

B&NES Corporate Risk Register

Corporate Management Team

Jan-24

Nr	Service Area	Risk Description	Director Lead	Inherent Risk - Pre Action						Mitigations & Management										Action Plans			Residual Risk - Post Action						Risk Management Approach & Assessment							
				Likelihood			Impact			Commentary on Current Status of Action Plans										Current Status			Likelihood			Impact			This Period	Risk Maturity	Risk Tolerance	Risk Change				
				1	2	3	1	2	3	1	2	3	4	5	L	M	H	1	2	3	4	5														
101	Sustainable Communities	Climate Emergency (Adaption & Resilience) - 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			4				Climate Emergency Strategy and Action Plan reported on to full Council. This highlighted the many areas of progress and roadmap towards our 2030 targets. There is further work still required to map out our Strategy and Plans to reduce this major risk for our communities. Cllr Leach has been appointed as lead following the elections and the Council is reviewing the budget requirement to progress work on adaptation as part of Budget setting for 24/25. There is still significant long-term work to complete as this risk remains both significant and highly complex.	Potentially Off-Target			3															12	Open	Moderate	No Change				
102	Sustainable Communities	Climate Emergency (Reducing Emissions) - 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			4				Climate Emergency Strategy and Action Plan reported on to full Council. This highlighted the many areas of progress and roadmap towards our 2030 targets. Meeting these targets or even exceeding them remains achievable but is directly linked to the level of investment and funding to achieve this challenging 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. Climate and nature impacts embedded into corporate strategy decision tool. Budget decisions will need to use the decision tool to prioritise efforts to reduce emissions and support officers in embedding this priority across our wider governance structure.	On Target			2																	8	Open	Moderate	No Change		
103	Sustainable Communities	Partnership Working - Risk that we do not maximise the opportunities to retain an influential role in the sub-region through effective partnership working in the West of England area to deliver continued economic growth, skills and funding through the WEP/LEP, Western Gateway & City Deal	Sophie Broadfield			4				Ongoing discussions around governance and relationships with WECA both before and following recent audit reviews on governance and value for money. A review from SOLACE identified an improvement plan to get all stakeholders back on track in terms of future priorities. WECA have created a Transformation Programme to take this work forward and following local elections new administrations from the constituent authorities continue with the dialogue as progress continues to be slower than expected. WECA however remains a critical partner to lead on major infrastructure improvements across the region so its success or otherwise in delivering on its responsibilities is a significant risk to B&NES and its ambitions. B&NES is also part 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.	On Target			3																9	Cautious	Low	No Change			
104	Children	Transport - a) Home to School Transport - Risk that due to escalating costs from contractors and a lack of resilience in the market place we are unable to support delivery of services to vulnerable children; b) Risk that re-procurement related to Passenger Transport for 2024 will increase financial pressures for all transport related activity by highly significant amounts leading to service delivery failures	Chris Major/Chris Willford			3				Sector has been significantly impacted through Covid and with inflationary pressures that have led to immediate impacts in terms of availability of skilled drivers, costs associated with pay, fuel, insurance and other costs. In addition increased demand through SEND etc has led to significant overspends in 2022/23 and forecast overspends in 2023/24 of £1M+. Council instigated a number of pieces of work to look at options to maximise route planning, key criteria around usage and engagement with providers. Further risks exist in this area around a re-procurement of Transport in 2024 which could 'bake-in' the inflationary costs already experienced and could lead to continued financial pressures. Again work is underway assessing delivery options and external Transport specialists have reviewed the demand and supply side efficiencies and costs and the internal financial growth requirements for 24/25 to validate them. Officers continue to work with our specialists to identify business cases to deliver cashable efficiencies around 4 key areas and to inform the MTFs.	Potentially Off-Target			3																		12	Minimal	Low	Worsening	
105	Children	Childrens - Risk that the Council is unable to manage the budget deficit for the dedicated schools grant with the Department for Education, impacting on future education spending	Mandy Bishop/Chris Willford			3				The Council is behind schedule with its existing recovery plan through the DSG safety valve programme (£1.53M behind plan at March 2023 with £3M overspend position as at Oct 2023). The Council will therefore work with the DFE to submit a new Safety Valve Plan by March 24. In the lead up to this deadline the Council will: •Deliver a commissioned external review of our plan/recommendations – including a series of additional budget lines to explore, with a scale of risk vs acceptability •Accelerate development of SEND Alternative Provision (AP) Advice Line – to increase early help and reduce need for Education, Health and Care Plan (EHCP) assessments •Review of all SEND packages of care – Provide Assurance that the LA is not over providing, utilising external expertise. •Review overhead provision •Capital investment – 7 New Resource bases, 2 Free Schools, AP & SEND (1 to be finalised) 1 Residential School. The LA is also building a 16-25 residential facility at a SEND Further Education (FE) college facility. The LA is providing additional capital investment and land as part of its commitment to SEND in our local area and to reduce independent placement costs. •Ensure the SEND team is fully staffed to enable robust decision making and leadership of Safety Valve workstreams •Further recovery actions to be reviewed and agreed by 31/03/24	Off Target			4																		12	Averse	Low	Worsening	
106	Sustainable Communities	Housing - 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 meet our targets for affordable and social housing	Sophie Broadfield, Simon Martin			3				Affordable housing has been identified as a key priority in the Corporate Strategy and Local Plan (now under consultation). To reduce the risk and mitigate market failure on the supply of affordable homes, the Council is producing a Housing Delivery Plan for publication in Quarter 1 2024/5 The Plan establishes the organisation's role alongside partners in direct delivery of more affordable and social housing. Resource planning is incorporated within the Budget for both additional resource and capital. Governance implications will be addressed through the production of the Plan.	On Target			2																	10	Cautious	Low	No Change		
107	Asset Management	Infrastructure - Risk that we do not plan for and manage investment in our infrastructure at a local and regional level to meet the infrastructure needs in our community through our Capital Programme & other Grant Funded Schemes (WECA) - I.e. Housing, Transport, Structures, Economic Development	Simon Martin/Chris Major			3				An updated Infrastructure Plan is being produced alongside the new Local Plan to capture the district's infrastructure requirements to cope with new growth. Council Delivery plans for transport, housing, climate & nature are in preparation (Housing and transport for completion in Spring) to set capital priorities. Existing highway infrastructure investment has been maintained to deliver 'steady state' for the last 2 years. Programme & Project Management maturity audits undertaken in WECA and B&NES Council to identify improvement actions to reduce capital programme risk and improve infrastructure delivery pace.	On Target			2																	8	Cautious	Low	No Change		
108	Asset Management	Asset Management - Risk that we do not address and deliver sufficient resource to ongoing maintenance of key infrastructure assets, i.e. Pulteney Bridge, Vaults & Strategic Assets which could lead to significant transport, health and community impacts	Simon Martin, Mandy Bishop, Chris Major			3				Maintenance Plans are in place for all Strategic Assets however they are often of a very short nature and in some cases it is difficult and complex to compile long term plans (or views) for mitigation of potentially unsafe structures, i.e. Vaults. Effects of severe weather, i.e. heavy rain has seen certain buildings continue to cause concern (Bath Library) and therefore impacts of structural failure could be highly significant on many fronts and therefore this risk remains high. Further updates provided through the Capital Strategy Group. Vacancies in key posts, such as structures, have been hard to fill and remain vacant, which results in reliance in external consultants to keep our programme of work on track. Developed the asset management plan and using technology to identify and prioritise investment. This needs to include structures, lighting and signals. Cross Directorate working groups in place to manage issues where necessary such as Pulteney Bridge. Failure in the vaults (private and publicly owned) within the city may result in utility damage and road closure / evacuation causing delay and disruption on the network. Need to progress further inspections and remedial programme plus private vaults will remain a risk. Funding identified in CBSTS prospectus but this only mitigates a small part of the overall risk and this risk retains a high residual level.	Potentially Off-Target			2																			8	Averse	Low	No Change
109	Resources	Statutory Compliance - Risk that the Council is unable to deliver on its duties as a landlord managing complex compliance risks around fire and building safety to its users and tenants from its major Corporate & Commercial Estate holdings	Simon Martin/Andy Rothery			4				Regular reports provided into Property Board and H&S Steering Group. Compliance Manager appointed and programme of compliance works undertaken to estate assets. Some Fire safety works remain alongside the larger issues of quality of data and disparate systems across the Corporate Estate. Service transformation work underway to improve this in order to provide greater assurance but this is a long term project which will start to deliver benefits through 2024/5. Void property risks are being managed through the Asset Plan and asset challenge Framework to reduce Council holding liabilities where assets are surplus to need.	Potentially Off-Target			3																		12	Averse	Nil	No Change	

