

# Overview and Scrutiny Management Board Agenda



**Date:** Monday, 12 February 2024

**Time:** 2.00 pm

**Venue:** The Council Chamber - City Hall, College Green, Bristol, BS1 5TR

## **Distribution:**

**Councillors:** Tony Dyer (Chair), Mark Bradshaw (Vice-Chair), Geoff Gollop, Brenda Massey, David Wilcox, Martin Fodor, Steve Smith, Christine Townsend, Andrew Brown and Steve Pearce

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**Date:** Friday, 2 February 2024



# Agenda

## 1. Welcome, Introductions and Safety Information

(Pages 4 - 6)

## 2. Apologies for absence.

## 3. Declarations of Interest

To note any declarations of interest from the Councillors. They are asked to indicate the relevant agenda item, the nature of the interest and in particular whether it is a **disclosable pecuniary interest**.

Any declarations of interest made at the meeting which is not on the register of interests should be notified to the Monitoring Officer for inclusion.

## 4. Minutes of the previous meeting.

Minutes of the OSMB meetings held on 4<sup>th</sup> December 2023 and 18<sup>th</sup> January 2024 to follow.

## 5. Chair's Business

To note any announcements from the Chair

## 6. Public Forum

Up to 30 minutes is allowed for this item

Any member of the public or Councillor may participate in Public Forum. The detailed arrangements for so doing are set out in the Public Information Sheet at the back of this agenda. Public Forum items should be emailed to [scrutiny@bristol.gov.uk](mailto:scrutiny@bristol.gov.uk) and please note that the following deadlines will apply in relation to this meeting:-

Questions - Written questions must be received 3 clear working days prior to the meeting. For this meeting, this means that your question(s) must be received in this office at the latest by 5 pm on **6<sup>th</sup> February**

Petitions and Statements - Petitions and statements must be received on the working day prior to the meeting. For this meeting this means that your



submission must be received in this office at the latest by 12.00 noon on **9<sup>th</sup> February 2024**

## **7. Work Programme**

To note the work programme.

**(Pages 7 - 11)**

## **8. Mayor's Forward Plan - Standing Item**

The Forward Plan published on 8<sup>th</sup> January 2024 was considered at the OSMB meeting held on 18<sup>th</sup> January 2024. The subsequent Forward Plan is expected to be published shortly and will be available here: [Mayor's Forward Plan](#)

## **9. Minutes from the WECA Overview and Scrutiny Committee - for information (standing item)**

## **10. Q3 2023-24 Corporate Risk Report**

**(Pages 12 - 68)**

## **11. Bristol Holding Limited Group Company Business Plans 2024/25**

Containing the 2024-25 Business Plans of

- Bristol Holding Limited
- Goram Homes Limited
- Bristol Waste Limited

**(Pages 69 - 118)**

## **12. Exclusion of Press and Public**

That under s.100A(4) of the Local Government Act 1972, the public be excluded from the meeting for the following item(s) of business on the grounds that it (they) involve(s) the likely disclosure of exempt information as defined in paragraph 3 of Part 1 of schedule 12A of the Act.

## **13. Bristol Waste Company Business Plan**

**(Pages 119 - 126)**



# Public Information Sheet

## Inspection of Papers - Local Government (Access to Information) Act 1985

You can find papers for all our meetings on our website at [www.bristol.gov.uk](http://www.bristol.gov.uk).

## Public meetings

Public meetings including Cabinet, Full Council, regulatory meetings (where planning and licensing decisions are made) and scrutiny will now be held at City Hall.

Members of the press and public who plan to attend City Hall are advised that you may be asked to watch the meeting on a screen in another room should the numbers attending exceed the maximum occupancy of the meeting venue.

## COVID-19 Prevention Measures at City Hall (from March 2022)

When attending a meeting at City Hall, the following COVID-19 prevention guidance is advised:

- promotion of good hand hygiene: washing and disinfecting hands frequently
- while face coverings are no longer mandatory, we will continue to recommend their use in venues and workplaces with limited ventilation or large groups of people.
- although legal restrictions have been removed, we should continue to be mindful of others as we navigate this next phase of the pandemic.

## COVID-19 Safety Measures for Attendance at Council Meetings (from March 2022)

Government advice remains that anyone testing positive for COVID-19 should self-isolate for 10 days (unless they receive two negative lateral flow tests on consecutive days from day five).

We therefore request that no one attends a Council Meeting if they:

- are suffering from symptoms of COVID-19 or
- have tested positive for COVID-19

## Other formats and languages and assistance for those with hearing impairment

You can get committee papers in other formats (e.g. large print, audio tape, braille etc) or in community languages by contacting the Democratic Services Officer. Please give as much notice as possible. We cannot guarantee re-formatting or translation of papers before the date of a particular meeting.

Committee rooms are fitted with induction loops to assist people with hearing impairment. If you require any assistance with this please speak to the Democratic Services Officer.





## Public Forum

Members of the public may make a written statement ask a question or present a petition to most meetings. Your statement or question will be sent to the Committee Members and will be published on the Council's website before the meeting. Please send it to [scrutiny@bristol.gov.uk](mailto:scrutiny@bristol.gov.uk).

The following requirements apply:

- The statement is received no later than **12.00 noon on the working day before the meeting** and is about a matter which is the responsibility of the committee concerned.
- The question is received no later than **5pm three clear working days before the meeting**.

Any statement submitted should be no longer than one side of A4 paper. If the statement is longer than this, then for reasons of cost, it may be that only the first sheet will be copied and made available at the meeting. For copyright reasons, we are unable to reproduce or publish newspaper or magazine articles that may be attached to statements.

By participating in public forum business, we will assume that you have consented to your name and the details of your submission being recorded and circulated to the Committee and published within the minutes. Your statement or question will also be made available to the public via publication on the Council's website and may be provided upon request in response to Freedom of Information Act requests in the future.

We will try to remove personal and identifiable information. However, because of time constraints we cannot guarantee this, and you may therefore wish to consider if your statement contains information that you would prefer not to be in the public domain. Other committee papers may be placed on the council's website and information within them may be searchable on the internet.

### During the meeting:

- Public Forum is normally one of the first items on the agenda, although statements and petitions that relate to specific items on the agenda may be taken just before the item concerned.
- There will be no debate on statements or petitions.
- The Chair will call each submission in turn. When you are invited to speak, please make sure that your presentation focuses on the key issues that you would like Members to consider. This will have the greatest impact.
- Your time allocation may have to be strictly limited if there are a lot of submissions. **This may be as short as one minute.**
- If there are a large number of submissions on one matter a representative may be requested to speak on the groups behalf.
- If you do not attend or speak at the meeting at which your public forum submission is being taken your statement will be noted by Members.
- Under our security arrangements, please note that members of the public (and bags) may be searched. This may apply in the interests of helping to ensure a safe meeting environment for all attending.



- As part of the drive to reduce single-use plastics in council-owned buildings, please bring your own water bottle in order to fill up from the water dispenser.

For further information about procedure rules please refer to our Constitution <https://www.bristol.gov.uk/how-council-decisions-are-made/constitution>

### Webcasting/ Recording of meetings

Members of the public attending meetings or taking part in Public forum are advised that all Full Council and Cabinet meetings and some other committee meetings are now filmed for live or subsequent broadcast via the council's [webcasting pages](#). The whole of the meeting is filmed (except where there are confidential or exempt items). If you ask a question or make a representation, then you are likely to be filmed and will be deemed to have given your consent to this. If you do not wish to be filmed you need to make yourself known to the webcasting staff. However, the Openness of Local Government Bodies Regulations 2014 now means that persons attending meetings may take photographs, film and audio record the proceedings and report on the meeting (Oral commentary is not permitted during the meeting as it would be disruptive). Members of the public should therefore be aware that they may be filmed by others attending and that is not within the council's control.

The privacy notice for Democratic Services can be viewed at [www.bristol.gov.uk/about-our-website/privacy-and-processing-notice-for-resource-services](http://www.bristol.gov.uk/about-our-website/privacy-and-processing-notice-for-resource-services)



**Bristol City Council - Scrutiny Work Programme 2023 / 2024 (Formal Public Meetings)**

People Scrutiny Commission (PSC) Chair: Cllr Christine Townsend Scrutiny Support: Bronwen Falconer	Health Overview & Scrutiny Committee (HOSC) (Sub-Committee of PSC) Chair: Cllr Steve Smith Scrutiny Support: Johanna Holmes	Communities Scrutiny Commission (CSC) Chair: Cllr Martin Fodor Scrutiny Support: Ian Hird	Growth & Regeneration Scrutiny Commission (G&RSC) Chair: Cllr David Wilcox Scrutiny Support: Johanna Holmes	Resources Scrutiny Commission (RSC) Chair: Cllr Geoff Gollop Scrutiny Support: Ian Hird	Overview & Scrutiny Management Board (OSMB) Chair: Cllr Tony Dyer Scrutiny Support: Lucy Fleming
<b>July 23</b>					
<b>August 23</b>					
<b>September 23</b>					
<b>27.9.23, 6pm</b>		<b>14.9.23 5.00 pm</b>	<b>28.9.23 5.30pm</b>		<b>4.9.23, 3pm</b>
Annual Business Report		Annual Business report	Annual Business Report		Annual Business report
CQC Update		Parks funding	WECA / BCC Infrastructure Update (Transport)		Report from Climate Change Working Group
SEND Update: Standing Item		Parks and Green Spaces Strategy pre-consultation update (including Allotments and Food Growing Strategy)	Strategic CIL (Community Infrastructure Levy)		Quarter 4 Corporate Performance Report
Adult Social Care Transformation Programme Update: Standing Item		Update on Tree and Woodland Strategy	Temple Quarter Update		Latest Corporate Risk Report
Children and Education Transformation Programme Update: Standing Item		Quarter 4 Performance Report	Quarter 4 Performance Report		Goram Homes
Q4 Performance Report			Quarter 1 Risk Report		Mayor's Forward Plan – standing item (will be included for each meeting)
Adoption West Annual Report (noting only)					WECA Forward Plan / WECA Scrutiny minutes – standing item (will be included for each meeting)
<b>October 23</b>					
	<b>11.10.23 4.30pm</b>				
	Healthwatch Updates (Standing Item) To include: <ul style="list-style-type: none"> <li>Menopause services in Bristol</li> <li>'Local Voices' report</li> </ul>				
	Access to Dentistry				
	Strengthening hospital discharge processes (reducing number of				

	patients classed as 'no criteria to reside' (Possible joint item with PSC)				
	Update from ICB: Winter Resilience Framework engagement with local primary and community services				
	Update on stroke programme from ICB/NB NHS Trust (Information Paper)				
<b>November 23</b>					
		<b>20.11.23 5.00 pm</b>	<b>27.11.23 5.30pm</b>	<b>21.11.23 4.00 pm</b>	<b>2.11.2023, 6pm (TBC)</b>
		Libraries update – focus on innovation report/lessons learnt and library utilisation/opportunities for co-location	High Streets update Including Business Improvement Districts (BIDS)	Annual business report	Quarter 1 Performance Report
		Welcoming Spaces and Community Resilience Fund update/lessons learnt	Bristol Local Flood Risk Management Strategy (Statutory Item)	24-25 Council Tax Reduction Scheme consultation outcomes	Bristol Beacon
		Update on community toilets scheme	Bristol and Avon Flood Strategy	Collection Fund surplus/deficit report	City Leap
		Risk Report	Planning Service Update	Council Tax base report	
		Quarter 1 Performance Report	Quarter 1 Performance Report	Digital Transformation programme progress update	
				Quarter 1 Performance Report	
<b>December 23</b>					
<b>6.12.23, 6pm</b>	<b>7.12.23 4pm</b>			<b>8.12.23 &amp; 15.12.23</b>	<b>04.12.23, 1pm</b>
Learning Disability Update	Healthwatch Updates (Standing Item)			8.12.23 - 2.30 - 5.30 pm: scrutiny of 24-25 budget proposals/consultation (part 1);  15.12.23 - 9.30 am - 12.30 pm: scrutiny of 24-25 budget proposals/consultation (part 2)	Transformation Programme overview
Direct Payments and Community Care	Children's Health: <ul style="list-style-type: none"> <li>Child and Adolescent Mental Health Services (CHAMS)</li> <li>Hospital Education</li> </ul>				
SEND Update: Standing Item	Autism Spectrum Disorder (ASD) Assessments - Sirona Care & Health – Autism Assessment Criteria				
Adult Social Care Transformation Programme Update: Standing Item					
Children and Education Transformation Programme Update: Standing Item					
Quarter 1 Performance Report					

January 24					
				<b>30.1.24 4.00 pm</b>	<b>18.1.24 4.00pm</b>
				Scrutiny of 24-25 budget proposals ahead of Budget Council - Part 1	Clean Air Zone
					Quarter 2 Corporate Performance Report
February 24					
<b>19.2.24,</b>	<b>7.2.24, 4pm</b>	<b>27.2.24 5.00 pm</b>		<b>1.2.24 4.00 pm</b>	<b>12.2.24, 2pm</b>
Permanent Exclusion, Suspensions and the Inclusion Hub	Healthwatch Updates (Standing Item) <ul style="list-style-type: none"> <li>To include an up-date on 'Your NHS menopause experience'</li> </ul>	Community Safety Partnership annual report		Scrutiny of 24-25 budget proposals ahead of Budget Council - Part 2	Companies' Business Plans
Extra-Familial Harm	Health Improvement Teams <ul style="list-style-type: none"> <li>To include Dementia Care</li> </ul>	Community Asset Transfers update			Risk Report
'Transitions' (education to employment) Inquiry Day: Outcome and Action Plan	GP appointments systems	Progress on Ecological Emergency (could involve inviting partners to attend)			
SEND Update: Standing Item	Pharmacy Services				
Adult Social Care Transformation Programme Update: Standing Item					
Children and Education Transformation Programme Update: Standing Item					
Risk Report					
March 24					
			<b>7.3.24 5pm</b>		
			Culture (to include Cultural Investment Programme (CIP))		
			Strategic Transport Update, to include: <ul style="list-style-type: none"> <li>Strategic Corridors</li> <li>Liveable Neighbourhoods</li> <li>Active Travel</li> <li>Electric Vehicle (EV) Charging Points</li> </ul>		
			Growth & Regeneration Capital Programme Update		
			Risk Report		
			Quarter 3 Performance Report		
Provisional / To be scheduled					
	Quality Accounts: Sirona; AWP; NBT; UHBW; SWAS		Property Programme (Transformation Programme)	Corporate Performance reports	City Leap Business Plan 29.2.24 (TBC)

	(April-May 24)				
			Major regeneration projects: <ul style="list-style-type: none"> <li>Western Harbour (watching brief)</li> <li>Frome Gateway (watching brief)</li> </ul>	Corporate Risk reports	
				Finance Monitoring reports and quarterly savings monitoring reports	
				Integration of carbon assessment alongside financial business cases/carbon impact of Capital Programme – joint with G&R	
				Implementation of the new Procurement strategy; Procurement Bill / procurement waivers; Implementing social value policy across strategies and procurement	
				Corporate debt/arrears report – mid-year report	
<b>Other Scrutiny Activity</b>					
Adult Social Care Transformation Programme Scrutiny Workshops		Landlord Services Task Group: <ul style="list-style-type: none"> <li>Adaptive Homes</li> <li>Housing IT System</li> <li>Housing Allocation</li> <li>Temporary Accommodation</li> <li>Refugees</li> <li>Fire Safety</li> <li>Decent Homes (damp and mould)</li> <li>Decarbonisation</li> </ul>	Parking Strategy (including Workplace Parking Levy) – Working Group or Inquiry Day	Finance Task Group – 24/25 budget preparation and MTFP; first meeting July – financial outlook; regular meetings from August/September (joint sessions where necessary, e.g. with People Scrutiny). To include (autumn): Council Tax Base report; Collection Fund surplus/deficit report	Workshop – Scrutiny Handover 28.3.24
Children and Education Transformation Programme Scrutiny Workshops		Waste ID (note – to be linked in with OSMB): <ul style="list-style-type: none"> <li>Future policy</li> <li>Collection methodology</li> </ul>			
‘Transitions’ Scrutiny					
<b>Member Briefings</b>					
Fostering / Adoption (All Member Briefing)	Issues relating to Black women/BAME communities, their pregnancies and known poor health outcomes. (Further info TBC in August)	Houses in Multiple Occupancy		Public Health grant & budget – joint with Health – to be included as part of Finance T&F work	
Teen Pregnancy (to include reference to Youth Homelessness). Joint with Health.	Update from AWP (Avon and Wiltshire Partnership) on Riverside CAMHS inpatient unit.			Cyber security and business continuity / financial risk – with Audit (Nov/Dec)	Equalities and Inclusion Strategy
Family Hubs	Update from BNSSG ICB / locality partnerships – Community mental health framework			Approach to performance data	Bristol Waste Update 5.2.24

	up-date (written update or briefing)				
Ofsted Improvement					

Bristol, North Somerset & South Gloucestershire - Joint Health Overview & Scrutiny Committee (BNSSG - JHOSC) meeting or Meeting in Common	
Agenda/s TBC	Date/s TBC
Integrated Care Strategy - BNSSG Integrated Care Board (ICB) <i>TBC if JHOSC or HOSC</i>	
To include:	
<ul style="list-style-type: none"> <li>• Up-date on Strategy &amp; Delivery</li> <li>• Forward Plan</li> <li>• Role of integrated Care Partnership (ICP) and Integrated Care Board (ICB)</li> </ul>	
BNSSG ICB – approach to tackling geographical health inequalities and local planning ( <i>timing and details TBC</i> )	
Update from BNSSG ICB / locality partnerships – Community mental health framework (plus potential briefing)	

# Overview and Scrutiny Management Board (OSMB)



12<sup>th</sup> February 2024

**Report of:** Stephen Peacock - Chief Executive

**Title:** Corporate Risk Management Report – Q3 2023/24

**Ward:** Citywide

**Officer Presenting Report:** Risk & Insurance Officer

## **Recommendation:**

For the Overview and Scrutiny Management Board to note the attached Q3 2023/24 Corporate Risk Management Report, Appendix A1 – Q3 Corporate Risk Report 2023-2024, Appendix A2 – Static Risks Q3 2023\_24 Corporate Risk Report, Appendix A3 – Risks Scoring 20 to 28 but not in Corporate Risk Register Q3 2023 that went to Cabinet on 23<sup>rd</sup> of Jan 2024.







**PURPOSE:** For reference

**MEETING:** Cabinet

**DATE:** 23 January 2024

<b>TITLE</b>	<b>Corporate Risk Management Report – Q3 2023/24</b>		
<b>Ward(s)</b>	City wide		
<b>Author:</b> Joachim Adenusi	<b>Job title:</b> Senior Risk and Insurance Officer		
<b>Cabinet lead:</b> Cllr C Cheney -Deputy Mayor and Cabinet member for City Economy, Finance and Performance	<b>Executive Director lead:</b> Stephen Peacock - Chief Executive (Head of Paid Service)		
<b>Proposal origin:</b> BCC Staff			
<b>Decision maker:</b> For noting <b>Decision forum:</b> For noting			
<b>Purpose of Report:</b> The report provides an update on current significant strategic risks to achieving the Council's objectives as set in the Corporate Strategy 2022-2027 and summarises progress in managing the risks and actions being taken as at Quarter 3_2023-24.			
<b>Evidence Base:</b> <b>Context</b>			
<ol style="list-style-type: none"> <li>1. The Corporate Risk Report (CRR) is a key document in the council's approach to the management of risk; it captures strategic risks set out in the Corporate Strategy 2022-2027. It also provides a context through which Directorates construct their own high-level risk assessments and is used to inform decision making about business planning, budget setting, transformation, and service delivery.</li> <li>2. The CRR provides assurance to management and Members that Bristol City Council's significant risks have been identified and arrangements are in place to manage those risks within the tolerance levels agreed. It should be noted that 'risk' by definition includes both threats and opportunities, which is reflected in the CRR.</li> <li>3. The Accounts and Audit Regulations 2015 require that the council to have in place effective arrangements for the management of risk. These arrangements are reviewed each year and reported as part of the Annual Governance Statement (AGS). Ensuring that the Service Risk Registers (SRR), Directorate Risk Reports (DRR) and the Corporate Risk Reports (CRR) are soundly based will help the council to ensure it is anticipating and managing key risks to optimise the achievement of the council's objectives and prioritise actions for managing those risks.</li> <li>4. The registers and reports are a management tool. They need regular review to ensure that the occurrence of obstacles or events that may put individual's safety at harm, impact upon service delivery and the council's reputation are minimised, opportunities are maximised and when risks happen, they are managed effectively to minimise the impact.</li> <li>5. The CRR summary of risks is attached to this report at Appendix A and is the latest position following a review by managers and Directors. The risks in Appendix A are presented in the order of severity, starting with the highest scoring risks followed by lower scoring risks.</li> </ol>			
<b>Summary of Corporate Risks:</b>			
<ol style="list-style-type: none"> <li>6. Cabinet members are asked to note the CRR as a working summary report of the critical and significant risks from the Service Risk Registers as of December 2023.</li> </ol>			

7. The CRR sets out the critical, significant, and high rated threats and opportunity risks. All other business risks reside on the Service Risk Registers.
8. Further programme of work with clear instructions to colleagues was undertaken to review and revise each CRR/DRR risk description, internal controls and mitigation plans and governance. The scope of this work included where possible the identification of new risks and a fresh look to confirm ongoing risks are current along with the actions to mitigate the risks.
9. Members of EDM's reviewed the current CRRs and the DRRs in November/December 2023 to form the current CRR risks was reviewed by CLB on the 19<sup>th</sup> of December 2023. Cabinet members are asked to accept the attached CRR as a working summary report of the critical and significant risks from the Service Risk Registers.
10. The Q3 23-24 Corporate Risk Report (CRR) as at December 2023 contained:

Threat Risks	Opportunity Risks	External / Contingency Risks
1 Critical 25 High 5 Medium	1 High	1 High 2 Medium
2 Improving Risks 2 Escalated Risks 9 De-escalated risks		1 Deteriorating 3 De-escalated risks

A summary of risks (Threat and Opportunities) for this reporting period are set out below:

#### Critical Threat Risks

11. There is one Critical Threat risks scoring 28.
  - *CRR55 - Risk of children placed in unregistered provision which is unlawful:* The risk remains as we continue to have children placed in unregistered provision.

