Programme ensuring it aligns with Council priorities and WECA funding. Significant review of Capital programme management risks linked to new organisational structure and budget sign-off for 22/23. Pixash project required significant review and re-assessment of risks and financing to re-align on future priorities. Other new funding provided for Highways maintenance, waste infrastructure, keynsham memorial park bridge, fleet management, cremators, oaks and play areas, entry hill, property maintenance, cctv, affordable social housing, carswood day centre, schools/send, transport, pay and display machines.	MEDIUM	NO CHANGE
5a	Climate Emergency - Adaption & Community Resilience	Economy & Growth	Risk that the Council does not adapt its own operations to reduce the impacts of Climate Change and make them more resilient for the community to meet the challenges ahead.	Sophie Broadfield	Jackie Clayton/Louise Morris	HIGH	HIGH	HIGH	HIGH	HIGH	Climate Emergency Strategy and Action Plan reported on to full Council in May 2022. This highlighted the many areas of progress and roadmap towards our 2030 targets. Methods continue to be established to measure progress and performance in overall emissions. Additional work required to identify progress indicators across areas – will allow us to monitor progress more quickly.  Ongoing Carbon Literacy training established and available for booking on CPD, team leaders urged to nominate representatives to attend in order to support team plans.	HIGH	NO CHANGE
5b	Climate Emergency - Reducing Carbon Emissions	Economy & Growth	Risk that the Council does not meet its 2030 net zero ambitions by not actively planning for its operations to reduce emissions and provide an adequate community leadership role.	Sophie Broadfield	Jackie Clayton/Louise Morris	HIGH	HIGH	HIGH	HIGH	HIGH	Climate Emergency Strategy and Action Plan reported on to full Council in May 2022. This highlighted the many areas of progress and roadmap towards our 2030 targets. Methods continue to be established to measure progress and performance in overall emissions. Additional work required to identify progress indicators across areas – will allow us to monitor progress more quickly.  Ongoing Carbon Literacy training established and available for booking on CPD, team leaders urged to nominate representatives to attend in order to support team plans.	HIGH	NO CHANGE

Corporate Risk Register (Active Risks continue to updated)