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			Officer Lead	L	M	H	L	M	H			L	M	H	L	M	H				
020	Resource	Corporate Governance - 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 or failure to engage key stakeholders in key decisions or changes to service delivery	Andy Rothery, Michael Hewitt, Jeff Wring			4			4	Constitutional refresh completed through a Member working group, LGA Training offered and carried out. Following elections new roles all now allocated and new administration and committee's set-up and in full operation with support and training from officers. All meetings operating to latest rules and guidance with no decision making issues. Previously concerns raised with regard to decision making at WCEA which is relevant to Risk 3 above but there are no significant concerns internally with our own processes. Major new improvement programme about to start on Financial Governance (Financial Systems) which will include review and refresh of Financial Regulations and Contract Standing Orders and associated governance procedures.	On Target	1					3	3	Minimal	Low	No Change
020	Resource	Pensions & Financial Stability - Risk that we do not carry out our statutory duties in relation to the administration and governance of the Avon Pension Fund leading to significant financial risk for employers & the administering authority (B&NES) - (Fund is a top 10 Fund in LGPS with a value in excess of £5.5BN)	Jeff Wring/ Nick Dixon		3				5	B&NES has established a Pensions Committee, Investment Panel, Pensions Board and entered pooling with Brunel Pensions Partnership Ltd. The fund is over £5.5BN with over 450 employers and the latest 3 year valuation exercise has been completed which establishes level of deficits/surpluses plus detailed analysis of employer costs (Achieved funding at 98%) Investment Strategy has also been approved in April 2023 and key activity currently revolves around risk management strategies to manage economic volatility and significant work ongoing to increase the opportunities of contributing to the 2030 net zero targets. This continues to attract continued scrutiny from employers within the Fund and put pressure on governance mechanisms and remains the most significant risk to the viability of the Fund in the short and long-term (Cash Flow etc). A revised risk management strategy has been endorsed with Investment Panel during Q2 and extensive employer and member engagement sessions around our Net Zero targets have commenced in Q2 and completed in Q3 with a review by Pensions Committee at its December 2023 meeting which accelerated Net Zero Targets and Investment in Climate friendly technology.	On Target	2					4	8	Minimal	Low	Improving