#### Improving Risks

12. There are two improving Threat risks within the report:
  - *CRR6 - Potential threat of Fraud and Corruption. The risk score reduced from 5 x 3 = 15 High to 3 x 2 = 6 Medium. The setup of a fraud hub and prioritisation of fraud prevention has resulted in the risk score being reduced.*
  - *CRR39 - Adult and Social Care major provider/supplier may fail to deliver as expected. The risk score reduced from 5 x 3 = 15 to 3 x 3 = 9. It continues to be likely that a large supplier could fail but most likely be a planned exit and as market relatively stable, it would be able to cope.*

#### Deteriorating Risks

13. There is one deteriorating External and Civil Contingency Risk risks within the report:
  - *BCCCC - Possible Increase In Winter diseases including COVID-19 and Flu:* The risk score increased from 3 x 3 = 9 to 4 x 3 = 12 as we anticipate a seasonal increase in flu or COVID in the coming quarter.

#### Proposed Escalation to the Corporate Risk Register

14. The following 2 risks are recommended for escalation from service risk registers to the Corporate Risk Register
  - *CRR 58 - Failure to maintain and replace the Highway and Traffic assets may lead to future budget shocks and potential injuries to the public:* The risk score has increased from to 7 x 3 = High 21. Defects on network are increasing as depreciation accelerates; and this may lead to an increase in litigation and settlement payments to network users and motorists.
  - *CRR59 - Failure to deliver timely statutory planning decisions:* The risk score has increased to 5 x 5 = High 20 as the backlog in planning applications may lead to delays in delivering development and potentially refund of fees.

### **De-escalated from the Corporate Risk Register**

15. The following 12 risks are recommended for de-escalation from the Corporate Risk Register to Directorate and Services Risk Registers.

#### **Threat Risks**

- *CRR4 – Possible failure to Deliver an effective Corporate Health, Safety and Wellbeing Framework:* This risk has scored between Medium 10 and High 15 since September 2021 and will continue to be actively managed as a Resources Directorate Risk.
- *CRR6 - Potential threat of Fraud and Corruption:* The risk score has reduced to Medium 6 and will continue to be actively managed as a Resources Directorate Risk.
- *CRR18 - Possible failure to deliver enough new homes to meet Mayoral and Annual Business Plan targets:* This risk has scored between Medium 10 and 15 High since December 2022; and will continue to be actively managed as a Growth and Regeneration Directorate Risk.
- *CRR26 - ICT Resilience May Not Be Effective:* This risk has scored High 14 since March 2022 and will continue to be actively managed as a Resources Directorate Risk.
- *CRR27 - We may fail to Deliver the Capital Transport Programme:* This risk has score High 15 since December 2022 and will continue to be actively managed as a Growth and Regeneration Directorate Risk.
- *CRR29 - Information Security Management System (ISMS) May Not Be Effective:* This risk has scored Medium 10 since May 2022 and will continue to be actively managed as a Resources Directorate Risk.
- *CRR41 - Capital Portfolio Delivery May Fail:* This risk has a score of High 15 and will continue to be actively managed as a Growth and Regeneration Directorate Risk.
- *CRR49 – Potential Impact of Weak Workforce Resilience:* This risk has scored Medium 9 since August 2023 and will continue to be actively managed as a Resources Directorate Risk.
- *CRR54 - Potential Threat of Financial Sustainability of Nursery Schools:* This risk has scored Medium 6 since September 2023 and now being actively managed as a Children and Education Directorate Risk.

#### **External and Civil Contingency Risks**

- *BCCC1 - Flooding May Impact Public Safety:* This risk has scored High 15 since 2021 and will continue to be actively managed as a Directorate Risk the Growth and Regeneration Directorate.
- *BCCC4 - Possible Increase In Winter diseases including COVID-19 and Flu:* The risk has scored between Low 3 and Medium 12 since August 2022; and will continue to be actively managed as a Service Risk within the Adult and Communities Directorate.
- *BCCC5 - Cost of Living Crisis may have major impact on Citizens and Communities:* This has scored between Medium 9 and Medium 12 since May 2023; and will continue to be actively managed as a Service Risk within the Adult and Communities Directorate.

#### **Interconnective Risks (New)**

16. Some risk, scoring above 20, are interconnected and inform existing corporate risks. These risks will not be escalated to the CRR as they are shown as 'Related to' the interconnected corporate risk in Pentana.

- DRR Possible Hengrove Leisure Centre PFI Budget Deficit is connected to CRR13 Possible Financial Framework and Medium-Term Financial Plan (MTFP) Failure.
- Placement sufficiency for children in care / care leavers is connected to CRR55 Risk of children placed in

unregistered provision which is unlawful.

- CRR18 Possible failure to deliver enough new homes to meet Mayoral and Annual Business Plan targets is connected to CRR48 We may not be able to meet the affordable housing needs of the City by failing to meet the Project 1000 Delivery targets.
- CRR54 Potential Threat of Financial Sustainability of Nursery Schools is connected to CRR13 Possible Financial Framework and Medium-Term Financial Plan (MFTP) Failure.
- Harbour infrastructure failure: leading to property damage, flooding and injuries is connected to CRR58 Failure to maintain and replace the Highway and Traffic assets may lead to future budget shocks and potential injuries to the public.

#### **Mitigation Actions Update**

17. There were 10 new mitigation actions created during the reporting period which, when completed, will result in improved risk assurance and improvement towards our tolerances level. Over 9 risk mitigation actions were successfully completed.

#### **Emerging (In Progress) Risks:**

18. Feedback on RAAC Risk: We have a file with 1877 entries but please note this is not properties, just entries as there may be multiple entries for one asset / site. For the criteria of RAAC potentially being present in a building if built between 1930 to 1990, we have identified – 330 entries (so far) require a RAAC survey. 264 entries are still to be reviewed to ascertain if a survey is required or not. 1283 currently have been identified as not requiring a survey. (Further updated will be provided by Q4)

- Barton House Risk Assessment – analysis of emerging risks ongoing, working with the team.

#### **Static Risks**

19. 24 risks have scores that have remained static over the last 3 reporting cycle as at Q3 2023: an increase from 17 in Q2. Two risks were mitigated in Q3 after being static in Q2. Risk owners are advised to ensure that controls and mitigations are effective, confirm why it has remained the same and if anything could be done. These risks are summarised in Appendix B of this report.

#### **Non CRR Risks Scoring 20-28 (New)**

20. The Q2 review identified 17 risks scoring between 20 and 28 that had not been escalated to the Corporate Risk Register (CRR). A commitment was made to review these risks and provide feedback. During Q3 some risks were removed from the list for various reasons including – two risks were escalated to the CRR, the risk score reduced below 20, risks were merged with similar risks, or the risk was no longer relevant. The number of risks with scores above 20 has reduced to 16 with a summary contained in Appendix C of this report. In most cases it has been agreed that risks will be managed at EDM level, with risk score to be reviewed to reflect EDM level, controls and mitigation actively managed regularly.

#### **Additional Information:**

21. For more detail on individual risks and their management, please see the attached Appendix A.
22. The closed risks are now reflected within individual risks across the Council's Service Risk Registers.
23. All risks on the CRR have management actions in place.
24. It is not possible to eliminate the potential of failure entirely without significant financial and social costs. The challenge is to make every reasonable effort to mitigate and manage risks effectively, and where failure occurs, to learn and improve.

Risks are escalated to the Corporate Risk Report (CRR) if the risk scores higher than a 20 or if a risk is determined by CLB to remain on the corporate risk report due to monitoring its significance to the councils aims and objective.

#### **Cabinet Member / Officer Recommendations:**

That Cabinet <ul style="list-style-type: none"> <li>Notes the current strategic risks and mitigating actions being taken to reduce to within tolerance.</li> </ul>
<b>Corporate Strategy alignment:</b> Managing risks are an integral element to the achievement of the BCC Corporate Strategy deliverables.
<b>City Benefits:</b> Risk Management aims to maximise achievement of the council’s aims and objectives by reducing the risks to those achievements and maximising possible opportunities that arise.
<b>Consultation Details:</b> none
<b>Background Documents:</b> <a href="https://democracy.bristol.gov.uk/documents/s28767/10 Appendix A - BD11378 - Risk Management Assurance Policy Jan 2019.pdf">https://democracy.bristol.gov.uk/documents/s28767/10 Appendix A - BD11378 - Risk Management Assurance Policy Jan 2019.pdf</a>

<b>Revenue Cost</b>	£ N/A	<b>Source of Revenue Funding</b>	N/A
<b>Capital Cost</b>	£N/A	<b>Source of Capital Funding</b>	N/A
<b>One off cost</b> <input type="checkbox"/>	<b>Ongoing cost</b> <input type="checkbox"/>	<b>Saving Proposal</b> <input type="checkbox"/>	<b>Income generation proposal</b> <input type="checkbox"/>

**Required information to be completed by Financial/Legal/ICT/ HR partners:**

**1. Finance Advice:** The CRR is a live document refreshed regularly following consultation across the organisation and aims to provide assurance that the council’s main risks have been identified and appropriate mitigations are in place to ensure they are managed within agreed tolerances. This includes, as set out in the annual budget report, measures to ensure appropriate financial provision for these risks is made through the budget planning process. The Council should ensure it has sufficient resource available to implement actions required to bring risks down to a tolerable level. This report highlights a few critical financially related risks which will need to continue to be addressed and mitigated through planned improvements collectively owned by the leadership, refresh to the financial outlook through the MTFP, continued robust financial monitoring throughout the financial year, as well as the Council maintaining minimum reserves levels in line with the s151 officer review of financial risk in the budget taken in February 2023.

**Finance Business Partner:** Kathryn Long, Finance Business Partner Resources. 12<sup>th</sup> December 2023

**2. Legal Advice:** The Corporate Risk Register enables the Council to monitor and manage identified risks and mitigations to ensure good governance and compliance with its statutory and other duties. Advice will be given separately in relation to any specific legal issues that may arise from the risks identified.

**Legal Team Leader:** Nancy Rollason, Head of Legal Service. 12<sup>th</sup> December 2023

**3. Implications on IT:** The Digital Transformation Team remain committed to undertaking and/or supporting the mitigation activities pertaining to the service risks. We provided identified those LOB systems that pose the greatest risk and made their details available to be incorporated on the risk registers of the area that own them, this includes details inherent in the risk such as; Cyber Security, and IT Resilience whereby ownership and mitigation activity should be led by the responsible service areas and reported individually.

**IT Team Leader: IT Team Leader:** Gavin Arbuckle, Head of Service Operations. 12<sup>th</sup> December 2023

**4. HR Advice:** No HR implications of the recommendation.

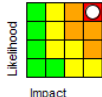
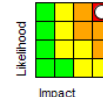

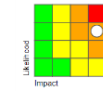
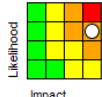
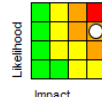
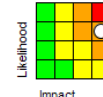
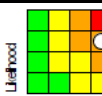
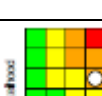





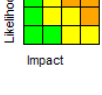


**HR Partner:** James Brereton, Head of HR. 12<sup>th</sup> December 2023

<b>EDM Sign-off</b>	Resources EDM	13/12/2023
<b>Cabinet Member sign-off</b>	Cllr Cheney, Deputy Mayor and Cabinet member for City Economy, Finance and Performance	15/12/2023
<b>For Key Decisions - Mayor’s Office sign-off</b>	Mayor’s Office	04/01/2024

<b>Appendix A – Further essential background / detail on the proposal</b> Appendix A1 – Q3 Corporate Risk Report 2023-2024 Appendix A2 – Static Risks Q3 2023_24 Corporate Risk Report Appendix A3 – Risks Scoring 20 to 28 but not in Corporate Risk Register Q3 2023	<b>Yes</b>
<b>Appendix B – Details of consultation carried out - internal and external</b>	<b>No</b>
<b>Appendix C – Summary of any engagement with scrutiny</b>	<b>No</b>
<b>Appendix D – Risk assessment</b>	<b>No</b>
<b>Appendix E – Equalities screening / impact assessment of proposal</b>	<b>No</b>
<b>Appendix F – Eco-impact screening/ impact assessment of proposal</b>	<b>No</b>
<b>Appendix G – Financial Advice</b>	<b>No</b>
<b>Appendix H – Legal Advice</b>	<b>No</b>
<b>Appendix I – Exempt Information</b>	<b>No</b>
<b>Appendix J – HR advice</b>	<b>No</b>
<b>Appendix K – ICT</b>	<b>No</b>
<b>Appendix L – Procurement</b>	<b>No</b>

## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

### Threat Risk Performance Summary

Risk	Page Number	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
CRR55 - Children placed in unregistered provision may be at risk	34	N/A	N/A	28 ↓		28 ↓		28 ↓	
CRR5 - Business Continuity and Operational Resilience may not be effective	8	10 ↑		14 ↓		21 ↓		21 ↓	
CRR9 - Possible Failure of Safeguarding Vulnerable Children	11	21 ↓		21 ↓		21 ↓		21 ↓	
CRR10 - Safeguarding Adults may be at Risk with Care and support needs.	10	15 ↓		21 ↓		21 ↓		21 ↓	
CRR12 - Emergency planning measures and resources may be overwhelmed by scope and scale of an emergency or incident faced by the council.	13	14 ↑		14 ↓		21 ↓		21 ↓	
CRR13 - Possible Financial Framework and Medium-Term Financial Plan (MTFP) Failure	14	28 ↓		28 ↓		21 ↑		21 ↓	
CRR15 – Possible In-Year Financial Deficit	15	28 ↓		21 ↑		21 ↓		21 ↓	
CRR48 - We may not be able to meet the affordable housing needs of the City by failing to meet the Project 1000 Delivery targets.	27	21 ↓		21 ↓		21 ↓		21 ↓	

## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Risk	Page Number	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
CRR51 - ASC may be financial unsustainable due to national and local pressures leads to a failure to deliver statutory duties and budgetary control	29	21 		21 		21 		21 	
CRR52 - Potential failure to manage and evidence building safety obligations in HRA stock	30	21 		21 		21 		21 	
CRR56 – Potential threat to the ASC Care Quality Commission (CQC) Assurance Preparedness and Rating	35	15 		15 		21 		21 	
CRR7 - Potential Cyber Security Issues	10	20 		20 		20 		20 	
CRR25 - Possible Suitability of Line of Business (LOB) Systems Issues	17	20 		20 		20 		20 	
CRR37 – Homelessness and the subsequent cost of providing suitable affordable accommodation may affect long-term outcomes	21	20 		20 		20 		20 	
CRR40 - Potential Threat of Unplanned Investment in Subsidiary Companies	23	20 		20 		20 		20 	
CRR43 - Lack of progress for Mass Transit may have on Impact on the city	25	20 		20 		20 		20 	
CRR45 - Potential failure to deliver statutory duty in respect of Children	26	20 		20 		20 		20 	



## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Risk	Page Number	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
CRR53 - Increased social worker and occupational therapists vacancies and sickness rates may result in vulnerable adults care being compromised	32	20 		20 		20 		20 	
CRR57 -- Possible procurement breaches and compliance with procurement rules & legislation	36	15 		20 		20 		20 	
CRR39 - Adult and Social Care major provider/supplier may fail to deliver as expected	22	15 		15 		15 	15 	9 	

### Opportunity Risk Performance Summary

Risk	Page Number	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
OPP01 - Possible Impact of One City Approach	39	21 		14 		14 		14 	

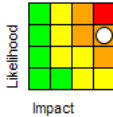
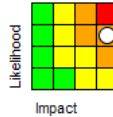


# Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

## CORPORATE RISKS PROPOSED FOR DE-ESCALATION FROM THE CORPORATE RISK REGISTER

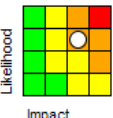
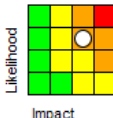
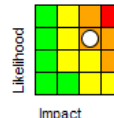
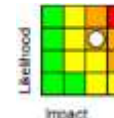
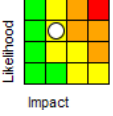
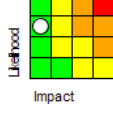
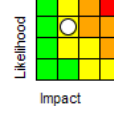

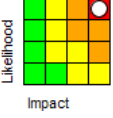



### Threat Risks Recommended for De-Escalation

Risks for De-escalation	Page Number	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
CRR18 - Possible failure to deliver enough new homes to meet Mayoral and Annual Business Plan targets.	16	10 		15 		15 		15 	
CRR27 – We may fail to Deliver the Capital Transport Programme	18	15 		15 		15 		15 	
CRR41 – Capital Portfolio Delivery May Fail	24	20 		20 		15 		15 	
CRR4 – Possible failure to Deliver an effective Corporate Health, Safety and Wellbeing Framework	23	10 		10 		15 		15 	
CRR26 - ICT Resilience May Not Be Effective	18	14 		14 		14 		14 	
CRR29 - Information Security Management System (ISMS) May Not Be Effective	20	10 		10 		10 		10 	
CRR49 – Potential Impact of Weak Workforce Resilience	28	20 		20 		9 		9 	
CRR6 - Potential threat of Fraud and Corruption	9	15 		15 		15 		6 	

## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Risks for De-escalation	Page Number	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
CRR54 - Potential Threat of Financial Sustainability of Nursery Schools	33	21 ↓ Escalated		21 ↓		6 ↑		6 ↓	

### External and Civil Contingency Risks Recommended for De-escalation

Risks for De-escalation	Page Number	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
BCCC1 – Flooding May Impact Public Safety	40	15 ↓		15 ↓		15 ↓		15 ↓	
BCCC4 - Possible Increase In Winter diseases including COVID-19 and Flu	41	9 ↓		3 ↑		9 ↓		12 ↓	
BCCC5 - Cost of Living Crisis may have major impact on Citizens and Communities	42	28 ↓		12 ↑		12 ↓		12 ↓	

# Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

## CORPORATE RISKS PROPOSED FOR ESCALATION TO THE CORPORATE RISK REGISTER

### Threat Risks Recommended for Escalation

Risks for Escalation	Page Number	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
CRR58 - Failure to maintain and replace the Highway and Traffic assets may lead to future budget shocks and potential injuries to the public	37	9 		9 		21 		21 	
CRR59 - Failure to deliver timely statutory planning decisions	38	12 		12 		12 		20 	


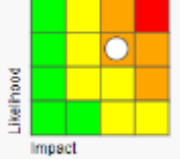
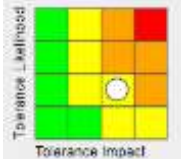
### Risk Trend Key

Arrow	Description
	The risk rating has improved from the previous quarter, having reduced in its severity.
	The risk rating has deteriorated from the previous quarter, having increased in its severity.
	The risk rating has not changed from the previous quarter.