6	Transport	All	Risk that Covid-19 leads to long term impacts on public transport infrastructure and transport providers and ability to maintain progress around active travel, livable neighbourhoods and CAZ	Mandy Bishop & Sophie Broadfield	Chris Major/Pam Turton	HIGH	MEDIUM	HIGH	MEDIUM	HIGH	Cabinet received report on 'Journey to Net Zero - Reducing the environmental impact of travel in Bath' in May 2022, report, plans and recommendations endorsed. Close working with WECA and associated transport bodies on public transport infrastructure including Strategic Rail and Bus Strategies and Mass Transit opportunities continues.  Successful funding has been secured in support of Active Travel and a large number of consultation underway with good progress being made in discussions with local communities. Government have also indicated they are moving to local authority allocations rather than bidding for the distribution of future funds with more details expected shortly.  Critical short-term risk is the viability of bus services as we move into the post-COVID world and emergency Government support is withdrawn. Mitigating this will involve close work with both bus operators and WECA given many services operate cross-boundary. Issues remain but a 1 year review has been agreed with WECA.	MEDIUM	NO CHANGE
7	Partnership Working	Adults	Risk that we do not work effectively in partnership with the Health Sector and Care providers in supporting joined up services to the most vulnerable in our community, i.e. HCRG Contract, use of the BCF and joint commissioning with Health	Mandy Bishop	Suzanne Westhead	HIGH	MEDIUM	HIGH	MEDIUM	HIGH	Existing contract under significant review following decision to sell Virgin Care to 20/20 Capital (HCRG) and decisions on extension of existing contract which were assessed by Cabinet in June 2022. Urgent due diligence exercise was carried out to assess options and position, complex financial, legal and service risks were all re-assessed. Cabinet recommended that an extension is not granted and the Council is now assessing its pathway to redesign and re-commissioning these services whilst the Contract runs down over the next two years. Likely this will involve significant cost and resource in order to get the best outcomes for the Community and options for project management resource being assessed.	HIGH	INCREASED
8	Safeguarding	Children's	Risk that we do not fulfil our statutory duties to safeguard Children & Vulnerable Adults	Mandy Bishop	Mary Kearney-Knowles	HIGH	MEDIUM	HIGH	MEDIUM	HIGH	We have continued to meet our safeguarding responsibilities - the pandemic has meant that we had to risk assess very carefully and we continued to respond to all safeguarding concerns.	MEDIUM	NO CHANGE
9	Social Care	Children's	Risk that we are unable to meet the increased costs of looking after children with complex needs in a sustainable way whilst safeguarding the most vulnerable	Mandy Bishop	Mary Kearney-Knowles	HIGH	MEDIUM	HIGH	MEDIUM	HIGH	Post Covid restrictions there are potentially long term covid implication in terms of the number of children whom we care for in terms of referrals/trends as increases being seen across the whole service in terms of demand pressures. There continues to be pressure arising from the costs of care although mitigations are in place i.e. recommissioning of specific accommodation types and a renewed energy in recruiting more foster carers.	MEDIUM	NO CHANGE
10	Social Care	Children's	Risk that we do not transform Children's Services to deliver an effective service, manage the market demands and demographic changes on the cost of childrens social care within available resources	Mandy Bishop	Mary Kearney-Knowles	HIGH	MEDIUM	HIGH	MEDIUM	HIGH	Post Covid restrictions and impacts on provider markets this risk remains fluid, initially with regard to children and young people's placement costs, there has not been the same pressure as in adults to date. However this is under review and a regional project group has started to look at how we might stimulate the market to provide placement choice/sufficiency.	MEDIUM	NO CHANGE
11	Social Care	Adults	Risk that we do not transform Adult Social Care Services to deliver an effective service, manage the market demands and demographic changes on the cost of adult social care within available resources	Mandy Bishop	Suzanne Westhead	HIGH	HIGH	HIGH	HIGH	HIGH	The pandemic has had a significant impact on many providers of care homes for older people who now have an occupancy rate, on average, of 85% - whilst this has been the consequence of a downturn in demand we are expecting a rise in the cost of such care going forward.  Domiciliary care providers have experienced an increase both in people coming forward to work in the sector and in requests for care packages so there are not the same pressures. The pandemic has brought forward our thinking about reshaping the market as potential service users are indicating a wish to remain in the community.	HIGH	NO CHANGE
12	Resource Management	Finance	Risk that we are unable to set a medium term financial plan demonstrating that we can operate within the available funding envelope, and satisfy S25 of the Local Government Act.	Andy Rothery	Gary Adams	HIGH	HIGH	HIGH	MEDIUM	HIGH	Budget approved in February 2022 and MTFS for 2022 - 2027 approved in September 2021. The spending review and local government settlement along with the council's transformation and savings plans provided the council with a robust balanced budget for 2021/22. Uncertainty and therefore risk remains for future years as the economic impacts of the COVID and Brexit are unknown as well as Government future funding plans. Extensive budget modelling for 22/23 and beyond was undertaken to manage budget gaps and match investment with priorities.	MEDIUM	NO CHANGE
13	Resource Management	All	Risk that we do not manage budgets effectively in-year by not identifying and mitigating financial pressures.	Andy Rothery	Gary Adams	HIGH	HIGH	HIGH	MEDIUM	HIGH	We achieved a balanced budget for 22/23 whilst our outturn for 21/22 was positive enabling the Council to maintain financial planning reserves, however MTFS savings and transformation required further work and redesign as a result of the significant impacts of Covid on our income streams. Pressures and risks as a result of wider geo-political issues under constant review, i.e. Energy, Inflation risks	MEDIUM	NO CHANGE
14	Resource Management	All	Risk that global and national issues post Covid-19/BREXIT adversely affects the cost of goods/services (i.e. Inflation/Cost of Living/Energy) and these lead to impacts around future viability of our business critical providers, contractors and suppliers.	Andy Rothery	Gary Adams	MEDIUM	LOW	HIGH	HIGH	HIGH	The Council as part of prudent financial planning put aside specific contingency reserves to tackle emerging and growing risks around inflation, general uncertainty of costs for goods and services etc. This is a very fast paced risk with a number of uncertain variables outside of the control of the Council, however progress has been made on fixing energy costs to attempt to cap the excessive costs being charged. The risks here affect all services, our community, the Council's own cashflow and remain under constant review.	HIGH	NO CHANGE

