

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

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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

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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