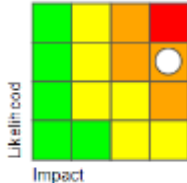
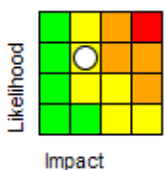
Page 24

## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023


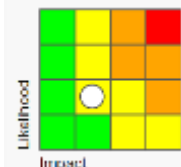
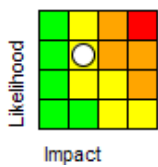
### Threat Risks

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR4 – Possible failure to Deliver an effective Corporate Health, Safety and Wellbeing Framework.</p> <p><b>Description:</b> To deliver an effective management framework in place to ensure that the workplace and work environment is free from health and safety hazards. The framework the Council will use to achieve this is based on the Health and Safety Executives guidance Managing for Health and Safety (HSG65) 'Plan, Do Check Act' approach. The framework will apply to all employees who work at the Council whether on a permanent or temporary basis, Schools, contractor's agency staff visitors and other parties who have a business relationship with BCC.</p>	<p><b>Constant</b></p> 	<p><b>15</b></p> <p>Likelihood = 3 Impact = 5</p>		<p><b>10</b></p> <p>Likelihood = 2 Impact = 5</p>	
<p><b>Risk Causes:</b> If services do not have sufficient staff numbers to carry out work plans in a safe way. If services are not able to order appropriate equipment required for staff safety. Lack of appropriate equipment. Lack of appropriate training. Lack of oversight and control by local management. Lack of information on the potential or known risks. Inadequate contract management arrangements. Lack of effective processes and systems consistently being applied Policies are not kept up to date.</p> <p><b>Risk Consequences:</b> Risk of injury Staff, visitors, contractors, citizens.; Risk of injury to our tenants. Staff put under undue pressure leading to staff taking sick leave or leaving the organisation. Risk of legal action/penalties against the Council and individual managers, including possibility of Corporate Manslaughter. Impact on the reputation of the City Council. Lack of compliance with Health and Safety policies and safe practices, due to pressures of work or lack of training. Reputational damage</p> <p><b>Risk Owner(s):</b> Chief Executive and Corporate Leadership Board (CLB), Director of Workforce Change.</p> <p><b>Portfolio Flag:</b> Finance, Governance and Performance</p> <p><b>Strategic Theme:</b> Our Organisation</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	<ol style="list-style-type: none"> <li>Governance Arrangements</li> <li>Health Safety and Wellbeing Strategy</li> </ol>		Review Health and Safety Procedures	March 2024	20%
<p><b>Summary of Progress:</b> Currently re prioritising the key policies and working with our policy division to identify which policies are most critical for the management of the overall risk. We are adopting the corporate policy template to do this and this requires some splitting of policy from guidance, there should be a clear plan for January. However, early work shows Asbestos , Legionella Water Management and Accident Incident Reporting will go out for consultation first alongside a review of the Corporate Health Safety and Wellbeing Policy. There is pressure to get a policy on Violence and aggression out and although this does not have a separate legal requirement it has been drafted so will go before the end of year for consultation with a view to publish early in 2024. It should be notes that there are mitigations in place for this risk.</p>					


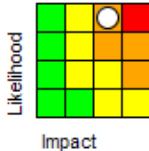
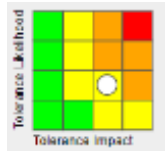
## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment	Risk Tolerance Level		
<p><b>Risk Title:</b> CRR5 - Business Continuity and Operational Resilience may not be effective</p> <p><b>Description:</b> If the council has a Business Continuity disruption and is unable to ensure the resilience of key BCC operations and business activities, then the impact of the event maybe increased with a greater impact on people and council Services.</p>	<p><b>Deteriorating</b></p> 	<p><b>21</b></p> <p>Impact = 7 Likelihood = 3</p>		<p><b>9</b></p> <p>Likelihood = 3 Impact = 3</p>	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>-Strikes (People, Fuel); Loss of key staff (communicable diseases (Covid - illness and self-isolation) and influenza.; Loss of suppliers / supply chain disruption.; Loss of accommodation to deliver key services.; Loss of equipment / infrastructure, including utilities.; Any event which may cause major disruption - e.g., severe weather; Unavailability of IT and/or Telecoms.; Knowledge loss.; Reduced chances of preventing/ responding to incidents due to a lack of forward planning or investment.; Climate change</li> </ul>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
<p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>-Inability to deliver/support front line services.</li> <li>-Service Disruption.</li> <li>-Loss of service.</li> <li>-Transportation disruption.</li> <li>-Additional demand on services.</li> <li>-Stress.</li> <li>-Potential risk to staff and public safety.</li> <li>-Increased financial cost in terms of damage control and insurance costs.</li> <li>-Legal compliance and financial penalty.</li> <li>-Reputational damage.</li> </ul>	<ol style="list-style-type: none"> <li>1. A number of Policies, procedures and arrangements are in place including duty rotas for key service areas and the Duty Director rota.</li> <li>2. Corporate Business Continuity Framework, including BC escalation process - Framework presented at CRG on 11th July 2022.</li> <li>3. Corporate Business Continuity Group, bringing owners of 'cross cutting business support services' together (IT, FM, Procurement, HR) to horizon scan and risk manage - BC Group has met several times since March 2022 - Formalise reporting arrangements and governance required.</li> <li>4. Corporate Resilience Group overseeing, corporate preparedness, including BC capability - CRG hosted power outage exercise on 22nd March, allowing key services to test business continuity arrangements. Learning from this exercise will shape a corporate power outage plan.</li> <li>5. The CRG will seek assurances from key service areas regarding the robustness of continuity arrangements against local risk.</li> <li>6. Service Level Business Continuity Planning - Services will be developing their BC plans in Q3, aligned to service planning.</li> <li>7. Finance Budget</li> <li>8. Growth Paper</li> </ol>	<p>Assessment on adherence and implementation</p> <p>BC Resource to support pan BCC</p> <p>BCC utilisation of escalation framework</p> <p>Business Continuity 2023 workshops pan BCC</p> <p>Embed Corporate Resilience Group and Business Continuity Group into corporate governance framework, including alignment with corporate risk group</p> <p>IT Resilience (BC)</p> <p>Lead IT Resilience / Business Continuity project, including developing battle boxes, an IT Resilience Plan, understanding DR arrangements across BCC delivered IT services and SAAS, improving service-level BC plans for managing IT outages.</p> <p>Workshops to support services to complete Business Continuity templates</p> <p>BCC wider BC Plan Quality and Adherence</p>	<p>March 2024</p> <p>April 2024</p> <p>February 2024</p> <p>March 2024</p> <p>May 2024</p> <p>February 2025</p> <p>January 2024</p> <p>December 2023</p> <p>Jan 2025</p>	<p>40%</p> <p>70%</p> <p>30%</p> <p>80%</p> <p>80%</p> <p>80%</p> <p>100%</p> <p>70%</p>	
	<p><b>Risk Owner(s):</b> Executive Director Growth and Regeneration Director Management of Place.</p> <p><b>Portfolio Flag:</b> City Economy, Finance &amp; Performance</p> <p><b>Strategic Theme:</b> Our Organisation, Wellbeing.</p>	<p><b>Summary of Progress:</b></p> <p>From September 2023 workshops and awareness sessions have hosted by EPRT BC Resource (1 FTE) these have been running twice a week. Also BIA was required / completed as part of service planning for all HoS. Despite the training and the BIA requirement we are still yet to see a 100% return of impact assessments. So 100% is needed but also an assessment to audit if the BIA's produced are of a meaningful quality and only exercising on the BIA will tell - so that'll be the next actions. But this is a challenge / balance given the limited resource now trying to balance BC demands and support across BCC with an audit of service planning BIA returns for quality and content, this is a challenge with 1 FTE resource on business continuity for all BCC. (when that 1 FTE also supports emergency response and recovery - thus was recently 100% engaged in Barton House Major incident). Risk assessment and support to mitigate / reduce is being drafted into Growth Paper for decision pathway. (DMT/EDM/CLB)</p>			

Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023


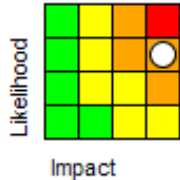
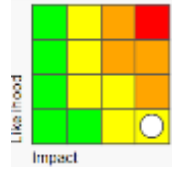
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR6 - Potential threat of Fraud and Corruption</p> <p><b>Description:</b> Failure to prevent or detect acts of significant fraud or corruption against the council from either internal or external sources.</p>	<p style="text-align: center;"><b>Improving</b></p> 	<p style="text-align: center;"><b>6</b></p> <p>Likelihood = 2 Impact = 3</p>		<p style="text-align: center;"><b>6</b></p> <p>Likelihood = 2 Impact = 3</p>	
<p><b>Risk Causes:</b> Heightened levels of fraud, including cyber fraud, due to current cost of living increases. Failure of management to implement a sound system of internal control and/or to demonstrate commitment to it at all times. Not keeping up to date with developments, in new areas of fraud. Insufficient risk assessment of new emerging fraud issues. Lack of clear management control of responsibility, authorities and / or delegation. Lack of resources to undertake the depth of work required to minimise the risks of fraud /avoidance. Under investment in fraud prevention and detection technology and resource.</p>					
<p><b>Risk Consequences:</b> Potential increase in financial losses due to increase in scams. Failure to prevent or detect acts of significant fraud or corruption could result in financial loss for the Council. Reputational damage could be suffered if fraud occurs.</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	<ol style="list-style-type: none"> <li>A dedicated Counter Fraud and Investigation team:</li> <li>Audits: Internal Audit reviews will sometimes include an assessment of fraud controls.</li> <li>Continued use of analytic and additional resources to perform payment checks:</li> <li>Fraud Risk Assessments:</li> <li>Increased use of technology and data analytics:</li> <li>National Fraud Initiative (NFI) fraud hub App.</li> <li>On-going improvement plan for Whistle-blowing.</li> <li>Participation in anti-fraud exercises.</li> <li>Planned programme of proactive fraud detection and prevention work:.</li> <li>Whistleblowing procedure: New internal procedure developed..</li> </ol>		Fraud Risk Assessments	Nov 2023	60%
			Fraud Reviews	March 2024	25%
			Fraud Prevention Strategy	Nov 23	100%
			Implementation of Fraud Prevention Strategy actions (New)	March 26	0%
			Implementation of Hub development plan (New)	March 25	0%
			Improving control framework	March 26	25%
			Working with other Councils	March 2024	30%
			Partnership Working	March 2024	50%
<p><b>Risk Owner(s):</b> Chief Executive and Director of Finance (S151 Officer).</p> <p><b>Portfolio Flag:</b> Finance, Governance and Performance</p> <p><b>Strategic Theme:</b> Our Organisation</p>	<p><b>Summary of Progress:</b> - In the current economic environment characterised by rising costs and cyber threat the risk of fraud is likely to increase. However, the mitigation work that has been undertaken in previous years including the set up of a fraud hub and prioritisation of fraud prevention has resulted in the risk score being reduced. Both the likelihood of a significant fraud and its impact have been reduced to reflect the anticipated impact of the completed actions and the existing controls. Given that the fraud risk is inherent in most of our activities this risk will continue to be monitored ensuring that actions from fraud risk assessments are acted up. Ongoing work include improving awareness of fraud risk through training of staff and awareness sessions, consolidation of fraud risk assessments and communicating and taking actions on lessons learned from investigation work.</p>				

## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023


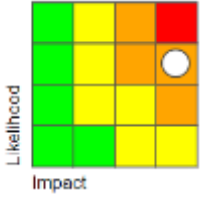
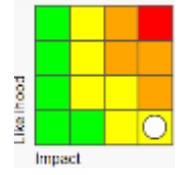
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR7 – Potential Cyber Security Issues</p> <p><b>Description:</b> The Council's risk level in regard to Cyber-security is higher than should be expected.</p>	<p><b>Constant</b></p> 	<p><b>20</b></p> <p>Likelihood = 4 Impact = 5</p>		<p><b>10</b></p> <p>Likelihood = 2 Impact = 5</p>	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>• Lack of investment in appropriate technologies.</li> <li>• Reliance on in-house expertise, and self-assessments (PSN).</li> <li>• Lack of formal approach to risk management (ISO27001).</li> <li>• Historic lack of focus.</li> </ul> <p><b>Risk Consequences:</b></p> <p>a. Information security incidents resulting in loss of personal data or breach of privacy / confidentiality.</p> <p>b. Safeguarding data breach impacting on safety of vulnerable child or adult.</p> <p>c. Risk of breaching the regulations and being subject to penalties/fines - Regulations Fines increasing from up to £500,000 to 10-20m Euros of 4% of global turnover, enforced by the Information Commissioners Office on behalf of the European Union.</p> <p>d. Increased litigation. e. Reputational damage.</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	1. Phishing attack exercises - As well as technical controls, the Council continues to carry out regular Phishing attack exercises where we are sending emails to staff to see how users react to this type of Cyber Attack. Anyone clicking on links is directed towards targeted training.		1. Work with ICT colleagues continues and discussions around cementing roles and responsibilities is being undertaken	Dec 2023	90%
	2. Targeted Training of employees – The Information Governance and ICT team will continue to work together to support the SIRO to develop appropriate targeted training for all Council staff relating to cyber security. developed by IG and ICT Teams				
	3. Technical controls		2. Implement audit actions with oversight by IG Board	Dec 2023	90%
4. Security team training					
<p><b>Risk Owner(s):</b> Chief Executive, Senior Information Risk Owner (SIRO).</p>					
<p><b>Portfolio Flag:</b> Finance, Governance and Performance</p>	<p><b>Summary of Progress.</b></p> <p>Significant work is ongoing, including external assurance being conducted, however there are key elements required before this risk can be reduced. Work being conducted under DTP, as well as with external SME partners, including Microsoft commissioned pieces of work. Supported by BAU activities. In reviewing the risk, satisfied that the threshold for a Critical Impact is not met, therefore risk score remains unchanged.</p>				
<p><b>Strategic Theme:</b> Our Organisation</p>					




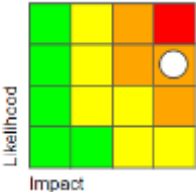
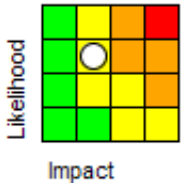
## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR9 - Possible Failure of Safeguarding Vulnerable Children</p> <p><b>Description:</b> The council fails to prevent increased risk of harm to children, resulting in harm or death to a vulnerable child.</p>	<p><b>Constant</b></p> 	<p><b>21</b></p> <p>Likelihood = 3 Impact = 7</p>		<p><b>7</b></p> <p>Likelihood = 1 Impact = 7</p>		
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>-Demand for services exceeds service capacity and capability.; Inadequate controls result in harm.</li> <li>-Increase in child protection, complex safeguarding risks, criminal exploitation, serious youth violence and gang affiliation.; Hidden harm resulting from periods of lockdown, increased stress in families and service disruption during COVID</li> <li>-Placement failure due to COVID infection across children's home or fostering households.</li> </ul> <p>An increase in demand of 6% evident across care population - specific pressures are clear for teenagers and unaccompanied children requiring our care</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
	DCS quarterly assurance report to Corporate Leadership Board Inspections and Peer Reviews		Procure a strategic partner to undertake work regarding extra familial harm and with our children who go missing from home or care.		October 23	85%
	Quality assurance and performance framework in place.		Our Families Transformation Programme		March 2025	20%
	Strategic Risk Assurance		Working with other Councils		March 2024	30%
<p><b>Risk Owner(s):</b> Executive Director Children and Families</p>						
<p><b>Portfolio Flag:</b> Children's Services, Education &amp; Equalities</p>		<p><b>Summary of Progress:</b></p> <p>Quality Assurance and performance framework in place and reported on at regular intervals through to cabinet members and Scrutiny. DCS quarterly assurance report to Corporate Leadership Board and action taken to address areas for improvement. The Keeping Bristol Safe Board provides independent scrutiny of children's safeguarding and safer communities' arrangements in the city and holds BCC and partner agencies to account. LGA review undertaken and new Independent Chair driving improvements. Services and structure aimed at ensuring delivery of a safe system of work for safeguarding children and communities. Reviewing various areas of specific vulnerability and implementing improvements:</p> <ul style="list-style-type: none"> <li>• resource in place for missing children by appointment of a strategic partner</li> <li>• reviewing quality assurance practice to ensure consistent quality of audits and sufficient number. Support provided by Islington through PiP.</li> <li>• Appointed a strategic partner to review and redesign extrafamilial harm pathway and services through DfE funds</li> <li>• reviewing child sexual abuse pathway with partners</li> <li>• Revised (as part of KBSP) Threshold document</li> <li>• implementing 'Safe and Together' approach to Domestic Abuse in families.</li> <li>• Our Families Transformation Programme to deliver better outcomes for children and families.</li> <li>• DfE Grant following Enhanced Diagnostics pilot to improve services to and outcomes for children. Consultants regarding adolescent services. housing pathway and recruitment and retention now started</li> </ul>				
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Wellbeing.</p>						

Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023


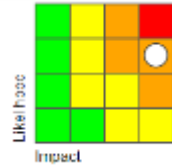
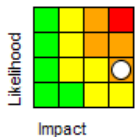
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR10 - Safeguarding Adults may be at Risk with Care and support needs.</p> <p><b>Description:</b> The council fails to ensure adequate safeguarding measures are in place for adults at risk.</p>	<p><b>Constant</b></p> 	<p><b>21</b></p> <p>Likelihood = 3 Impact = 7</p>		<p><b>7</b></p> <p>Likelihood = 1 Impact = 7</p>	
<p><b>Risk Causes:</b> Adequacy of controls.; Management and operational practices. Demand for services exceeds capacity and capability. Poor information sharing. Lack of capacity or resources to deliver safe practice. Reduction in or lack of supply of commissioned care. Failure to commission safe care for adults at risk. Failure to meet the requirements of the 'Prevent Duty' placed on Local Authorities. Increased destitution in families, impacting on mental ill health, managing increased infection within the population. (COVID19); Increase identification of self-neglect and complexity. Carer strain / resilience.</p> <p><b>Risk Consequences:</b> Financial damage Legal liability Death/Injury Reputational damage</p> <p><b>Risk Owner(s):</b> Executive Director People, Director Adult Social Care.</p>	<p><b>Existing Controls</b></p>		<p><b>Mitigating Actions</b></p>		
	<p><b>Control</b></p>	<ul style="list-style-type: none"> <li>Annual report shared with Elected Members to allow for scrutiny of progress of the Keep Bristol Safe Partnership (KBSP).</li> <li>Training for all key staff in the essentials of safeguarding.</li> <li>Twice weekly business continuity meeting around supply of commissioned care and active management of waiting list.</li> <li>Improved Data through PowerBI – capturing safeguarding concerns feeding into monthly management operational meetings</li> <li>Safeguarding Discussion Forum – multi-agency held monthly – sharing information on high risk/complex cases</li> </ul>	<p><b>Action Title</b></p>	<p><b>Due Date</b></p>	<p><b>Progress</b></p>
			<p>Demand Management Review</p>	<p>March 24</p>	<p>0 %</p>
			<p>Workforce - maximising staffing resources within budget</p>	<p>Dec 2023</p>	<p>0%</p>
<p><b>Portfolio Flag:</b> Adult Social Care &amp; Integrated Care System</p>	<p><b>Summary of Progress:</b> Risk remains; reviewed 23 November 2023. Waiting list tray being developed by Business Analyst to enable greater insight, and operational team is working on introducing best practice model for prioritisation of waiting lists to mitigate risk.</p>				
<p><b>Strategic Theme:</b> Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>					

Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023


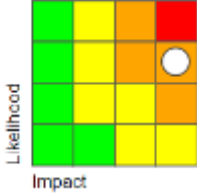
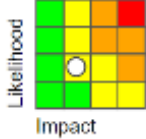
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR12 - Emergency planning measures and resources may be overwhelmed by scope and scale of an emergency or incident faced by the council.</p> <p><b>Description:</b> A Major Incident or emergency which exceeds the response capacity of the council and partner responding organisations leading to mass fatalities, excess deaths, damage to property and infrastructure and an ability to deliver key service to the community. In addition, further consequences could be litigation and reputational damage to the council.</p>	<p><b>Deteriorating</b></p> 	<p><b>21</b></p> <p>Impact 7 = Critical Likelihood 3 = Likely</p>		<p><b>9</b></p> <p>Likelihood = 3 Impact = 3</p>	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>-Emergency risks not identified and prepared for.</li> <li>-Lack of trained and available responding staff.</li> <li>-Emergency roles and responsibilities not embedded.</li> </ul> <p><b>Risk Consequences:</b></p> <p>Increased risk of:</p> <ul style="list-style-type: none"> <li>- Disruption of public services; Disruption of transport networks; Death/injury</li> <li>- Displacement of people</li> </ul>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	1.24/7 Operations Centre provides effective monitoring for the city and a co-ordinary role in response and recovery		Development and roll out of the Emergency Planning e-learning package	May 24	60%
	2.Corporate Resilience Group, overseeing mitigations of contingencies risks identified on the National Security Risk Assessment and delivery of Category 1 Responder duties		Community Resilience Mapping development	January 24	80%
	3.Active participation in the Avon and Somerset Local Resilience Forum and close working with multi-agency partners, including training and exercising.		Emergency training – rest centres, humanitarian assistance and training for Marshals currently running	May 2024	70%
	4.Emergency Plans		Plan and Deliver Corporate exercise	March 2024	70%
	5.Duty Director rota in place		ERPT Resource Growth bid	March 2024	60%
	6.Duty Civil Protection Officer & other duty rotas in place (Highways, Dangerous Structures, Public Health, Social Care, etc)		Emergency Volunteer Reduction. Need increase.	March 2024	10%
	7.BCC emergency plan training and exercising in place		Horizon scanning for emerging risks annually (Via CRG, BC Group and LRF)	March 2024	65%
	8.Monitoring of severe weather events		Public Health demand v standard	March 2024	80%
9.Close working with Safety Advisory Group for Events		COMAH Off Site Emergency Plan and Exercise (New)	Nov 24	70%	
<p><b>Risk Owner(s):</b> Executive Director Growth and Regeneration, Director Management of Place.</p>	10.Horizon scanning for emerging risks, including Ukraine war (through CRG, BC Group and LRF)	Updating Core Guidance (New)	March 24	60%	
<p><b>Portfolio Flag:</b> City Economy, Finance &amp; Performance</p>	<p><b>Summary of Progress</b></p> <p>The BCC ERPT team 3.5 FTE (total resource for the team inc manager to support Emergency response, recovery and business continuity across BCC), emergency response and recovery was recently 100% engaged in Barton House Major incident, thus a risk of potential concurrent or sequential incidents maybe impacted BCC./City/Citizens as the 3.5 would not have been able to respond). Risk assessment and support to mitigate / reduce is being drafted into Growth Paper for decision pathway. (DMT/EDM/CLB)</p>				
<p><b>Strategic Theme:</b> Our Organisation, Wellbeing</p>					