Corporate Risk Register (Active Risks continue to updated)

15	Transformation	Business Change	Risk that we are not preparing for the future in terms of transforming how we deliver services to our residents and customers through the introduction of a robust customer contact strategy and coordinated plan	Mandy Bishop	Amanda George	HIGH	HIGH	MEDIUM	MEDIUM	MEDIUM	PFF programme completed in terms of the re-opening of re-fitted offices at Keynsham and allowing a managed return to the office environment. Significant flexibility allowed within the model to work at different locations and fully utilise the upgrade in the technology offer to staff. Work on the Customer Contact Strategy continues with significant work in Highways and all front facing services will be reviewed to deliver meaningful change for the customer.	LOW	DECREASED
16	IT	All	Risk that despite protecting the Council's systems and essential data from Cyber attacks, malicious attempts to damage critical services within the Council could be disruptive.	Andy Rothery	Jeff Wring	HIGH	HIGH	HIGH	HIGH	HIGH	SOCITM review identified major improvements and a two year investment programme finalised which is now being implemented alongside a Cyber Essentials accreditation process. Ukraine situation has heightened risks along with a spate of attacks on public sector bodies. Reasonable levels of assurance can be attained by following the principles laid out by Government Digital Services and the National Cyber Security Agency. Maintaining PSN compliance and obtaining Cyber Essentials accreditation will assist the council to address the key areas of cyber risk which includes the ongoing education of the	HIGH	NO CHANGE
17	Procurement	All	Risk that we do not prioritise procurement and commissioning opportunities to both deliver on Corporate Priorities and deliver VFM to the Council.	Andy Rothery	Jeff Wring	HIGH	MEDIUM	HIGH	MEDIUM	MEDIUM	A new Procurement Strategy was agreed by Cabinet in September 2021 focussed on think local, think climate, think innovative. An implementation plan is now being worked through to update policies, i.e. Social Value, rules and awareness through pro-active training. All of these improvements will be overseen by the Procurement Steering Group with overview and escalation to CMT where necessary. Green Paper on the future of public procurement regulations has been published and due for review by Parliament in 2023. See also connection to inflation and cost of goods/services risk.	MEDIUM	NO CHANGE
18	Workforce Resilience	People & Policy	Risk that we are unable to recruit and retain appropriate levels of skilled staff to ensure delivery of services to the public and prevent reduced performance and impacts on service delivery	Cherry Bennett	Jackie Vowles	LOW	MEDIUM	MEDIUM	MEDIUM	HIGH	Staff vacancy rate currently 12% and significant difficulties in recruiting to a number of posts - including HGV drivers, CEOs, social workers,engineers exacerbated by low supply of agency workers. Golden hello and retention policy agreed and implemented from 1 Dec for hard to fill roles. Additional recruitment post in HR from April 2022. Some targeted recruitment work (adverts, videos, images) underway.	MEDIUM	NO CHANGE
19	Health & Safety	People & Policy	Risk that we are unable to adequately safeguard the Health, Safety and Welfare of our staff. (Including Mental Health)	Cherry Bennett	Tracy Curtis	HIGH	MEDIUM	HIGH	MEDIUM	MEDIUM	Long-term impact of Covid and significant pressure on teams, capacity and budgets affecting health, safety and wellbeing of people and services. HSWB team fully resourced (with additional senior post), Manager compliance reviews undertaken and action plans produced, RAs in place and overseen by corporate steering group. Impact of Covid on individuals and teams understood through impact of covid focus groups. MHFAs and Health Champions across organisation, Stress Toolkit developed alongside RAs and training for managers and individuals. Absence rates and OH referrals monitored.	MEDIUM	NO CHANGE
20	Emergency Management/ Workforce Resilience	Public Health	Risks to the council's operational effectiveness and productivity due to the demands of unplanned emergencies and being unable to work safely and flexibly	Mandy Bishop & Cherry Bennett	Rebecca Reynolds & Lynda Deane	HIGH	MEDIUM	HIGH	MEDIUM	MEDIUM	Staff absence has remained below projected levels. Unlocking has shifted focus and pressures to teams involved in planning and managing reopening. Teams impacted throughout the pandemic such as ASC, EPRR, Public Health and Regulatory Services risk long term fatigue. Initiatives to promote wellness and work life balance for example, leave purchase. Mental health champions will provide some mitigation for this but risk remains	LOW	DECREASED
21	Corporate Governance	Finance & People & Policy	Risk that the Council's reputation is severely damaged or subject to legal challenge arising from a failure in Corporate Governance, i.e. inability to make essential decisions	Andy Rothery & Cherry Bennett	Michael Hewitt & Jeff Wring	MEDIUM	LOW	MEDIUM	LOW	MEDIUM	Constitutional refresh in progress through a Member working group, LGA Training offered and carried out in September. All meetings operating to latest rules and guidance with regard to Covid, no decision making issues. Concerns raised with regard to decision making at WECA, recent meeting in November cancelled and discussions ongoing.	LOW	NO CHANGE
22	Corporate Governance	Avon Pension Fund	Risk that we do not carry out our statutory duties in relation to the administration and governance of the Avon Pension Fund	Jeff Wring	Liz Woodyard/Geoff Cleak	MEDIUM	LOW	MEDIUM	LOW	HIGH	B&NES has established a Pensions Committee, Investment Panel, Pensions Board and entered pooling with Brunel Pensions Partnership Ltd. The fund is almost £6BN with over 400 employees and the latest 3 year valuation exercise is about to commence to establish level of deficits/surpluses plus detailed analysis of employer costs. Investment Strategy due for refresh late 2022 into 2023 and significant work ongoing to increase the opportunity of meeting the 2023 net zero targets. This continues to affect continued	MEDIUM	INCREASED