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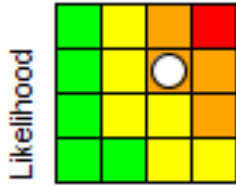
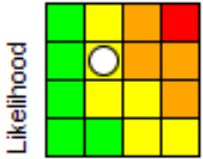
## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment			Risk Tolerance Level	
<p><b>Risk Title:</b> CRR13 - Possible Financial Framework and Medium-Term Financial Plan (MTFP) Failure</p> <p><b>Description:</b> Failure to be able to reasonably estimate and agree the financial 'envelope' available, both annually and in the medium-term and the council is unable to set a balanced budget.</p>	<p><b>Constant</b></p> 	<p><b>21</b></p> <p>Likelihood = 3 Impact = 7</p>		<p><b>14</b></p> <p>Likelihood = 2 Impact = 7</p>		
<p><b>Risk Causes:</b> Failure to achieve Business Rates income- appeals/general economic growth/loss of major sites. Economic uncertainty impact on locally generated revenues - business rates and housing growth, impacting on council tax, new homes bonus and business rate income. The general economic uncertainty affecting the financial markets, levels of trade &amp; investment Local Government finance settlement from spending review. Continued Impact of Covid-19 on key income sources. Inadequate budgeting &amp; budgetary control/Financial Settlements &amp; wider fiscal policy changes:-The potential for new funding formulas such as fair funding, business rates retention to significantly reduce the government funding available to the council alongside possible increase in demand for council services. Embedding of the new national funding formula for schools and High Needs. Political failure to facilitate the setting of a lawful budget. Unable to agree a deliverable programme of propositions that enable the required savings to be achieved. Insufficient reserves to mitigate risks and liabilities and provide resilience. Rising inflation could lead to increased cost. Impact of Adult Social Care reform and sufficient funding available to meet increased cost</p> <p><b>Risk Consequences:</b> Potential failure to set a legal budget and council tax by the due date, would have a significant adverse impact on the council's ability to provides services and the council's reputation locally and nationally in terms of investor confidence. That the budget is unlikely to reflect council priorities and objectives. That the budget may not adequately resource pressures and increases in demand. That the budget includes savings which are not deliverable. That the council reserves are used for mitigating the medium-term financial plan; running down reserves, avoiding decision and reducing the Council's resilience. Negative impact on front line services. A negative opinion from external audit. Secretary of State intervention.</p>	<p><b>Existing Controls</b></p> <p><b>Control</b></p>		<p><b>Mitigating Actions</b></p> <p><b>Action Title</b></p> <p><b>Due Date</b></p> <p><b>Progress</b></p>			
	<p>1. Budget Preparation, Setting and Budget Accountability Framework - BCC manages its financial risks through a range of controls including budget preparation, budget setting and a Budget Accountability Framework. Clear roles and responsibilities for managing, monitoring and forecasting income and expenditure against approved budgets are in place.</p> <p>2. Medium Term Financial Plan – Twice yearly update including sensitivity and scenario based financial modelling on all assumptions including inflation and demand growth</p>	<p>Making representation to government departments in relation to: - the likely costs at a local level for the proposed Adult Social Care reforms</p> <p>Appropriate Finance Resourcing Improvement</p> <p>Robustness of Monitoring and Delivery of Savings</p>	<p>March 2024</p> <p>March 2024</p> <p>March 2024</p>	<p>0%</p> <p>50%</p> <p>50%</p>		
<p><b>Risk Owner(s):</b> Chief Executive and Director of Finance (S151 Officer).</p>						
<p><b>Portfolio Flag:</b> Finance, Governance and Performance</p>	<p><b>Summary of Progress:</b></p> <p>The risk is significantly impacted by issues outside of the Council's direct control, which is why this risk remains critical, including the National situation economically and politically, funding arrangements from central government and policy that impacts the Council's MTFP. Internal controls and management of the process are undertaken annually and sensitivity testing of assumptions and modelling is undertaken, as well as collaboration with peer organisations and influencing through available channels to ensure that the Council continues to manage and mitigate this risk. The MTFP budget gap remains at this time, with work continuing to enable it to be closed to support a balanced budget and MTFP to be taken forward for recommendation to full council. In addition the provisional local government financial settlement remains outstanding and therefore the final impact from that will need to be taken into account for the coming budget setting period. Overall there is limited certainty available for the medium term in terms of funding, with the current settlement term coming to an end in 24/25 and the changes anticipated at a central government level.</p>					
<p><b>Strategic Theme:</b> Our Organisation</p>						


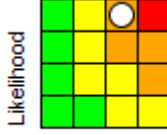

## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment	Risk Tolerance Level														
<p><b>Risk Title:</b> CRR15 – Possible In-Year Financial Deficit</p> <p><b>Description:</b> The council's financial position goes into significant deficit in the current year resulting in reserves (actual or projected) being less than the minimum specified by the council's reserves policy.</p>	<p><b>Constant</b></p> 	<p><b>21</b></p> <p>Likelihood = 3 Impact = 7</p>		<p><b>6</b></p> <p>Likelihood = 2 Impact = 3</p>													
<p><b>Risk Causes:</b> A failure to appropriately plan and deliver savings. Unscheduled loss of material income streams. Increase in demography, demand and costs for key council services. The inability to generate the minimum anticipated level of capital receipts. Insufficient reserves to facilitate short term mitigations, risks and liabilities. Interest rate volatility impacting on the council's debt costs. Impairments in our commercial investments are realised. Response to inadequate SEND inspection in 2019, increased demand for EHCPs, Lack of specialist provision in Bristol, increased compliance to statutory requirements in relation to SEND.</p> <p><b>Risk Consequences:</b> The council's financial position goes into significant deficit in the current year resulting in reserves (actual or projected) being less than the minimum specified by the council's reserves policy.</p>	<p><b>Existing Controls</b></p> <p><b>Control</b></p> <ol style="list-style-type: none"> <li>BCC Financial Framework - BCC's Financial framework ensures that we have in place sound arrangements for financial planning, management, monitoring and reporting through to Corporate Leadership Team and Cabinet.</li> <li>Deep Dives on non-containable pressure areas - We have continual oversight and ongoing management of the council's financial risks and deep dives in areas reported of non-containable pressures.</li> <li>Ensuring engagement at local, regional and national level - in round table and working groups to keep abreast the spending review, Business Rates retention and new funding formulas for Local Government. To ensure funding for Bristol is maximised and impact of changes are fed into our long-term financial planning and strategic planning. Policy and Budget Framework -</li> <li>Re-assessment of service delivery risks and opportunities and risk and other reserves - We will carry out frequent re-assessment of service delivery risks and opportunities and risk and other reserves.</li> <li>DSG - Detailed Management Plan Based on DfE Framework - A detailed Management Plan is in development, using the DfE's recommended framework - The deficit and development of the plan was discussed with the DfE in Spring 21. The DfE were not requesting a formal submission at this time.</li> <li>DSG - Early Years Block Task and Finish Group; Vacancy Freeze to manage budget overspend</li> </ol>		<p><b>Mitigating Actions</b></p> <table border="1"> <thead> <tr> <th>Action Title</th> <th>Due Date</th> <th>Progress</th> </tr> </thead> <tbody> <tr> <td>DfE Deliver Better Programme</td> <td>Dec 2023</td> <td>60%</td> </tr> <tr> <td>Appropriate Finance Resourcing Improvement</td> <td>March 2024</td> <td>50%</td> </tr> <tr> <td>Robustness of Monitoring and Delivery of Savings</td> <td>March 2024</td> <td>50%</td> </tr> </tbody> </table>			Action Title	Due Date	Progress	DfE Deliver Better Programme	Dec 2023	60%	Appropriate Finance Resourcing Improvement	March 2024	50%	Robustness of Monitoring and Delivery of Savings	March 2024	50%
	Action Title	Due Date	Progress														
DfE Deliver Better Programme	Dec 2023	60%															
Appropriate Finance Resourcing Improvement	March 2024	50%															
Robustness of Monitoring and Delivery of Savings	March 2024	50%															
<p><b>Risk Owner:</b> Director Finance (CFO S151)</p>																	
<p><b>Portfolio Flag:</b> Finance, Governance and Performance</p> <p><b>Strategic Theme:</b> Our Organisation</p>	<p><b>Summary of Progress:</b> This remains High. At P7 and moving into P8 there remain significant items highlighted on the risk and operations log along side forecast deterioration. Whilst much of the adverse position has been managed through in year mitigation and balances held in abeyance following P4/P5, the position has worsened and further management of that is now required before outturn.</p>																

Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023


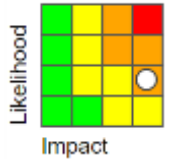
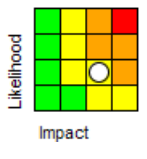
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR18 - Possible failure to deliver enough new homes to meet Mayoral and Annual Business Plan targets.</p> <p><b>Description:</b> Failure of the City to deliver to the Mayoral Target of 2000 new homes per year by 2024. Strategies and delivery models designed to further stimulate growth in the housing market and deliver diversity of the housing offer across the city prove to be ineffective and do not attract and retain economically active residents.</p>	<p><b>Constant</b></p> 	<p><b>15</b></p> <p>Likelihood = 3 Impact = 5</p>		<p><b>9</b></p> <p>Likelihood = 3 Impact = 3</p>	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>-Not enough planning applications submitted</li> <li>-Not enough planning permissions granted</li> <li>-Insufficient housing land identified in strategic planning documents</li> <li>-Inability of the housebuilding industry to deliver at this level</li> <li>-Increased uncertainty in the market due to Brexit and Covid-19.</li> </ul> <p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>-Reputational damage</li> <li>- Fail to deliver inclusive growth</li> <li>- Increased housing need / homelessness</li> <li>-Increased cost of housing</li> <li>-Failure to retain economically active residents.</li> <li>-Widening gap on demand</li> <li>-Growth of student accommodation retracting</li> </ul> <p><b>Risk Owner(s):</b> Executive Director Growth and Regeneration, Director Development of Place.</p> <p><b>Portfolio Flag:</b> Housing Delivery and Homes</p> <p><b>Strategic Theme:</b> Fair and Inclusive</p>	<p><b>Existing Controls</b></p>		<p><b>Mitigating Actions</b></p>		
	<p><b>Control</b></p>	<p><b>Action Title</b></p>	<p><b>Due Date</b></p>	<p><b>Progress</b></p>	
	<p>1.Created a single multi-disciplinary Housing Delivery Team</p>	<p>Secure Homes England Affordable Housing Programme Funding</p>	<p>March 2026</p>	<p>70%</p>	
	<p>2.Established a Local Housing Company (Goram Homes). Introduced the Affordable Housing Practice Note.</p>				
	<p>3.Issued grants to Registered Providers (RPs).</p>				
	<p>4.Manage a targeted grant funding programme to subsidise the delivery of affordable homes.</p>				
	<p>5.Required a minimum of 30% affordable housing on land released by the Council.</p>				
	<p>6.Secured additional grant funding for infrastructure. Secured funding from Homes England</p>				
	<p>7.Service Review of Housing Delivery Team</p>				
<p>8.Worked collaboratively with Homes England</p>					
<p>9. Strategic City Planning monitor housing completions and future pipeline of consents</p>	<p><b>Summary of Progress:</b></p> <p>This has materialised for this FY. There may also a likelihood of this re-occurring next FY - however due to the time lag between decision making and completion there is now little that the planning team can do to influence figures in the current FY.</p>				

Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR25 – Suitability of Line of Business (LOB) Systems</p> <p><b>Description:</b> The Council has reliance on legacy software systems which cause a number of risks due to; 1. Supportability from internal IT resource 2. The supportability of the hardware utilised 3. Lack of alignment to strategy and therefore a blocker to Digital Transformation 4. Within an appropriate support contract 5. Legacy data used for current work (GDPR) 6. Lack of Information (Cyber) Security controls 7. High cost where alternative core Council solutions exist</p>	<p><b>Constant</b></p> 	<p><b>20</b></p> <p>Likelihood = 4 Impact = 5</p>		<p><b>10</b></p> <p>Likelihood = 2 Impact = 5</p>	
<p><b>Risk Causes:</b> Sovereignty within service areas, and a lack of motivation to change. Cost of transition. Lack of knowledge of which systems are problematic and the impacts of these. Lack of understanding of impact. Lack of ownership from Information Asset Owners. Lack of documentation pertaining to software systems and ownership of strategy. Post avoidance of replacing systems. This is seen as an IT problem, not one for the software system owners.</p> <p><b>Risk Consequences:</b> Lack of resilience and continuity in event of an incident/failure High-cost applications without appropriate support. Inability to improve service delivery through digital transformation. May feed into Information (Cyber) Security risks.</p> <p><b>Risk Owner(s):</b> Director, Digital Transformation, Senior Information Risk Owner (SIRO) for Cyber Security. Service Areas for BCP/DR.</p> <p><b>Portfolio Flag:</b> Finance, Governance and Performance</p> <p><b>Strategic Theme:</b> Our Organisation</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	1. Auditing of all councils Line of Business (LOB systems)		Channel Shift Project - Review legacy line of business systems with the view to rationalising and replacing either by building on existing internal platforms such as dynamics or via procurement of new products and better utilisation of functionality.	February 2028	0%
	2. IT Services highlight risks and shortcomings with systems (in an informal manner) to Heads of Service and Senior Leadership				
	3. Work with Information Governance perpetuate a Cyber Security or Information Management risk are identified and service areas understand the risks to their services.				
		<p><b>Summary of Progress:</b> Work underway to procure cyber-sec review. Contract mapping completed, giving overview of known IT systems/contracts; but does not lower risk until assessment of LOB estate complete.</p>			




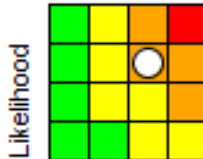
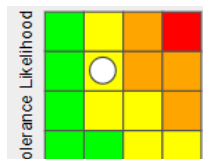
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment			Risk Tolerance Level		
<p><b>Risk Title:</b> CRR26 – ICT Resilience May Not Be Effective</p> <p><b>Description:</b> The Councils ability to deliver critical and key services in the event of ICT outages and be able to recover in the event of system and/or data loss.</p>	<p><b>Constant</b></p> 	<p><b>14</b></p> <p>Likelihood = 2 Impact = 7</p>		<p><b>10</b></p> <p>Likelihood = 2 Impact = 5</p>			
<p><b>Risk Causes:</b> Poor Business Continuity (BCP) planning and understanding of key system architecture. Untested Disaster Recovery (DR) arrangements including data recovery. Untested network reconfiguration to alleviate key location outage. Untested recovery schedules in terms of order and instructions. Lack of resilience available for legacy systems (single points of failure - people and technology). Services undertaking their own IT arrangements outside of the corporate approach.</p>							
<p><b>Risk Consequences:</b> Inability to deliver services</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>				
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>		
	<ol style="list-style-type: none"> <li>1. Connection to BCC systems protections - With the majority of staff working from home, connection to our systems is vital and the main route is via VPN. We have tested alternative access which can be used. 2 factor authentication was tested as a back door which allows non-BCC pcs to login to Microsoft office 365.</li> <li>2. Highlight to service areas vulnerable applications - Highlighting to service areas where applications may be vulnerable and advising on likely timescales for disruption to enable appropriate BC planning.</li> <li>3. Moved critical systems to the cloud with more effective DR.</li> <li>4. Resilience workshops for most critical systems - Workshops are in progress to review and improve resilience for our most critical systems including Adult and children's social care, Revs and Bens and Housing</li> <li>5. Supplier run order in the event of multiple system outage - our disaster recovery supplier has a run order in the event of a major outage involving multiple systems.</li> <li>6. Weekly testing of individual systems restore - The restore of individual systems is tested weekly on a rotational basis</li> </ol>		<ol style="list-style-type: none"> <li>1. Project to move Shared Drives to Cloud</li> <li>2. Removal of legacy hardware from estate</li> </ol>	<p>December 2025</p> <p>November 2025</p>	<p>65%</p> <p>50%</p>		
<p><b>Risk Owner(s):</b> Chief Executive, Director, Digital Transformation, Service Area Leads.</p>							
<p><b>Portfolio Flag:</b> Finance, Governance and Performance</p>	<p><b>Summary of Progress:</b> Risk level remains unchanged, but work is progressing on key areas, including projects within the Digital Transformation Programme to increase resilience by moving more of our estate to Cloud-based services. However, gaps including failover testing and the need for a wider organisational project on BC/DR are still present.</p>						
<p><b>Strategic Theme:</b> Our Organisation</p>							

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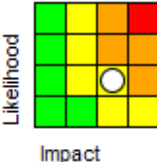
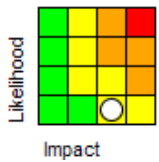


Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023


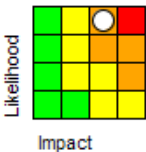
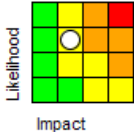
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR27 – We may fail to Deliver the Capital Transport Programme</p> <p><b>Description:</b> Management of the overall transport capital programme is key to ensuring we deliver against mayoral priorities in the most cost and time efficient way possible. Failure to do so negatively impacts the council's reputation and finances and makes the council less likely to reduce congestion, air pollution and inequality.</p>	<p><b>Constant</b></p> 	<p><b>15</b> Likelihood = 3 Impact = 5</p>		<p><b>9</b> Likelihood = 3 Impact = 3</p>	
	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	Quarterly capital review boards		Capital Programme Transformation Project (New)	March 24	50%
	Capital Programme Transformation Project		Health reviews of various projects (New)	March 24	75%
	Regular briefings and reporting to senior management and cabinet members.		Recruit to vacant posts across the service (New)	March 24	10%
<p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>- Financial impact</li> <li>- Failure to progress schemes or delays to schemes impact on productivity of city and aims to reduce congestion, air pollution and inequality</li> <li>- Reputation Impact</li> </ul>					
<p><b>Risk Owner(s):</b> Executive Director Growth and Regeneration, Director Economy of Place.</p>					
<p><b>Portfolio Flag:</b> Transport (Cllr Alexander)</p>	<p><b>Summary of Progress:</b> Lack of resource and high number of vacancies still leading to significant risk of failing to deliver capital programme. Support services can also be an issue.</p>				
<p><b>Strategic Theme:</b> Our Organisation, Wellbeing</p>					

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## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR29 - Information Security Management System (ISMS) May Not Be Effective</p> <p><b>Description:</b> There is a risk that if the council does not have an Information Security Management System then it will not be able to effectively manage Information Security risks.</p>	<p><b>Constant</b></p> 	<p><b>10</b></p> <p>Likelihood = 2 Impact = 5</p>		<p><b>5</b></p> <p>Likelihood = 1 Impact = 5</p>	
<p><b>Risk Causes:</b> Ineffective Information Security Management System, inadequate resources to create and maintain an ISMS, management buy in and support to operate an ISMS.</p>	<b>Control</b>		<b>Mitigating Actions</b>		
			<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
<p><b>Risk Consequences:</b></p> <p>Information security incidents resulting in loss of personal data or breach of privacy / confidentiality.</p> <p>Safeguarding data breach impacting on safety of vulnerable child or adult.</p> <p>Risk of breaching the regulations, and being subject to penalties/fines - Regulations Fines increasing from up to £500,000 to 10-20m Euros of 4% of global turnover.</p> <p>Increased litigation.</p> <p>Reputational damage.</p>	<ol style="list-style-type: none"> <li>Guidance and awareness campaigns supported by regular phishing campaigns. Comms and awareness being delivered to raise awareness to colleagues around the risk of Cyber incidents and how good Information Security practices (including adherence to policies) will help minimise the likelihood of these occurring</li> <li>Security Team Training</li> <li>Meta Compliance tool online to track compliance/engagement of policies</li> </ol>		1. Continue roll out of Policies with oversight from ICGB Information Governance Tool	December 2023	90%
			2. Implement Audit Actions with oversight by IG Board	December 2023	100%
<p><b>Risk Owner(s):</b> Senior Information Risk Owner (SIRO).</p>					
<p><b>Portfolio Flag:</b> Finance, Governance and Performance</p>	<p><b>Summary of Progress:</b></p> <p>No change to current score. Policy work complete, just working through approval and publishing. This is being aligned with both the new corporate policy work, and internal collaboration with IT policies that overlap. Staff awareness is the focus next, alongside the continuous improvement needed to be fully aligned to ISO27001</p>				
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>					


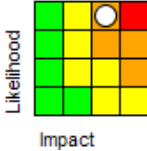
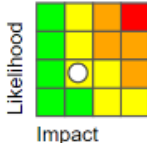
## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR37 - Homelessness and the subsequent cost of providing suitable affordable accommodation may affect long-term outcomes</p> <p><b>Description:</b> The risk that homelessness and the subsequent cost of providing suitable affordable accommodation to meet needs and achieve effective long-term outcomes increases.</p>	<p><b>Constant</b></p> 	<p><b>20</b></p> <p>Likelihood = 4 Impact = 5</p>		<p><b>9</b></p> <p>Likelihood = 3 Impact = 3</p>	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>-The ending of the eviction ban</li> <li>-Unemployment and cost of living rising leading to an increase in evictions.; A recent sharp increase in the number of households partly or wholly reliant on welfare benefits [UC claimant households in Bristol have risen from 17,000 in number in April 2020 to 38,000+ in Feb. 2022]. For most welfare benefits recipients, particularly those living in the private rented sector, housing and essential household costs are not met by their benefits entitlements'. Impact of the pandemic leading to an increase in mental health issues, family relationship breakdown and domestic violence &amp; abuse.</li> <li>-Supply of affordable rented housing reducing</li> <li>-Increasing popularity of Bristol as a city to move to, and associated increased pressure on demand and cost of private rented accommodation</li> </ul>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	<ul style="list-style-type: none"> <li>▪ Joint commissioning of services - Focus on more joint commissioning of services for those homeless households who also face multiple disadvantages - to create a more holistic approach and to improve outcomes. Proposals for commissioning a new framework for supported TA is going to cabinet in October 2022.</li> <li>▪ Effective Commissioning - Recommission our short-term supported housing (Pathways) accommodation &amp; support contracts - to maximise effectiveness of these resources / funding stream and minimise repeat homelessness.</li> <li>▪ Effective cost - New supplier contracts - successfully introduced new block contracts for some Temporary Accommodation, reducing the cost of TA to the Council. Planning to bring more block contracts on-line this financial year</li> </ul>		Changing Futures Programme	March 2024	45%
			Increase the supply of move on accommodation - RSAP round 5 bid deadline 13th April 2022	March 2024	60%
			Cost Effective Accommodation - Initiated a project with the aim of reducing the net unit cost of Temporary Accommodation. Opportunities being explored and prioritised.	December 2023	50%
			Homelessness prevention - review client access - Review how the service and the wider homelessness sector works with clients to identify opportunities for more early intervention and prevention of homelessness	March 24	15%
		Submit a bid to Single Homelessness Accommodation Programme (SHAP) to bring on-line additional supported housing	September 2023	100%	
<p><b>Risk Consequences:</b> Increase in homelessness and the number of households in Temporary Accommodation. Expenditure on Temporary Accommodation does not return to pre-pandemic levels and could continue to increase.</p>	<p><b>Summary of Progress:</b></p> <p>The number of households presenting to Bristol City Council is continuing to increase. There has been an increase in the number of households living in Temporary Accommodation (TA) 1300 on 31st July 2023 to 1431 on 30th November 2023. Factors including fast tracked asylum decisions, increased homelessness from the private rented sector and early prison release has contributed to the increase. There is an underlying pressure of £5m due to Housing Benefit Subsidy loss. With in-year mitigations the forecast pressure for 23/24 is now £1.9m.</p>				
<p><b>Risk Owner(s):</b> Executive Director Growth and Regeneration, Director Housing</p> <p><b>Portfolio Flag:</b> Housing Delivery and Homes</p> <p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>					


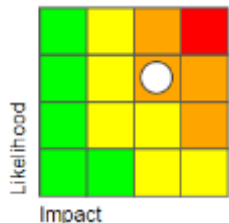
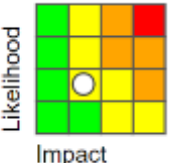
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR39 – Adult and Social Care major provider/supplier may fail to deliver as expected failure</p>	<p style="text-align: center;"><b>Improving</b></p> 	<p style="text-align: center;"><b>9</b></p> <p>Likelihood = 3 Impact = 3</p>		<p style="text-align: center;"><b>14</b></p> <p>Likelihood = 2 Impact = 7</p>		
<p><b>Description:</b> Failure or potential degradation of ASC service provision linked to a complex set of internal / external risks causing service interruption or cessation. Failures or closures in the supply chain mean insufficient supply to source adequate appropriate support and meet Care Act needs.</p>						
<p><b>Risk Causes:</b> - Provider goes into liquidation or ceases operations -Provider unable to meet demand due to recruitment / workforce/ or organisational issues. -Factors influencing provider/supplier failure: Increased demand and increased complexity of need of individuals putting further pressure on social care sector. Chronic workforce recruitment and retention problems heightened by pandemic. The social care sector facing a number of other issues – highly competitive job market, covid 'exhaustion', rising energy costs, changes to National Living Wage, inflation/ raising costs of supplies, high cost of living in Bristol, significant pressures from two large acute hospitals.</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
<p><b>Risk Consequences:</b> Citizens (many of whom are very vulnerable) may have services ended or reduced without much notice putting them at risk and causing distress Lack of suitable local provision may mean people moving away from community, support networks Lack of alternative provision should mean not meeting statutory duties under Care Act Pressures on ASC workforce (social work, contracts, brokerage commissioning etc) to review and find alternative provision in timely manner Financial pressures as demand may drive prices up Lack of suitable provision resulting people moving to inappropriate more costly provision (e.g. care home instead of home care)</p>	<ul style="list-style-type: none"> <li>Daily review of supply and sustainability issues and x3 week business continuity meetings across operations</li> <li>Twice weekly Operational Business continuity meetings</li> <li>Weekly ASC Business continuity meeting – DMT level</li> <li>Weekly produced Sit Rep with information on Covid Outbreak Management, supply, demand, provider quality</li> <li>Regular information received from D&amp;B Credit ratings to help assess financial risk</li> <li>Each major contract (Home Care, Care Homes, Community Support Services, ECH) has a multi-disciplinary Business Relations team which assess risks to those provisions and plan response whether QA or Commissioning</li> <li>Provider Sustainability Panel is a forum where ASC can assess the financial issues facing individual provider and consider support options</li> <li>Regular meetings with a) key Strategic Providers in the city b) all provider forums and regular dialogue with Care and Support West Care Association</li> <li>Daily assessment of supply - via Brokerage team, Business relationship team and Contracts</li> <li>Strategic Planning and information sharing with CCG, other LAs and other key stakeholders - Great integration across BNSSG and joint problem solving, sharing of information and resources.</li> <li>Provider Failure/Service Interruption Process</li> </ul>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
<p><b>Risk Owner(s):</b> Executive Director People, Director Adult Social Care.</p>			<p>Provider RAG rating to identify essential / difficult to replace services</p>	<p>March 24</p>	<p>10%</p>	
<p><b>Portfolio Flag:</b> Adult Social Care &amp; Integrated Care System <b>Strategic Theme:</b> Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>	<p><b>Summary of Progress:</b> It continues to be likely that a large supplier could fail but most likely be a planned exit and as market relatively stable, it would be able to cope.</p>					




Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level													
<p><b>Risk Title:</b> CRR40 – Potential Threat of Unplanned Investment in Subsidiary Companies</p> <p><b>Description:</b> There is a risk that BCC’s investments in subsidiaries may require greater than anticipated capital investment.</p>	<p><b>Constant</b></p> 	<p><b>20</b></p> <p>Likelihood = 4 Impact = 5</p>		<p><b>6</b></p> <p>Likelihood = 2 Impact = 3</p>													
<p><b>Risk Causes:</b> Failure to have effective corporate governance arrangements in place in one or more of the companies. Failure to ensure the right leadership with the right skills across the Companies. Business Failure due to severe economic downturn caused by external factors (incl. Pandemic &amp; Brexit). Service delivery failure as a result of specific market changes (e.g., recycle market, housing market, volatility in gas and electric market prices, delays in timing of income from customer heat network connections), failure to secure planning etc. Delivery of BE2020 wind up within financial envelope. Legislation changes. Cyber Security - risk that key systems are compromised and that sensitive data is stolen Failure to develop and grow commercial trading activities</p> <p><b>Risk Consequences:</b> - Financial Loss - Reputational damage to the council - Impact to service provision provided by subsidiary companies</p> <p><b>Risk Owner(s):</b> Chief Executive and S151 Officer.</p> <p><b>Portfolio Flag:</b> Finance, Governance and Performance</p> <p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>	<p><b>Existing Controls</b></p> <p><b>Control</b></p> <ol style="list-style-type: none"> <li>Audit and Risk Committee - Supports on issues of risk, control and governance.</li> <li>Board Effectiveness Reviews to be annual workforce planning.</li> <li>Continued monitoring of the impact of External issues such as COVID on the business and adaptive approach being proposed for optimising emerging opportunities and mitigating pressures.</li> <li>Effective engagement with BHL re reserved matter decisions and wider engagement with BCC Client teams to review performance, quality and set clear KPIs</li> <li>Shareholding Group</li> <li>Weekly progress review provided and regular review of assumptions, cash flow and risks</li> <li>Company assurance group</li> </ol>		<p><b>Mitigating Actions</b></p> <table border="1"> <thead> <tr> <th>Action Title</th> <th>Due Date</th> <th>Progress</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>			Action Title	Due Date	Progress									
	Action Title	Due Date	Progress														
<p><b>Summary of Progress:</b> Risk rating for 1st December unchanged as a result almost certain outcome that BCC will be required to increase Waste contract payments at year end to deal with shortfall resulting from cost inflationary pressures.</p>																	

Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023


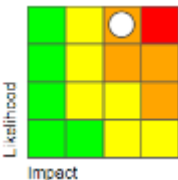
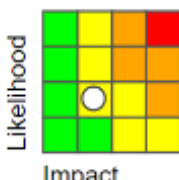
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR41 – Capital Portfolio Delivery May Fail</p> <p><b>Description:</b> Capital portfolio is not delivered on time, within budget and does not deliver One City Plan and Corporate Strategy objectives.</p>	<p><b>Constant</b></p> 	<p><b>15</b> Likelihood = 3 Impact = 5</p>		<p><b>6</b> Likelihood = 2 Impact = 3</p>		
<p><b>Risk Causes:</b> Strategic, geographic, social, financial and economic conditions changing over time Oversight of Project Interdependencies not well managed Insufficient in-house resources to progress major projects lead to missed opportunities to leverage third party investment Failure to anticipate and secure investment and resources to deliver enabling works and infrastructure</p> <p><b>Risk Consequences:</b> The cost is higher than expected The capital portfolio is delivered later than planned The operating and maintenance cost of assets exceeds expectations Benefits not delivered resulting in failure to deliver outcomes to secure strategic objectives</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
	Introduction of enhanced highlight and exception reporting at the G&R Board - Change Services PMO have regular Highlight reports submitted to G&R Board from key and/or large capital programmes and projects. This is now ongoing		Capital transformation project to develop best practice governance, structure and assurance across whole capital programme.	June 2024	18%	
	Internal/External comms factored in into all resource requests to reduce reputational risks					
	Additional headroom in MTFP assumptions to manage inflationary and supply chain issues - Change Services PMO have regular Highlight reports submitted to G&R Board from key and/or large capital programmes and projects. This is now ongoing.					
<b>Risk Owner(s):</b> Executive Director Growth and Regeneration.						
<b>Portfolio Flag:</b> Mayoral Portfolio and City Economy, Finance & Performance	<b>Summary of Progress:</b> The construction sector while still challenging continues to become less volatile. Actions taken to ensure sufficient capital contingency has resulted in a more resilient capital portfolio. Performance is uneven with variation across the portfolio. The capital transformation programme continues to implement improvements, substantially assured standard operating procedures and best practice across the capital portfolio to mitigate the risks identified in this item and target better speed, quality and value in delivery. A key outcome from the transformation programme will be enhanced reporting and corporate insight into the capital portfolio at a senior officer level.					
<b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing						

Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR43 - Lack of progress for Mass Transit may have on Impact on the city</p> <p><b>Description:</b> Failure of regional authorities to agree way forward for development of a Mass Transit system. No sign up to results of feasibility study.</p>	<p><b>Constant</b></p> 	<p><b>20</b> Likelihood = 4 Impact = 5</p>  <p>Likelihood Impact</p>	<p><b>10</b> Likelihood = 2 Impact = 5</p>  <p>Likelihood Impact</p>			
<p><b>Risk Causes:</b></p> <ol style="list-style-type: none"> <li>1. Resourcing Business Case development</li> <li>2. Lack of political consensus</li> <li>3. Viability of Business Case</li> <li>4. Lack of DfT support</li> </ol>	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
	Mass Transit Directors Board - Monthly board in place at regional level to ensure appropriate senior officer engagement with project					
	Regular internal briefings - Regular briefings with senior managers and administration					
<p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>-Reputational impact.</li> <li>-Long term congestion and air pollution increase.</li> <li>-Regional productivity reduced.</li> <li>-Threat to investment across the city.</li> </ul>						
<p><b>Risk Owner(s):</b> Executive Director Growth and Regeneration, Director Economy of Place.</p>						
<p><b>Portfolio Flag:</b> Transport (Cllr Alexander)</p>	<p><b>Summary of Progress:</b> Committee failed to agree a way forward for the strategic outline business case so currently no evident way forward for project. Awaiting update from WECA.</p>					
<p><b>Strategic Theme:</b> Our Organisation, Wellbeing.</p>						


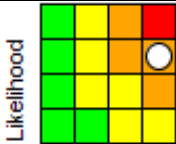
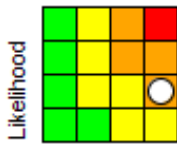


## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023


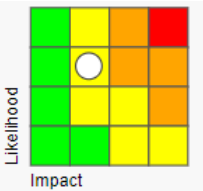
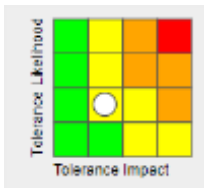
Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR45 - Potential failure to deliver statutory duty in respect of Children</p> <p><b>Description:</b> Failure to deliver statutory duty in respect of the safeguarding of children resulting in harm or death to a child or other unmitigated risk to the local authority</p>	<p><b>Constant</b></p> 	<p><b>20</b></p> <p>Likelihood = 4 Impact = 5</p>		<p><b>6</b></p> <p>Likelihood = 2 Impact = 3</p>	
<p><b>Risk Causes:</b> Staffing failure: recruitment and retention COVID failure: business continuity plans fail due to higher infection/isolation Management failure: failure to oversee and respond in a timely way to child protection concerns, leaving children at risk</p> <p><b>Risk Consequences:</b> Harm or death of a child Inspection failure and regulatory action Litigation and reputational damage Other unpredicted costs to the LA</p> <p><b>Risk Owner(s):</b> Executive Director Children and Education.</p> <p><b>Portfolio Flag:</b> Children's Services, Education &amp; Equalities</p> <p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Wellbeing.</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	1. Benchmarking salaries with regional levels		Implement transformation programme of Children's service	October 2024	41%
	2. Investing in training and development				
	3. Over-recruiting where required				
	4. Reviewing system pressures and taking action on a weekly basis				
	5. Systemic unit model and integrated locality arrangements				
	6. Skilled and stable workforce with low use of agency workers - Continued low use of agency workers but turnover and vacancies have risen.				
	7. Strong multiagency children's safeguarding partnership under Keeping Bristol Safe arrangements				
8. Scrutiny of statutory safeguarding partners					
<p><b>Summary of Progress:</b> The Our Families Transformation Programme has identified strands to 1) Improve recruitment and retention of social workers. 2) Address demand management by focussed work to prevent children coming into care and improve placement sufficiency. 3) Respond to the findings within our Ofsted improvement plan. 4) Work is being planned across Adults and Children to improve Transitions for our children and timeliness of Care Act assessments. 5) DfE Grant to improve outcomes for children and linked to Our Families Transformation Programme has been approved and plan is in place to deliver against this over next 2yrs. Consultants appointed to work on models for adolescents, housing pathway and recruitment and retention of social workers. 6) The progress against the DfE grant and 7) Our Families Transformation programme is monitored through Our Families Board and CLB. The Directorate Improvement Plan encompasses actions against the risks.</p>					




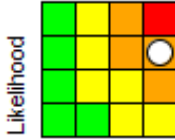
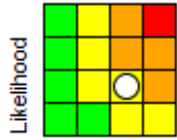
## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR48 - We may not be able to meet the affordable housing needs of the city by failing to meet the Project 1000 Delivery targets.</p> <p><b>Description:</b> Failure of the City to deliver to the Mayoral Target of 1000 affordable homes per year by 2024. Strategies and delivery models designed to further stimulate growth in the housing market and deliver diversity of the housing in the City prove to be ineffective.</p>	<p><b>Constant</b></p> 	<p><b>21</b></p> <p>Likelihood = 3 Impact = 7</p>	 <p>Likelihood</p> <p>Impact</p>	<p><b>14</b></p> <p>Likelihood = 2 Impact = 7</p>	 <p>Likelihood</p> <p>Impact</p>	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>- Availability of public subsidy from homes England and challenges in meeting their funding viability and value for money assumptions</li> <li>-reduction in the levels of Capital funding the Council has to support affordable housing delivery by third party providers</li> <li>- the complexity and costs associated with the development of brownfield sites, leading to viability challenges for both direct and 3rd party delivery.</li> <li>- Insufficient land available</li> <li>- continued impact of Covid 19 on the delivery programme of developments in the City</li> <li>- Not enough planning applications submitted</li> <li>- Not enough planning permissions granted and delays within the planning process</li> <li>- Inability of the housebuilding industry to deliver at this level to meet need through the planning system</li> <li>- Increased uncertainty in the market due to Brexit</li> <li>- Lack of capacity within the council's delivery system and the local market</li> <li>- Insufficient housing land identified in strategic planning documents</li> </ul>	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
<p><b>Risk Consequences:</b></p> <p>1. Reputational damage; 2. Increased levels of homelessness 3. Increased demand from the private rented sector, (non-affordable), by those in highest need 4. Residualisation of lower value areas of the city; 5. Economic deprivation, poorer health and lower educational attainment of households living in poverty in poor housing conditions with limited tenancy sustainability; 6. Balance between addressing need for family homes V increased viability of delivering smaller units</p>	<ol style="list-style-type: none"> <li>1. Improved our monitoring of affordable housing delivery and pipeline including identification of where HDT can unblock barriers to delivery.</li> <li>2. Requiring a minimum of 30% affordable housing on land released by the Council.</li> <li>3. Working collaboratively with Homes England to maximise subsidy in schemes - This provides as much affordable housing as possible. New framework for regular collaboration and review in place, focussing on both BCC direct delivery and RP delivery.</li> <li>4. Project 1000 and Housing Delivery Boards - Scrutiny and active decision making / support at a senior and political level to influence and unblock barriers to delivery. Project 1000 leads in place.</li> <li>5. KPI Targets for affordable housing delivery - quarterly reporting of KPI targets through spar.net providing corporate scrutiny on annual delivery against targets</li> <li>6. Revised Affordable Housing Practice Note.</li> </ol>	<ol style="list-style-type: none"> <li>1. Secure Homes England Affordable Housing Programme Funding</li> <li>2. Maximise capital funding from Homes England, WECA and DLUHC to address the complexities and additional costs of delivering an affordable housing programme on brownfield sites, including looking at ways of developing a strategic approach with key funding partners to meet infrastructure and abnormal costs.</li> </ol>	<p>March 2026</p> <p>March 2025</p>	<p>70%</p> <p>80%</p>		
	<p><b>Risk Owner(s):</b> Executive Director Growth and Regeneration,</p>					
<p><b>Portfolio Flag:</b> Housing Delivery and Homes</p> <p><b>Strategic Theme:</b> Fair and Inclusive</p>	<p><b>Summary of Progress</b></p> <p>Very little change from previous quarter in what is currently a difficult time for the construction and development sector. The HRA delivery programme has progressed well since last quarter with new planning consents and start on site milestones being reached on 5 sites delivering 76 new homes. 97 new affordable homes completed in q2, a total of 227 this year. There are 1900 affordable homes in active delivery in the city and a new sites pipeline of 80 development opportunities being brought forward which will deliver a further 3000+ homes in future years. Its is this longer term, future pipeline of affordable homes that is potentially at risk for the City as costs rise and capacity within the construction sector diminishes.</p>					


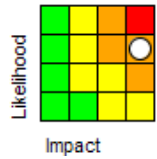
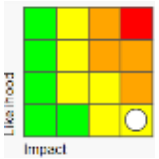
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR49 - Potential Impact of Weak Workforce Resilience</p> <p><b>Description:</b> A lack of workforce resilience or capacity to provide statutory services and achieve strategic aims and objectives</p>	<p><b>Constant</b></p> 	<p><b>9</b></p> <p>Impact 3 = Likelihood= 3</p>		<p><b>6</b></p> <p>Impact=3 Likelihood = 2</p>		
<p><b>Risk Causes:</b> Failure to recruit – particularly in specialist areas where the market is highly competitive COVID-19 impact in labour market and workforce sickness High levels of staff turnover High staff sickness levels Ineffective prioritisation of workloads</p> <p><b>Risk Consequences:</b> Key services fail – inability to meet service demands Statutory and/ or regulatory obligations are not delivered Strategic priorities and aims are not delivered. The council becomes unfocused, and demand led. Increasing levels of sickness absence Higher staff turnover and loss of talent HSE/Legal action Reputational damage Poor customer satisfaction leading to complaints and requests for compensation</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
	<ul style="list-style-type: none"> <li>•Agreements in place with employment businesses for the supply of contingent workforce; agency and statement of works</li> <li>•Promotion of apprenticeships and internal progression opportunities</li> <li>•Regular and close review of management information (through HR Dashboards and leavers survey) to monitor turnover, staff starters/exits to enable targeted actions to be taken</li> <li>•Stress risk assessments, supporting attendance policy, occupational health advice and Employee Assistance Programme are in place to minimise the incidence and length of sickness absence. A refreshed stress risk assessment has been developed through consultation with trade unions and staff led groups and is due for launch in December 22.</li> <li>•Support for managers with future workforce planning and succession planning, with bespoke action plans to target diversity and skills gaps</li> <li>•Consideration of impact of cost of living and winter pressures, encouraging take up of booster and flu jabs and review the facilities available in the workplace</li> </ul>		<p>Workforce Strategy is currently being refreshed and will have workforce resilience and wellbeing as a primary theme</p>	<p>March 2024</p>	<p>75%</p>	
<p><b>Risk Owner(s):</b> Chief Executive, Director of Workforce and Change</p> <p><b>Portfolio Flag:</b> City Economy, Finance &amp; Performance</p> <p><b>Strategic Theme:</b> Our Organisation</p>	<p><b>Summary of Progress:</b> Sickness absence and staff turnover have started to subside. It is recognised that the chance of large swathes of the Council's 6,500+ workers simultaneously suffering a breakdown in resilience is unlikely. Therefore consideration will be given to asking areas where the risk is more likely to register this at a directorate/divisional/service level.</p>					