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## CORPORATE POLICY DEVELOPMENT AND SCRUTINY PANEL

This Forward Plan lists all the items coming to the Panel over the next few months.

Inevitably, some of the published information may change; Government guidance recognises that the plan is a best assessment, at the time of publication, of anticipated decision making. The online Forward Plan is updated regularly and can be seen on the Council's website at:

<http://democracy.bathnes.gov.uk/mgPlansHome.aspx?bcr=1>

The Forward Plan demonstrates the Council's commitment to openness and participation in decision making. It assists the Panel in planning their input to policy formulation and development, and in reviewing the work of the Cabinet.

*Should you wish to make representations, please contact the report author or, Democratic Services . A formal agenda will be issued 5 clear working days before the meeting.*

*Agenda papers can be inspected on the Council's website.*

Ref Date	Decision Maker/s	Title	Report Author Contact	Director Lead
<b>11TH JULY 2022</b>				
11 Jul 2022	Corporate Policy Development and Scrutiny Panel	Updated Corporate Risk Register	Jeff Wring Tel: 01225 477323	Chief Operating Officer
11 Jul 2022	Corporate Policy Development and Scrutiny Panel	Procurement Policy Annual Update	Richard Howroyd Tel: 01225 477334	Chief Finance Officer (S151)
11 Jul 2022 Page 22	Corporate Policy Development and Scrutiny Panel	Aequus Update (likely to be held in private session)	Andy Rothery Tel: 01225 477103	Chief Finance Officer (S151)
<b>26TH SEPTEMBER 2022</b>				
26 Sep 2022	Corporate Policy Development and Scrutiny Panel	Equality Improvement Plan	Louise Murphy	Director of People and Policy
26 Sep 2022	Corporate Policy Development and Scrutiny Panel	Emerging Digital Data	Jeff Wring Tel: 01225 477323	Chief Operating Officer
<b>28TH NOVEMBER 2022</b>				

Ref Date	Decision Maker/s	Title	Report Author Contact	Director Lead
<b>ITEMS TO BE SCHEDULED</b>				
	Corporate Policy Development and Scrutiny Panel	Parish Charter	Dave Dixon	Director of People and Policy
The Forward Plan is administered by <b>DEMOCRATIC SERVICES:</b> Democratic_Services@bathnes.gov.uk				

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