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Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR51 - ASC may be financial unsustainable due to national and local pressures leads to a failure to deliver statutory duties and budgetary control</p> <p><b>Description:</b> There is a risk that ASC financial unsustainability due to a number of national and local pressures compromises the ability to deliver statutory duties and the independence of people that draw on care and support.</p>	<p><b>Constant</b></p> 	<p><b>21</b></p> <p>Likelihood = 3 Impact = 7</p>	 <p>Likelihood</p> <p>Impact</p>	<p><b>10</b></p> <p>Likelihood = 2 Impact = 5</p>	 <p>Likelihood</p> <p>Impact</p>	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>-Rising demand in Adult Social Care which must be met under the Care Act. Particularly from complex needs and higher cost requirements in people under 65. These needs are more likely to be met outside of area, be subject to lower personal contributions, and be needed for longer.</li> <li>-Increase of needs due to more health services being delivered in the community without appropriate funding following the patient.</li> <li>-Increased complex needs across our demographics that must be met under the Care Act.</li> <li>-Lack of funds available within budget to meet statutory duties.</li> <li>-Lack of systems in order to ensure effective governance and control of all spend.</li> <li>-Pressure from wider system pressures - for example, delays in hospitals which lead to increased long term cost provision for care.</li> <li>-Non-recurrent funding which limits opportunity for long term investment.</li> </ul> <p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>- Overspending on the budget which may impact the wider council.</li> <li>-The consequence of this risk are that appropriate and effective care and support as required under the Care Act may not be possible for all those who require it. The consequence could be felt in the quality or quantity of care and support, or in both.</li> </ul>	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
	<ul style="list-style-type: none"> <li>• Established Care Cubed to improve pricing controls - enabling the service to maximise value for money.</li> <li>• Improved Business Intelligence - Developing advanced tools for analysing and reporting business intelligence and performance information.</li> <li>• Improved governance process on all spend - Improved case discussion where all spend is approved through tighter governance.</li> <li>• Leading integration opportunities with Health - Through establishment of the Integrated Care Board (ICB) BCC are leading implementation of integration opportunities which will maximise vfm e.g. joint commissioning of learning disability and autism team</li> <li>• Realignment of ASC Operations - Using new locality teams to work with local providers, community and voluntary sector to maximises care and support provision outside of Council statutory provision. This builds resilience in communities and individuals, and ensure statutory services are focused on the right interventions.</li> <li>• Reset the ASC Transformation Programme - Reset the programme to address market provision, workforce challenges, price control, practice and integration</li> </ul>		Strategic Partner (People Too) transformation work	March 2024	15%	
				Develop Single Framework	February 2024	50%
				Increase the take up and opportunity around the use of technology enabled care	Sept 2023	100%
			Review of in-house service provision to deliver efficiencies and savings	Sept 2023	100%	
<p><b>Portfolio Flag:</b> Children's Services, Education &amp; Equalities</p> <p><b>Portfolio Flag:</b> Adult Social Care &amp; Integrated Care System</p>	<p><b>Summary of Progress:</b></p> <p>Peopletoo and other transformation programmes in flight, but as we enter Q3 the risk of not balancing the budget becomes more acute. Risk combined of legacy saving projects, transformation and continued increase in demand. Some projects are progressing well and are delivering cash savings but not at the scale and pace required. Non-cashable saving also being delivered.</p>					
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Wellbeing.</p>						



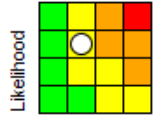
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR52 Failure to manage and evidence compliance with building safety obligations in HRA stock may lead to regulatory enforcement.</p> <p><b>Description:</b> Risk of failing to ensure high rise properties meet safety requirements</p>	<p><b>Constant</b></p> 	<p><b>21</b></p> <p>Likelihood = 3 Impact = 7</p>		<p><b>7</b></p> <p>Likelihood = 1 Impact = 7</p>	
<p><b>Risk Causes:</b> Findings from new PAS9980 inspection regime, learning from fires and new regulatory requirements. Difficulty recruiting to new posts and use of interim arrangements due to sector wide capacity issues with recruitment.</p> <p><b>Risk Consequences:</b> Risks to personal safety, reputational and legal (financial and criminal), increased insurance costs.</p> <p><b>Risk Owner(s):</b> Executive Director Growth and Regeneration, Director Homes and Landlord Service</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	<ul style="list-style-type: none"> <li>Building safety board meetings monitor fire and building safety compliance.</li> <li>Governance via HSLT, EDM, Corporate Safety, Health &amp; Wellbeing and Cabinet Member.</li> <li>Plan to create Building Safety Cases to evidence the safety management systems and action plans to remediate risks.</li> <li>Progression of a plan of action to meet requirements is underway through the Head of Business Development and Programme Lead (Residential Building Safety).</li> </ul>		A competent resource in place to manage and deliver building safety obligations	Dec 23	30%
			Evidence that all Building Safety Bill obligations are being met by ensuring all in scope buildings are registered and key building information supplied. - Phase 3 (building safety cases) (New)	April 23	3%
			Implement an evidenced risk-based approach to building safety management which ensures buildings which have a higher risk have more robust/intensive management.	April 23	20%
			Building/Fire Safety- develop plan for data, mandatory occurrence reporting, golden thread of information- strategy, data ownership, data storage and reporting software/systems under BSA	March 24	25%
			Building Safety – Develop strategy and programme following building safety case review from regulator. (New)	Oct 23	90%
			Building safety – Finalise and implement overarching resident engagement strategy	March 24	30%
			Building safety – Finalise and implement per block resident engagement strategy	March 24	30%
			Building Safety – Review performance reporting framework	Dec 23	100%
			Building safety –Review current governance structure through H&LS DMT, EDM and CLB	Dec 23	100%
			Building safety, Fire Safety – Comprehensive strategy for both building safety and fire safety for >11-18m stock due to very limited knowledge of 200+ mid-rise buildings	May 24	30%
		Building Safety- start building safety cases for HRBs	March 24	100%	

## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023


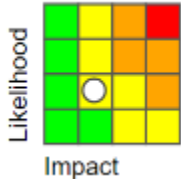
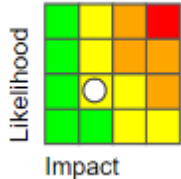
<p><b>Portfolio Flag:</b> Housing Delivery and Homes</p>	<p><b>Summary of Progress:</b>                  The panel determined that the likelihood should increase to 4 (highly likely) to reflect the above concerns, and takes into consideration the current major incident declared at Barton House relating to structural issues. Following discussion with members of HSLT, the risk title has been amended to reflect the possible outcome of regulatory enforcement, and the likelihood of this reclassified as 3 (likely). Significant progress has been in resourcing the Building Safety Team - albeit still predominantly with Interim appointments, and a programme for prioritisation of delivery and management of our Building Safety Obligations.</p>
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>	

Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level		
<p><b>Risk Title:</b> CRR53 - Increased social worker and occupational therapists' vacancies and sickness rates may result in vulnerable adults' care being comprised.</p> <p><b>Description:</b> Limited staff capacity within operational teams will result in increased waiting times for assessment and review potentially putting vulnerable adults at risk of going without sufficient care and support.</p>	<p><b>Constant</b></p> 	<p><b>20</b></p> <p>Impact = 5 Major Likelihood= 4 Almost Certain</p>		<p><b>9</b></p> <p>Likelihood = 3 Impact = 3</p>		
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>-Difficulties recruiting and retain experienced social workers and OTs. This is in line with national picture of increasing vacancy rates in statutory adult care social care departments across the country.</li> <li>-These vacancies are not distributed equally with some operational teams having nearly 50% vacant posts.</li> <li>-Sickness absence in operational teams have also increased during this period which is further compounding operational teams' ability to respond to those in most urgent need.</li> <li>-Cost of living crisis is also likely to impact on retention rates of social work staff</li> </ul>	<b>Existing Controls</b>		<b>Mitigating Actions</b>			
<p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>- As a result of this decreased operational capacity this has seen an increase in numbers of people waiting for assessment and reviews (insert data)</li> <li>-The percentage of individuals who have had an annual review of their care and support needs has also decreased in the last year with less than 50% of individual in receipt of care and support having had a formal review.</li> </ul>	<b>Control</b>	<ul style="list-style-type: none"> <li>• Increase Social Work and OT Apprentice capacity - ASC have doubled the amount of SW and OT apprentices this year increasing to 6 SW Apprentices per year and 2 OT apprentices.</li> <li>• Operational Business Continuity plans duty - All operational teams have internal prioritisation process for workflow and demand. Additionally, they have robust duty systems in place with duty workers present to respond to urgent demands or cases to mitigate against highest risk of harm to citizens and respond in a timely way to those at greatest need.</li> <li>• Recruitment Strategy - Developed new recruitment strategy and implemented rolling recruitment advert.</li> <li>• Developing enhanced Wellbeing offer for operational staff - dedicated additional resource within Adult Workforce L&amp;D to enhance our wellbeing and support offer.</li> </ul>	<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
<p><b>Risk Owner(s):</b> Executive Director People, Director Adult Social Care.</p>			Commission Workforce Strategy	November 2023	100%	
<p><b>Portfolio Flag:</b> Adult Social Care &amp; Integrated Care System</p>						
<p><b>Strategic Theme:</b> Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>	<p><b>Summary of Progress:</b> Work underway on TOM and Vision for ASC. Pay and non-pay options to shore up recruitment and retention progressing.</p>					



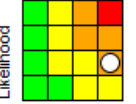
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## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR54 - Potential Threat of Financial Sustainability of Nursery Schools</p> <p><b>Description:</b> The impact of Covid and union action on maintained nursery schools and classes will significantly reduce the funding provided to the LA and schools and could impact on sustainability and sufficiency (sufficiency being a statutory responsibility of the service) Ongoing underfunding of nursery schools continue to raise questions about their future.</p>	<p><b>Constant</b></p> 	<p><b>6</b></p> <p>Likelihood = 3 Impact = 2</p>		<p><b>6</b></p> <p>Likelihood = 3 Impact = 2</p>	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>Availability of staff to service early years learning</li> <li>Census data weakened to inform on EY sector funding.</li> <li>Government process change.</li> </ul>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
<p><b>Risk Consequences:</b></p> <ol style="list-style-type: none"> <li>Increased financial deficits in maintained nursery schools leading to impact on the DSG and long-term sustainability.</li> <li>Reduction in places across the maintained sector on a permanent basis as schools close unsustainable nursery provision that impacts on the city's sufficiency plan.</li> </ol>	<ul style="list-style-type: none"> <li>Identification of potential financial impact</li> <li>Review of progress with agreed actions with targeted nursery schools.</li> <li>Published a council position on the strategic need for nursery schools and key areas where action is required to support sustainability.</li> <li>Individual finance visits to four targeted nursery schools with the largest in-year deficits to create action plans to tackle identified issues.</li> <li>Communication with nursery schools to establish Covid impact and impact on pupil numbers</li> <li>Development of a nursery transformation programme in collaboration with LA maintained nursery school headteachers and governors.</li> <li>Context conversations to capture the strengths and strategic importance of nursery schools as well as the financial and operational challenges.</li> </ul>	Continuing with the nursery transformation programme and working with nursery schools to implement action plans that will reduce in-year deficits and move towards sustainable models for the future.	April 24	55%	
		Bringing groups of nursery schools together the develop collaborative and federation models that share resources, leadership, skills and expertise.	April 24	50%	
		Modelling management of change and collaborate and federation models to inform discussions.	April 24	50%	
		Engaging with elected members to review strategic position of nursery schools and how the council can support remodelling and securing future sustainability.	April 24	45%	
<p><b>Risk Owner(s):</b> Executive Director People, Service Director Education and Skills</p>					
<p><b>Portfolio Flag:</b> Children's Services, Education &amp; Equalities</p>	<p><b>Summary of Progress:</b></p> <p>Increased government funding rates, including increased supplement for maintained nursery schools and increased hourly rates for 2 Year Olds and 3/4 Year Olds, are impacting positively on the school's in-year budget positions. Further funding to support government plans for the expansion of childcare and out of school wrap around care has been announced and officers are currently modelling the financial impact of these increases on current balances. The key challenge remaining is the repayment of the historical deficit of £7million. Discussions underway to agree a repayment plan that is manageable by schools and which meets outcomes of an Equalities Impact Assessment. Schools unable to repay historical deficit in 3-5 years, as stipulated by the financial regulations. Officers reporting to Our Families Board and Schools Forum updates provided.</p>				
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>					




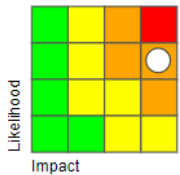
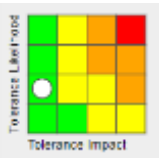
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR55 - Children placed in unregistered provision may be at risk</p> <p><b>Description:</b> There is a possible high threat risk for the council regarding children placed in unregistered provision which is unlawful.</p>	<p><b>Constant</b></p> 	<p><b>28</b> Likelihood = 4 Impact = 7</p>	 <p>Likelihood Impact</p>	<p><b>14</b> Likelihood = 2 Impact = 7</p>	 <p>Likelihood Impact</p>
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>The causes are placement sufficiency and increased numbers of children coming into care.</li> </ul>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
<p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>Unlawful placements</li> <li>Negative Legal Impact</li> <li>Negative Ofsted Impact</li> </ul>	<ul style="list-style-type: none"> <li>Oversight of Director of Children and Families</li> </ul>		Improve placement sufficiency	March 2025	60%
			Explore with Ofsted more creative solutions	January 24	80%
			Implementation of BCC Families Transformation Programme.	January 24	67%
<p><b>Risk Owner(s):</b> Executive Director Children and Education</p>					
<p><b>Portfolio Flag:</b> Children’s Services, Education &amp; Equalities</p>	<p><b>Summary of Progress:</b> The risk remains as we continue to have children placed in unregistered provision.</p>				
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>					


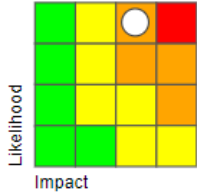
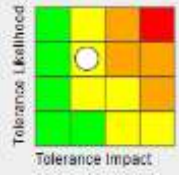
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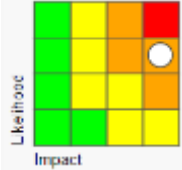
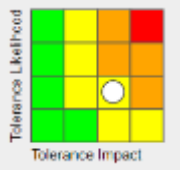
## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR56 - Potential threat to the ASC Care Quality Commission (CQC) Assurance Preparedness and Rating</p> <p><b>Description:</b></p>	<p><b>Constant</b></p> 	<p><b>21</b></p> <p>Likelihood = 3 Impact = 7</p>		<p><b>2</b></p> <p>Likelihood = 2 Impact = 1</p>	
<p><b>Risk Causes</b></p> <p>New line of work - learning whilst doing with little evidence base or benchmarking to refer to. Programme of work in preparation for inspection hitherto managed within BAU resource which has proved insufficient. Current workforce and operating model pressures are leading to risks to compliance in carrying out statutory duties, e.g. safeguarding, timely Care Act Assessments. Data and performance reporting (e.g. locality dashboard) delayed/unfinished.</p> <p><b>Risk Consequences:</b></p> <p>People are families are waiting too long to be seen as teams are having to operate waiting lists, including in areas where there should be none, e.g. Safeguarding and First Response. Line of sight of risk is compromised. Individuals may come to harm.</p>	<p><b>Existing Controls</b></p>		<p><b>Mitigating Actions</b></p>		
	<p><b>Control</b></p> <p>This is a new area of work, and so current control requirements are emerging as we learn from pilots.</p>	<p><b>Action Title</b></p> <p>LGA Peer Review (New)</p> <p>Reframed Approach to Self-Assessment (New)</p> <p>Resourcing Self-Assessment</p>	<p><b>Due Date</b></p> <p>January 2024</p> <p>December 2023</p> <p>October 2023</p>	<p><b>Progress</b></p> <p>0%</p> <p>67%</p> <p>100%</p>	
<p><b>Risk Owner(s):</b> Director - Adult Social Care</p>	<p><b>Summary of Progress:</b></p> <p>Self Assessment complete with the support of additional resource. LGA Peer Review Prep is underway alongside engagement with partners and colleagues on the self assessment.</p>				
<p><b>Portfolio Flag:</b></p> <p>Adult and Communities – Adult Social Care</p>					
<p><b>Strategic Theme:</b> Empowering and Caring, Wellbeing Our Organisation</p>					


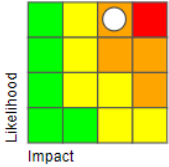
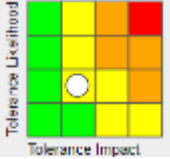
Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<b>Risk Title:</b> CRR57 Possible procurement breaches and compliance with procurement rules & legislation.	<b>Constant</b>  	<b>20</b> Likelihood =4 Impact = 5		<b>9</b> Likelihood = 3 Impact = 3	
<b>Description:</b> Lack of compliance with procurement rules with regards to purchasing and contract management may result in breaches or BCC Procurement Rules and at risk of breaching PCR2015.					
<b>Risk Causes</b> Poor contract management Lack strategic planning and pipeline awareness.; Supplier preference, unwillingness to tender; Lack capacity withing Procurement & Contract Management Service; Rise of inflation and savings targets  <b>Risk Consequences:</b> Successful Legal challenge and financial penalty against BCC. Reputational damage due to internal audit scrutiny and external audit publishing.	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	All procurement breaches to be approved by Executive Directors Breach Dashboard Data Reporting Training		Monthly reporting to Director of Finance on breach activity	March 2024	75%
		Quarterly Members Briefing on Procurement Breaches	March 2024	75%	
		Monitoring reports on breach activity to all Directors and Executive Directors on breach numbers, compliance and mitigations.	March 2024	75%	
<b>Risk Owner(s):</b> Director: Finance (CFO S151)	<b>Summary of Progress:</b> Q2 Report - There have been 125 breaches YTD, which is high but represents a significant reduction from this time last year (194). For context, this means that 9% of all procurement decisions were breaches (125/1318), or 6% by value (£40m of breaches out of a total of £631m total decisions). Breach numbers by Directorate YTD are: 26 in Adults & Communities, 64 in Children and Education, 35 in G&R and 0 breaches in Resources. CLB agreed to bring Director led 'deep dive' reports back to CLB to set out how procurement breaches will be reduced. Breaches now monitored weekly by CLB.				
<b>Portfolio Flag:</b> Finance, Governance and Performance					
<b>Strategic Theme:</b> Our Organisation					

## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<b>Risk Title:</b> CRR58 Failure to maintain and replace the Highway and Traffic assets may lead to future budget shocks and potential injuries to the public	<b>Constant</b>  	<b>21</b> Likelihood = 3 Impact = 7		<b>10</b> Likelihood = 2 Impact = 5	
<b>Description:</b> Deterioration of highway condition. Additional roadworks resulting in congestion and air pollution. .					
<b>Risk Causes</b> Under investment in replacements and upgrades of highway and traffic assets Climate changes are accelerates the depreciation of the asset Lack of funding from Central Government and local funding  <b>Risk Consequences:</b> 1. Multi-storey carpark closure 2. Multi-storey carpark structural failure 3. Harbour Bridge Structural Failure 4. Failure to safeguard against significant injury/death. 5. Litigation from third party aggravated or who have suffered loss, due to non treatment of a perceived collision site or other Highways defect. 6. Traffic congestion and air pollution. 7. Increase in complaints and request for repairs diverts resources from core business.  <b>Risk Owner(s):</b> <b>Executive</b> Director Growth and Regeneration	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	Depreciation modelling identifies the severity of the risk to Highway and Traffic asses	Lifecycle modelling and scheme selection using data sets	Request for funding to be included in the medium financial plan.	January 24	75%
	Preventative maintenance approach to repairs extends the life of the asset and slows the depreciation.				
	Risk based to seeking additional funding (Challenge funds)				
<b>Portfolio Flag:</b> Transport	<b>Summary of Progress:</b> Risk categories increased to major due to current circumstances. E.g. claims increase and defects on network increasing as depreciation accelerates. Risk of the asset depreciation has been presented to senior leadership and finance colleagues to support business case for additional funding				
<b>Strategic Theme:</b> Well Connected					


Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Threat Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> CRR59 Failure to deliver timely statutory planning decisions</p>	<p><b>Deteriorating</b></p> 	<p><b>20</b> Likelihood =4 Impact = 5</p>		<p><b>6</b> Likelihood = 2 Impact = 3</p>	
<p><b>Description:</b> The DM service must determine applications in statutory time periods and failure to do this results in delays in delivering development and potentially refund of fees</p>					
<p><b>Risk Causes</b> Inability to attract, recruit and/or retain existing suitably trained/qualified/experienced staff to support work programme and the development of the service. Small teams are less resilient than others, in some instances only one or two staff qualified to carry out services resulting in single point of failure. Jobs in the council not seen as aspirational and interest impacted by national news of council funding reductions. Salaries not as competitive as private sector. Limited opportunity for staff progression. Corporate financial pressures impacting recruitment and retention. Overturns of officer recommendations by Members at DC Committee. Decisions made under delegated powers that are overturned by the Planning Inspectorate at appeal.</p> <p><b>Risk Consequences:</b> Planning &amp; building regulation applications take longer to determine. Delays in delivering developments. Potential fee refund if extended time not agreed. Inability to complete existing projects. Reduced ability to take on work and to respond to variations in workload and programmes. Loss of market share if delays not acceptable to the customer. Inability to honour career grade progression commitments.</p> <p><b>Risk Owner(s):</b> Chief Planner</p>	<p><b>Existing Controls</b></p>		<p><b>Mitigating Actions</b></p>		
	<p><b>Control</b></p>		<p><b>Action Title</b></p>	<p><b>Due Date</b></p>	<p><b>Progress</b></p>
		<p>Backlog recovery plan of planning application decisions</p>	<p>June 2024</p>	<p>25%</p>	
<p><b>Portfolio Flag:</b> Strategic Planning and City Design <b>Strategic Theme</b> Empowering and Caring Strategic Planning and City Design</p>	<p><b>Summary of Progress:</b> In light of the massive backlog this has been a serious issue for the last 6 months that are addressing as No. 1 priority in development management. The scale of the issue means, however, that recovering the situation will take at least another 6 months likely longer.</p>				

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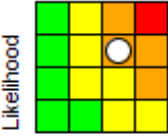
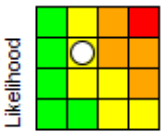
## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

### Opportunity Risks


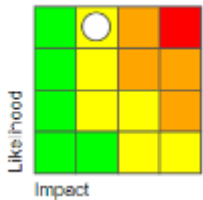
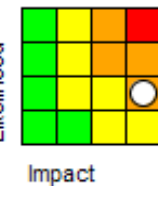
Opportunity Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> OPP01 - Possible Impact of One City Approach</p> <p><b>Description:</b> The One City Approach will offer a new way to plan strategically with partners as part of a wider city system.</p>	<p><b>Constant</b></p> 	<p><b>14</b></p> <p>Likelihood = 2 Impact = 7</p>		<p><b>28</b></p> <p>Likelihood = 4 Impact = 7</p>	
<p><b>Risk Causes:</b></p> <ol style="list-style-type: none"> <li>Mayoral aspiration and widespread partner sign-up to principles</li> <li>Work to date has produced outline plan and engaged partners in the long-term vision and necessary work to complete the plan</li> </ol>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
	<ol style="list-style-type: none"> <li>V3 One City Plan Produced - We have produced v3 of the One City Plan and produced our second annual report available on the One City Website from 12 June 2021.</li> </ol>		Set up Partnership Board	September 2023	100%
			Establish TOR and Performance Criteria	Feb 24	50%
<p><b>Risk Consequences:</b></p> <ol style="list-style-type: none"> <li>The council can plan as part of a wider city system, making stronger plans based on agreed city priorities which already have partner buy-in</li> <li>Potential to make financial and efficiency savings and/ or deliver better services and/or reduced demand for service, reducing costs whilst improving citizen outcomes. Update April 2020: 3. Relationships already built can accelerate communication, collaboration and effective delivery of a coherent plan for the city's recovery from Covid-19</li> </ol>					
<p><b>Risk Owner(s):</b> Director Policy, Strategy and Partnerships.</p>					
<p><b>Portfolio Flag:</b> Finance, Governance and Performance</p>	<p><b>Summary of Progress:</b> Good engagement with Committee Member Working Group about One City but awaiting future session to confirm the group's view about the model, which will be influential.</p>				
<p><b>Strategic Theme:</b> Our Organisation</p>					

## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

### External and Civil Contingency Risks


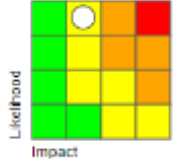
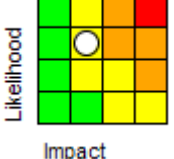
External and Civil Contingency Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> BCCC1 - Flooding May Impact Public Safety</p> <p><b>Description:</b> There could be a risk of damage to properties and infrastructure as well as risk to public safety from flooding which may be caused by a tidal surge, heavy rainfall and river flood events.</p>	<p><b>Constant</b></p> 	<p><b>15</b></p> <p>Likelihood = 3 Impact = 5</p>	 <p>Likelihood</p> <p>Impact</p>	<p><b>9</b></p> <p>Likelihood = 3 Impact = 3</p>	 <p>Likelihood</p> <p>Impact</p>
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>-Tidal surge, heavy rainfall, and river flood events</li> <li>-Impact of climate change</li> <li>-Lack of effective flood defences and preparedness for major incidents</li> <li>-Failure of existing flood defences</li> </ul>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
<p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>-Economic Impacts including loss of property</li> <li>-Loss of life/injury</li> <li>-Reputational damage</li> <li>-Damage to infrastructure including strategic highway</li> <li>-Blight of city centre development land</li> </ul>	<ol style="list-style-type: none"> <li>1. Avon and Somerset Local Resilience Forum - The Avon and Somerset Local Resilience Forum (LRF) is a partnership of all the organisations needed to prepare for an emergency in the LRF area. It includes the emergency services, health services, Maritime and Coastal Agency, Environment Agency, volunteer agencies, utility companies, transport providers and the five councils of Bath and North East Somerset, Bristol, North Somerset, Somerset, and South Gloucestershire.</li> <li>2. Engagement with external partners to develop flood response plans and procedures - Working with emergency services, local authorities, and other agencies to develop flood response plans and procedures, investigating instances of flooding, training specialist staff in swift water rescue techniques, communicating with housing and business developers to incorporate flood protection into new developments. It provides guidance to members of the public about flooding, including flood warnings and what people can do to help themselves.</li> </ol>		Avonmouth Severnside Enterprise Area flood defence scheme - construction	June 2027	80%
			Resilient Frome project	March 27	20%
<p><b>Risk Owner(s):</b> Executive Director Growth and Regeneration, Director Economy of Place.</p>	<ol style="list-style-type: none"> <li>3. Local Flood Risk Management Strategy - Bristol has in place a local Flood Risk Management Strategy which comprises of 5 key themes and 43 separate actions in line with Environment Agency's national strategy. The Strategy has used outputs from a number of key studies (which identify the risk of flooding to the city) to structure our response to flood risk management, from emergency management to flood mitigation schemes</li> <li>4. Regular and Emergency Maintenance and Clearing of Gullies and Culverts – especially in advance of storm warnings</li> <li>5. Ongoing engagement with Civil Protection unit</li> </ol>		Underfall Yard sluice replacement works – construction (New)	July 24	20%
<p><b>Portfolio Flag:</b> Climate, Ecology, Energy &amp; Waste and Strategic Planning, Resilience and Flood Strategy</p>	<p><b>Summary of Progress:</b> Resource appointed to lead Frome resilience project, manager recruitment ongoing. Projects progressing but significant flood risk remain.</p>				
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>					

Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

External and Civil Contingency Risk	Trend	Current Risk Assessment		Risk Tolerance Level			
<p><b>Risk Title:</b> BCCC4 – Possible Increase in Winter diseases including COVID-19 and Flu</p> <p><b>Description:</b> Covid 19 poses multiple risks to population health. Directly from infection; indirectly through social and economic impacts; and through pressures on the health and care system. On 21ST Feb 2022 the Gov announced Living with Covid Strategy which includes withdrawal of population testing and contact tracing. Isolation and other compliance is voluntary</p>	<p><b>Deteriorating</b></p> 	<p><b>12</b></p> <p>Likelihood = 4 Impact = 3</p>			<p><b>9</b></p> <p>Likelihood = 3 Impact = 3</p>		
<p><b>Risk Causes:</b> Covid 19 poses multiple risks to population health. Directly from infection; indirectly through social and economic impacts; and through pressures on the health and care system. Removal of Covid controls reduces ability to contain infection.</p> <p><b>Risk Consequences:</b> Infection from Covid, proportion of severe illness, long Covid and deaths. Disruption to work, school, university. Emotional and mental health impacts, for all ages including loneliness. Food poverty.</p>	<b>Existing Controls</b>		<b>Mitigating Actions</b>				
	<b>Control</b>			<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>	
	1. Daily Situation Reports – weekly from April 2022 and will be produced in current format until 31 March 2023						
	2. Investment in Infection Prevention and Control - Additional recurrent investment has been made in Community Infection Prevention and control. Regional and Health system IPC oversight established						
	3. Local Outbreak Management and Response Plan - LOMP has been replaced by living with Covid Plan -developed with partners. Weekly Outbreak Management Group replaced by weekly Living With Covid Group. Monthly reports to CLB Gold and regular updates to ELM. Regular staff and public bulletins						
	4. Ongoing Community Engagement and Mental Health Work - Additional investment in MH work through Thrive						
	5. Priority Programmes focussed on Mental Health, Well-Being and Food Poverty						
	6. Protecting Health Function - Enhanced protecting health function - completed / Green. Weekly reports published – will remain in place but frequency may change - Green						
7. Weekly Death Management and Vaccine Reports							
<p><b>Risk Owner(s):</b> Executive Directors &amp; Director of Public Health</p>							
<p><b>Portfolio Flag:</b> Mayor</p>							
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>	<p><b>Summary of Progress:</b> The winter disease season has not started yet (24/11/23) so there has not been a marked increase in Flu or COVID at the moment, but we do anticipate that the seasonal increase will be notable in the coming quarter.</p>						

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Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

External and Civil Contingency Risk	Trend	Current Risk Assessment		Risk Tolerance Level	
<p><b>Risk Title:</b> BCCC5 - Cost of Living Crisis may have major impact on Citizens and Communities</p> <p><b>Description:</b> Failure of the council and its one-city partners to mitigate against, and provide adequate services to, citizens experiencing increases in living costs including fuel and food leading to increased poverty, inequity and worsening health &amp; wellbeing as a result of the ongoing cost of living crisis.</p>	<p><b>Constant</b></p> 	<p><b>12</b> Likelihood = 4 Impact = 3</p>		<p><b>9</b> Likelihood = 3 Impact = 3</p>	
<p><b>Risk Causes:</b></p> <ul style="list-style-type: none"> <li>-Supply chains disruption</li> <li>-Global COVID-19 Pandemic</li> <li>-Brexit</li> <li>-War in Ukraine</li> <li>-Leading to rapid inflation</li> </ul> <p><b>Risk Consequences:</b></p> <ul style="list-style-type: none"> <li>-Destitution - homelessness</li> <li>-Inability for citizens to pay general services and utilities</li> <li>-Increased debt for citizens and the council</li> <li>-Health and well-being deterioration</li> <li>-Inequity deepening</li> <li>-Increased demand on services across the council leading to failure to meet this demand</li> <li>-Community cohesion deteriorates</li> </ul>	<b>Existing Controls</b>		<b>Mitigating Actions</b>		
	<b>Control</b>		<b>Action Title</b>	<b>Due Date</b>	<b>Progress</b>
<p><b>Risk Owner(s):</b> Executive Director People, Director Public Health</p>	<ol style="list-style-type: none"> <li>1. Baseline / impact assessment to understand potential impact on Bristolians</li> <li>2. Creation of monitoring framework with 'red flag' indicators</li> <li>3. Development of civic &amp; community asset map</li> <li>4. Development of framework for targeted action</li> <li>5. Data monitoring of key 'red flag' indicators - monitored by the One City and One Council Group</li> <li>6. Established One Council Group to monitor impact and coordinate action (meeting appx every 3 weeks)</li> <li>7. Established One City Coordination Group</li> <li>8. Communication plan in place led by BCC External Communications</li> <li>9. Bi-weekly meetings of Community Exchange - Meetings with community partners delivering response</li> </ol>		Review and update comms plan for winter 23/24	October 2023	100%
			Update Impact Assessment	Sept 2023	100%
<p><b>Portfolio Flag:</b> Public Health and Communities</p>	<p><b>Summary of Progress:</b> We have a communications plan in place. The BCC website continues to provide information for people who need financial help or looking to increase their household income. 60 welcoming spaces are open and we expect more to open now that small grants have been made available via Quartet. The City Coordination Group continues to meet monthly as does the One Council Group we are agreed our focus is about long term sustainable action to address poverty and inequity which included ensuring there is immediate help available. This is a systemic problem rather than a short term crisis.</p>		Work with Quartet to award Social Action Grants	December 2023	0%
<p><b>Strategic Theme:</b> Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing</p>					



# Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

## Risk Scoring Matrix

		Threat Impact (Negative risks)					Opportunity Impact (Positive Risk)						
Threat Likelihood	Almost certain	4	4 (Low)	12 (Medium)	20 (High)	28 (Critical)	28 (Significant)	20 (High)	12 (Medium)	4 (Low)	4	Almost certain	Opportunity Likelihood
	Likely	3	3 (Low)	9 (Medium)	15 (High)	21 (High)	21 (High)	15 (High)	9 (Medium)	3 (Low)	3	Likely	
	Unlikely	2	2 (Low)	6 (Medium)	10 (Medium)	14 (High)	14 (High)	10 (Medium)	6 (Medium)	2 (Low)	2	Unlikely	
	Rare	1	1 (Low)	3 (Low)	5 (Medium)	7 (Medium)	7 (Medium)	5 (Medium)	3 (Low)	1 (Low)	1	Rare	
			1	3	5	7	7	5	3	1			
			Minor	Moderate	Major	Critical	Exceptional	Significant	Modest	Slight			

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Threat Level	Opportunity Level	Level of Risk	Actions Required
1-4	1-4	Low	May not need any further action / monitor at the Service level.
5-12	5-12	Medium	Action required, manage and monitor at the Directorate level.
14-21	14-21	High	Must be addressed - if Directorate level consider escalating to the Corporate Risk Report, if Corporate consider escalating to the Cabinet Lead.
28	28	Critical / Significant	Action required - escalate if a Directorate level risk, escalate to the Corporate Level, if Corporate bring to the attention of the Cabinet Lead to confirm action to be taken.

LIKELIHOOD AND IMPACT RISK RATING SCORING  
Likelihood Guidance

## Appendix A1 – Corporate Risk Register Q3 2023-2024 as at December 2023

Likelihood	Likelihood Ratings 1 to 4			
	1	2	3	4
Description	Might happen on rare occasions.	Will possibly happen, possibly on several occasions.	Will probably happen, possibly at regular intervals.	Likely to happen, possibly frequently.
Numerical Likelihood	Less than 10%	Less than 50%	50% or more	75% or more

Severity of Impact Guidance (Risk to be assessed against all of the Categories, and the highest score used in the matrix).

Impact Category	Impact Levels 1 to 7			
	1	3	5	7
Service provision	Very limited effect (positive or negative) on service provision. Impact can be managed within normal working arrangements.	Noticeable and significant effect (positive or negative) on service provision.  Effect may require some additional resource, but manageable in a reasonable time frame.	Severe effect on service provision or a Corporate Strategic Plan priority area.  Effect may require considerable /additional resource but will not require a major strategy change.	Extremely severe service disruption. Significant customer opposition. Legal action. Effect could not be managed within a reasonable time frame or by a short-term allocation of resources and may require major strategy changes. The Council risks 'special measures'. Officer / Member forced to resign.
Communities	Minimal impact on community.	Noticeable (positive or negative) impact on the community or a more manageable impact on a smaller number of vulnerable groups / individuals which is not likely to last more than six months.	A more severe but manageable impact (positive or negative) on a significant number of vulnerable groups / individuals which is not likely to last more than twelve months.	A lasting and noticeable impact on a significant number of vulnerable groups / individuals.
Environmental	No effect (positive or negative) on the natural and built environment.	Short term effect (positive or negative) on the natural and or built environment.	Serious local discharge of pollutant or source of community annoyance that requires remedial action.	Lasting effect on the natural and or built environment.
<b>Financial Loss / Gain</b>	<b>Under £0.5m</b>	<b>Between £0.5m - £3m</b>	<b>Between £3m - £5m</b>	<b>More than £5m</b>
Fraud & Corruption Loss	Under £50k	Between £50k - £100k	Between £100k - £1m	More than £1m
Legal	No significant legal implications or action is anticipated.	Tribunal / BCC legal team involvement required (potential for claim).	Criminal prosecution anticipated and / or civil litigation.	Criminal prosecution anticipated and or civil litigation (> 1 person).
Personal Safety	Minor injury to citizens or colleagues.	Significant injury or ill health of citizens or colleagues causing short-term disability / absence from work.	Major injury or ill health of citizens or colleagues may result in. long term disability / absence from work.	Death of citizen(s) or colleague(s). Significant long-term disability / absence from work.
Programme / Project Management <i>(Including developing commercial enterprises)</i>	Minor delays and/or budget overspend but can be brought back on schedule with this project stage. No threat to delivery of the project on time and to budget and no threat to identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones, and/or budget overspends.  No threat to overall delivery of the project and the identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones; and/or major budget overspends.  Major threat to delivery of the project on time and to budget, and achievement of one or more benefits / outcomes.	Significant issues threaten delivery of the entire project.  Could lead to project being cancelled or put on hold.
Reputation	Minimal and transient loss of public or partner trust. Contained within the individual service.	Significant public or partner interest although limited potential for enhancement of, or damage to, reputation.  Dissatisfaction reported through council complaints procedure but contained within the council.  Local MP involvement. Some local media/social media interest.	Serious potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Dissatisfaction regularly reported through council complaints procedure.  Higher levels of local or national interest.  Higher levels of local media / social media interest.	Highly significant potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Intense local, national and potentially international media attention.  Viral social media or online pick-up.  Public enquiry or poor external assessor report.

# Appendix A2 – Static Risk Report Q3 2023-2024 as at December 2023 Corporate Risk Register

## Threat Risks – Static Risk Summary

Risk	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
CRR55 - Children placed in unregistered provision may be at risk	N/A	N/A	28 ↓		28		28	
CRR9 - Possible Failure of Safeguarding Vulnerable Children	21 ↓		21 ↓		21 ↓		21 ↓	
CRR10 - Safeguarding Adults may be at Risk with Care and support needs.	15 ↓		21 ↓		21 ↓		21 ↓	
CRR15 – Possible In-Year Financial Deficit	28 ↓		21 ↑		21 ↓		21 ↓	
CRR48 - We may not be able to meet the affordable housing needs of the City by failing to meet the Project 1000 Delivery targets.	21 ↓		21 ↓		21 ↓		21 ↓	
CRR51 - ASC may be financial unsustainable due to national and local pressures leads to a failure to deliver statutory duties and budgetary control	21 ↓		21 ↓		21 ↓		21 ↓	
CRR52 - Potential failure to manage and evidence building safety obligations in HRA stock	21 ↓		21 ↓		21 ↓		21 ↓	
CRR7 - Potential Cyber Security Issues	20 ↓		20 ↓		20 ↓		20 ↓	
CRR25 - Possible Suitability of Line of Business (LOB) Systems Issues	20 ↓		20 ↓		20 ↓		20 ↓	

## Appendix A2 – Static Risk Report Q3 2023-2024 as at December 2023 Corporate Risk Register

Risk	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
CRR37 – Homelessness and the subsequent cost of providing suitable affordable accommodation may affect long-term outcomes	20		20		20		20	
CRR40 - Potential Threat of Unplanned Investment in Subsidiary Companies	20		20		20		20	
CRR43 - Lack of progress for Mass Transit may have on Impact on the city	20		20		20		20	
CRR45 - Potential failure to deliver statutory duty in respect of Children	20		20		20		20	
CRR53 - Increased social worker and occupational therapists vacancies and sickness rates may result in vulnerable adults care being comprised.	20		20		20		20	
CRR57 -- Possible procurement breaches and compliance with procurement rules & legislation	15		20		20		20	
CRR18 - Possible failure to deliver enough new homes to meet Mayoral and Annual Business Plan targets.	10		15		15		15	
CRR27 – We may fail to Deliver the Capital Transport Programme	15		15		15		15	
CRR26 - ICT Resilience May Not Be Effective	14		14		14		14	

## Appendix A2 – Static Risk Report Q3 2023-2024 as at December 2023 Corporate Risk Register

Risk	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
CRR29 - Information Security Management System (ISMS) May Not Be Effective	10		10		10		10	
CRR39 - Adult and Social Care major provider/supplier may fail to deliver as expected	15		15		15		9	
CRR6 - Potential threat of Fraud and Corruption	15		15		15		6	

### External and Civil Contingency Risks – Static Risk Summary

Risk	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
CCC1 – Flooding May Impact Public Safety	15		15		15		15	
CCC5 - Cost of Living Crisis may have major impact on Citizens and Communities	28		12		12		12	

### Opportunity Risk Static Risk Summary

Risk	Q4 Rating (22/23)	Q4 Matrix (22/23)	Q1 Rating (23/24)	Q1 Matrix (23/24)	Q2 Rating (23/24)	Q2 Matrix (23/24)	Q3 Rating (23/24)	Q3 Matrix (23/24)
OPP01 - Possible Impact of One City Approach	21		14		14		14	

## Appendix A2 – Static Risk Report Q3 2023-2024 as at December 2023 Corporate Risk Register

**Static Risk Definition:** A Corporate Risk where the score has not changed for three consecutive quarters.

### Legend

Code	Description	Number of Risks
<b>Remained Static.</b>	Was static in Q2 23/24 and remains static in Q3 i.e. four consecutive quarters.	17
<b>Became Static in Q3</b>	Became static in Q3 23/24 by the score remaining the same in Q3.	5
<b>Mitigated in Q3</b>	Was static in Q2 23/24 but the risk was mitigated, and the score reduced during Q3.	2
	<b>Total</b>	<b>24</b>

## Appendix A3 – Risks Scoring 20 to 28 but not in Corporate Risk Register Q3 2023-2024 – December 2023

### Summary of Risks Scoring 20 to 28 but not in Corporate Risk Register Q3 2023-2024 – December 2023

Risk Title	Score	Directorate	Comments
Carbon net Zero 2030 target may not be achieved for council owned housing	21	Growth and Regeneration	Agreed at the Q3 Risk Review to be managed at EDM level, risk score to be reviewed, controls and mitigation actively managed regularly.
Failure to meet Ombudsman recommendations on damp & mould.	21	Growth and Regeneration	Agreed at the Q3 Risk Review to be managed at EDM level, risk score to be reviewed, controls and mitigation actively managed regularly.
Harbour infrastructure failure lead to property damage, flooding and injuries	21	Growth and Regeneration	Agreed at the Q3 Risk Review to be managed at EDM level, risk score to be reviewed, controls and mitigation actively managed regularly.
Scheduling Click system at end of life - risk of failure to repairs in social housing	21	Growth and Regeneration	Agreed at the Q3 Risk Review to be managed at EDM level, risk score to be reviewed, controls and mitigation actively managed regularly.
Possible failure to meet building safety and consumer standard legislative obligations from lack of adequate HRA financial support	21	Growth and Regeneration	Agreed at the Q3 Risk Review to be managed at EDM level, risk score to be reviewed, controls and mitigation actively managed regularly.
DRR Failure to manage and evidence compliance with fire safety obligations in HRA stock may lead to regulatory enforcement, injury, loss to residents, or damage to property.	21	Growth and Regeneration	Agreed at the Q3 Risk Review to be managed at EDM level, risk score to be reviewed, controls and mitigation actively managed regularly.
DRR02 Failure to evidence compliance with asbestos obligations in HRA stock.	21	Growth and Regeneration	Agreed at the Q3 Risk Review to be managed at EDM level, risk score to be reviewed, controls and mitigation actively managed regularly.
DRR17b Electrical safety - Failure to manage and evidence compliance with electrical safety obligations in HRA stock may lead to regulatory enforcement, death, or serious injury.	21	Growth and Regeneration	Agreed at the Q3 Risk Review to be managed at EDM level, risk score to be reviewed, controls and mitigation actively managed regularly.
CRR48b Failure of Goram homes to deliver in accordance with project 1000 Forecasts	21	Growth and Regeneration	This risk, along with CRR48 and CRR48a and CRR48c, are being reviewed with the view to merged into the Corporate Risk <i>CRR48 - We may not be able to meet the affordable housing needs of the City by failing to meet the Project 1000 Delivery targets.</i>
CRR48c Failure to deliver new Council homes in accordance with Project 1000 Forecasts	21	Growth and Regeneration	This risk, along with CRR48 and CRR48a and CRR48b, are being reviewed with the view to merged into the Corporate Risk <i>CRR48 - We may not be able to meet the affordable housing needs of the City by failing to meet the Project 1000 Delivery targets.</i>
Parks and Green spaces Asset deterioration and failure	20	Growth and Regeneration	Agreed at the Q3 Risk Review to be managed at EDM level, risk score to be reviewed to reflect EDM level, controls and mitigation actively managed regularly.
Resourcing for Finance Team may affect service delivery	20	Resources	Agreed at the Q3 Risk Review to be managed at EDM level, risk score to be reviewed, controls and mitigation actively managed regularly.

**Appendix A3 – Risks Scoring 20 to 28 but not in Corporate Risk Register Q3 2023-2024 – December 2023**

<b>Risk Title</b>	<b>Score</b>	<b>Directorate</b>	<b>Comments</b>
Placement sufficiency for children in care / care leavers	20	Children and Education	A review of this risk commenced in Q3 and will continue in Q4 to provide assurance on the current risk score, or whether the score can be reduced. Agreed at the Q3 Risk Review to be managed at EDM level, risk score to be reviewed, controls and mitigation actively managed regularly.
Integrated Care System Effectiveness of Joint Funding Arrangements	20	Adult and Communities	A review of this risk commenced in Q3 and will continue in Q4 to provide assurance on the current risk score, or whether the score can be reduced. Agreed at the Q3 Risk Review to be managed at EDM level, risk score to be reviewed, controls and mitigation actively managed regularly.
Strategic and Operational Governance of Refugee Resettlement, Asylum and NRPF	20	Adult and Communities	Agreed at the Q3 Risk Review to be managed at EDM level, risk score to be reviewed, controls and mitigation actively managed regularly.
DRR Possible Hengrove Leisure Centre PFI Budget Deficit	20	Adult and Communities	A review of this risk commenced in Q3 and will continue in Q4 to provide assurance on the current risk score, or whether the score can be reduced. Agreed at the Q3 Risk Review to be managed at EDM level, risk score to be reviewed, controls and mitigation actively managed regularly.



# Overview and Scrutiny Management Board

12 February 2024



**Report of:** Director: Legal and Democratic Services

**Title:** Bristol Holding Limited Group Company Business Plans for 2024/25 (Bristol Holding Limited, Goram Homes Limited and Bristol Waste Limited.)

**Ward:** All

**Officer Presenting Report:** Shareholder Liaison Manager

**Contact Telephone Number:** 07469 029 460

**Recommendation:**

That the committee review and provide comments on the Bristol Holding Limited Group Company Business Plans 24/25 including that of Bristol Holding Limited, Goram Homes Limited and Bristol Waste Limited.

**The significant issues in the report are:**

Please see the content of the business plans, of Bristol Holding Limited (company number: 09485669), and Goram Homes Limited (company number: 11597204) and Bristol Waste Limited (company number: 09472624) (the Bristol Holding Group).

The Business Plans will be submitted for approval to Cabinet on 5 March 2024.



## 1. Summary

1.1 This report refers to the three business plans which will be considered by Cabinet on 5 March 2024 for approval, they include a business plan for:

- a) Bristol Holding Limited (company number: 09485669) [Appendix A]
- b) Goram Homes Limited (company number: 11597204) [Appendix B]
- c) Bristol Waste Company Limited (company number: 09472624) [Appendix C]

## 2. Context

2.2 The council is the sole shareholder of Bristol Holding Limited (company number: 09485669), which in turn is the sole shareholder of a number of companies, including Bristol Waste Company Limited (company number: 09472624) and Goram Homes Limited (company number: 11597204) (the Bristol Holding Group). The Business Plans will be submitted for approval to Cabinet on 5 March 2024.

2.3 Shareholding is an executive function. The shareholder role in respect of the Bristol Holding Group has been delegated to the Designated Deputy Mayor with responsibility for City Economy Finance & Performance. The Deputy Mayor has reviewed the Business Plans for the Bristol Holding Group and has been advised in relation to them by the Shareholder Group. The Business Plans pertaining to Bristol Holding, Goram Homes and Bristol Waste are now being presented for review by OSMB, prior to being recommended for approval at Cabinet on 5 March 2024.

## 3. Policy

3.1 **Bristol Holding's** business plan aligns with the theme of Bristol City Council as a Development Organisation, contributing to the priority of Good Governance, and acting as One Council, ensuring that the companies are offering good value for money and adopting more consistent procedures and processes, with corporate support services that are the right size for the needs of the organisation.

3.2 **Goram Homes'** business plan supports the Corporate Strategy's Homes and Communities theme, by accelerating home-building in the city and increasing the supply of affordable homes and building resilient communities.

3.3 **Bristol Waste's** business plan aligns with the Corporate Strategy's key theme of Environment and Sustainability by helping the city reduce its consumption of products and transform its relationship with waste, increasing recycling, repair, reuse and sharing of goods.

## 4. Consultation

4.1 Each Company's Board has reviewed their business plan. The Companies Assurance group convened on 8<sup>th</sup> January 2024 to review the Bristol Holding, Goram Homes and Bristol Waste Business Plans and the Shareholder Group convened on 22 January 2024 to review the Bristol Holding, Goram Homes and Bristol Waste Business Plans.

## 5. Public Sector Equality Duties

- 4.2 Equality impact relevance checks/assessments are being undertaken in relation to each business plan and will be included with the 5th March Cabinet report papers, however, there are no specific Equalities Impacts related to the approval of the overarching business plans identified at this stage. Where it is identified that specific initiatives within the course of period of the business plan might require an equalities impact assessment, the Council or Companies will carry out Equality Impact Assessments in relation to their impact on citizens and groups with protected characteristics.

**Appendices:**

- Appendix A. Bristol Holding Limited Business Plan
- Appendix B. Goram Homes Limited Business Plan
- Appendix C. Bristol Waste Company Limited Business Plan
- Exempt Appendix D. Exempt appendix to Bristol Waste Company Limited Business Plan

**LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985****Background Papers:**

Report:

**Bristol Holding Group Business Plans 23/24, Overview and Scrutiny Management Board:****1. Bristol Holding and Goram Homes**

Overview and Scrutiny Management Board, 14 February 2023

<https://democracy.bristol.gov.uk/ieListDocuments.aspx?CId=165&MId=10597>

**2. Bristol Waste**

Overview and Scrutiny Management Board, 3 March 2023

<https://democracy.bristol.gov.uk/ieListDocuments.aspx?CId=165&MId=10625>

Report:

**Bristol Holding Group Business Plans 23/24, Cabinet, 7 March 2023**

<https://democracy.bristol.gov.uk/ieListDocuments.aspx?CId=135&MId=10187>

## **BRISTOL HOLDING LTD BUSINESS PLAN 2024/25**

### **1. Bristol Holding Strategic Objectives and Targets**

We have put together a business plan following the sale of Bristol Heat Networks Ltd earlier last year. The plan is therefore based for the year ahead on operating with two subsidiaries in the Group, Bristol Waste Company ("BWC"), and Goram Homes ("GH"). There is no assumption at this stage of any change in the company portfolio.

In addition, some Bristol Holding Ltd ("BHL") functions such as co-ordinating the Audit and Risk Committee ("ARC") have transferred to the subsidiary companies; this has been completed at the same time as minimising the financial implications to the Council and its remaining companies, by ensuring that effective corporate governance is retained. BHL hosts the key quarterly review known as the Companies Assurance Meeting and plays a key role in co-ordinating with the Independent Shareholder Advisor.

BHL continues to collaborate closely with the Companies and with the Strategic Client to confirm Strategic Objectives, contractual envelopes, and other core parameters, including matters for inclusion in council's budget consultation, such as loans, dividend policy, audit, and tax matters. BHL and the Companies collaborate with the Strategic Client, BCC Finance and Shareholder liaison to ensure that any borrowing requirements are fixed, service and company budgets are aligned, the use of reserves and dividend payments, if applicable are agreed.

This business plan has been prepared on the following assumptions:

- That BHL continues in its present form for another fiscal year to March 2025.
- That following the outcome of the independent shareholder advisor review, and the subsequent management action plan, the Council will determine to support Holdco functions in its transition role as providing assurance to the shareholder.
- It is recognised that this transition may happen as early as October 2024, however this business plan assumes that BHL will operate until the end of the 2024/25 financial year.

The strategic objectives of the company reflect the successful conclusion of the above desired outcomes, ensuring seamless transition whilst delivering effective corporate governance arrangements.

During this transition period, the strategic objectives of BHL will remain as follows:

***Key Strategic Objectives.***

- To provide effective commercial, financial and risk assurance to the Shareholder in the operation of its wholly owned companies
- To ensure strategic alignment between Bristol City Council corporate aims, objectives, and values, and those of its wholly owned companies, including their commercial objectives
- To oversee the delivery of the companies' 2024/25 business plans and objectives
- To ensure effective corporate governance arrangements across the companies
- To promote maximisation of social value of the companies
- To support the Council, achieve a seamless transition of Holding Company services, staff, and corporate governance requirements to a delivery model yet to be determined.
- To ensure effective and efficient arrangements for residual company statutory and retained Holding Company activities.
- To minimise costs and charges to subsidiaries pending completion of the transition process and deliver value for money.

In line with our strategic priorities outlined above, BHL's key targets for the year ahead are set out in the table on the next page.

BRISTOL HOLDING - Key Priorities		
	Priority	Description
1	2023/24 Statutory Accounts Process	To complete the statutory accounts process for BHL, with an unqualified opinion from the auditors. Similarly to oversee the submission of the company accounts for GH and BWC to be produced with an unqualified opinion.
2	Mapping of all BHL functions to identify any gaps in providing company assurance	This enable all options for the future of BHL to be reviewed and considered by BCC. This will enable BHL to be agile and to react to the requirements of the shareholder.
3	Key tenets of good corporate governance maintained post Holdco	<p><b>Review of audit &amp; risk arrangements</b> - Ongoing review of audit and risk arrangements. Attendance at company audit and risk committees on a quarterly basis. Review of internal audit reports and the hosting of the Companies Assurance meeting attended by the Shareholder advisor.</p> <p><b>Board Effectiveness Reviews</b> - Each board to carry out annual assessments of board effectiveness, with annual board self-certification as part of the annual comprehensive assurance statement. An independent review of board effectiveness is to take place every 3 years, with an annual board self-certification in other years.</p> <p><b>Company Board appointments</b> - BHL to provide input into the recruitment of company board appointments, including the appointments of Managing Director and Finance Director at BWC.</p>
4	Seamless transfer of Holdco functions to BCC and subsidiaries	Transitional preparations in hand for Holdco. Shareholder has now determined not to wind down BHL but retain assurance role at least until October 2024. Implications for BHL now under review, but not likely to wind down the operation prior to the end of this financial year.
5	Supporting BWC and Goram Homes to progress their respective business and delivery plans	Ongoing support to BWC and Goram Homes. We will be providing support and assurance for proposals and commitments included in BWC's 3 year BP, together with a review of the key assumptions. Goram progressing with key site development and JV partner selections
6	Liquidation of Be2020 - liaise with the Liquidators, with an expectation to complete the process by Dec 2024.	To ensure that Financial performance of the liquidation continues in line with signed approvals.
7	Support the shareholder should there be a need to set up new subsidiary companies or new commercial ventures	This could apply to a new company, or a new joint venture or other commercial arrangement where the experience and expertise of the BHL team can be called upon.

## 2. Bristol Holding 2023/24 Forecast

BHL has reduced in scale in the last 18 months and now reflects an agile but focused and value for money operation. It consists of a small but experienced team, including a Chair and part time Executive lead, as well as a part time administrator. This means that BHL provides a strong level of governance and assurance. It operates in conjunction with other key lines of assurance, such as Internal audit and the company Audit and Risk Committees (“ARAC’s”).

The budget forecast for this current year includes recharges to the subsidiaries of £250k, 35% of which relates to direct costs for external audit fees and costs of EY tax advice. It is important to note that BHL have absorbed £38,500 of additional audit and other charges in this financial year and utilised some of its reserves. This was a ‘one off’ to help the companies as part of the cost-of-living challenge and to keep recharges to a minimum this year. This is not likely to be repeated in future years and any additional costs will be recharged in full.

## 3. Bristol Holding 2024/25 Financial Plan

The plan includes retaining the Chair and the part time Executive lead for the year. In addition, administrative support is provided by Lauren Clarke, who is now employed directly by BWC and whose time will be recharged to BHL as and when incurred but is anticipated to be one day per week.

In terms of other costs, these are being kept to a minimum. The forecast assumes PwC external audit fees, EY tax advice, insurance premiums and some administration costs such as CoSec support. It is assumed that Internal Audit costs are charged directly to subsidiary companies.

The recharge costs to subsidiaries are indicative at this stage. BHL is operating on a lean basis, but there is flexibility to provide specialist ad hoc work as and when required, as the executive team can flex their hours. This provides the maximum flexibility for the business and its stakeholders. It is important to note that should more specialist advice be required, for example as subsidiaries such as Goram Homes take on other complex Joint Ventures, then additional costs may need to be recovered via additional subsidiary recharges.

BHL have continued to provide an active role consulting very closely with the shareholder liaison team. BHL have played a leading part in the recruitment of the interim turnaround Managing Director at BWC, as well as in the recruitment of the non-executive Director and head of the BWC ARAC. This support has been absorbed within the annual company recharges.

The future role of BHL will be reviewed as we progress through 2024/25. BCC will look to re-engage Navigo to assess progress in embedding governance structures and in conducting their original recommendations, including establishing the ARAC’s and assessing their maturity.

Until then, BHL will continue to play its assurance role, until stakeholders are satisfied that the new governance and assurance environment is embedded and ‘fit for purpose.’





Set out below are key sensitivities and financial assumptions underpinning the reforecast. It should be noted that some core costs, including Company Secretary, external audit, and group-wide insurance will be required under the future governance model.

### **Sensitivities**

- *Pay award – Each 1% above assumed equates to - Additional costs £1,780.*
- *Contract inflation – Each 1% above assumed equates to – Additional costs £700.*
- *Delays in audit completion and costs incurred over budget c.£15,000.*

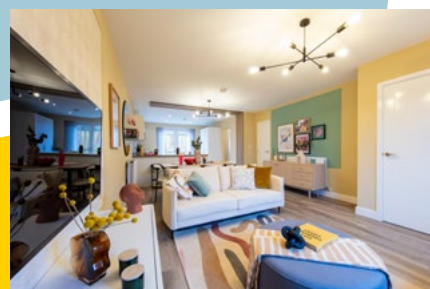
### **Financial Assumptions**

- % Pay Awards, Pension & NI – 3%, no Employer's NI uplift
- % Inflation assumptions - 4% contracts and services provided by BCC
- All costs to be charged to subsidiaries.
- The company has minimal reserves.
- The company recharges for 24/25 are indicative and subject to final sums invoiced. E.g., cost overruns for items like external audit fees could be recharged to subsidiaries.



# Goram Homes

## Business Plan 2024



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# Introduction from the Chair Aman Dalvi, OBE

The need for affordable housing is a national priority and demand has far outstripped supply for many years. The lack of funding is one reason, and we must explore innovative solutions and be creative in our approach. Which is why I am privileged to lead a dynamic team at Goram Homes which is hugely supported by Bristol City Council.

This business plan outlines Goram Homes' strategy for the financial year 2024/25. As Bristol City Council's housing company, we are dedicated to addressing the city's housing challenges, and this work is critical. With tens of thousands on the council housing waiting list, and around 1,500 in temporary accommodation, we urgently need to build more homes, and ensure they are designed to meet the city's needs.

We can do this by bringing together the best of the public and private sectors to unlock developments on difficult or underutilised sites - from derelict depots to old schools to city centre car parks. We will continue to align our building programmes to the council's most pressing needs, for example expediting homes for affordable housing at One Lockleaze and working with Children's Services to design bespoke homes for children and their carers.

We understand the importance of environmental stewardship too, which is why we design our new neighbourhoods to high sustainability standards, reducing our environmental footprint and setting a precedent for future developments. This kind of placemaking is essential as we play our part in the city's journey to net zero by 2030.



The housing market remains challenging. This - combined with the cost-of-living crisis - means the demand for affordable housing has never been greater. Our financial projections in this business plan outline a sustainable funding model that balances this need for affordable housing with the fiscal responsibility expected from a council-owned company.

The company's finances remain stable, as we have set out in this plan. Since being formed by the council we will have invested a total of £5.9m at the end of 2023/24. We have secured this investment by forming a number of Limited Liability Partnerships (LLPs), forecasting profits of over £9m.

In the financial year 2024/25, we will start construction on the next stage of the Hengrove Park masterplan, the largest development in Bristol in a generation. This development alone will create around 700 affordable homes for council housing or shared ownership. We will welcome hundreds of new residents to One Lockleaze, and we will start building new homes at Dovercourt Road in Lockleaze and New Fosseway Road in Hengrove, too.

There is much more still to do, so our focus remains - building for Bristol, with Bristol.

Aman Dalvi OBE,



# Introduction from Mayor Marvin Rees, OBE

Goram Homes is helping to build a better Bristol. With around 3,000 new, high quality, sustainable homes planned in the coming decade, its work will be critical to continuing to tackle the housing crisis.

We currently have over 20,000 households on the housing waiting list and around 1,500 in temporary accommodation. Our city's population is likely to reach 550,000 by 2050, which means, just to stand still, we must build even more new homes faster than we have for decades.

**Goram Homes is best placed to keep tackling our city's housing challenges. Together, we can regenerate more brownfield land into much needed housing, with council homes in the numbers that fellow Bristolians so desperately need.**

Having our own housing company strengthens our ability to work with public and private investors to build new council homes, with different objectives from some other developers. It can respond to Bristol's most urgent needs, rather than focusing on profit alone. Therefore, the real value of Goram Homes lies in:

- **hundreds of safe and secure homes for council housing or social rent** for families on our waiting list, as half of the homes that Goram Homes will build over the next decade will be affordable housing;
- **bespoke homes for children in care**, enabling young people to be looked after close to their schools, friends and support networks;
- **high levels of shared ownership homes**, helping people onto the housing ladder at a time when homes in the UK cost nine times the average salary;



- **the jobs and skills** created on each project, including through the One Lockleaze Skills Academy which has already given free construction training to more than 250 young people.

Put simply, each new job created, and each new home built, will transform lives.

Goram Homes is creating a blueprint for high quality, sustainable council housing, in what will become thriving communities in the north and south of our city: places that people will love to live in.

The financial model is set up to return half the profit to the council. This is value over and above the savings made - and lives transformed - by building safe and secure homes for those most in need.

Goram Homes can respond quickly to our most pressing housing needs; regenerate brownfield council-owned land into much needed homes; and continue to add to the more than 12,500 new homes already built in Bristol since 2016.

Where and how we build matters too. Goram Homes is building low carbon homes, often linked to energy centres and district heating networks, and always thinking about nature, playing a key role in our journey to net zero by 2030. By tackling the housing, climate, and ecological crises at the same time, we can help ensure that nobody is left behind. This is the Just Transition in action.

In this financial year, Goram Homes will ramp up work on the Hengrove Park masterplan, the largest development in Bristol in a generation. On this site, Goram Homes will build over 700 homes for council housing and shared ownership. Bristol must continue our commitment to delivering new homes. Leaders must continue to set, and meet, ambitious targets.

I look forward to following the immense progress of Goram Homes in the coming years, as construction across our city means that more families can move into their new homes.

Mayor Marvin Rees, OBE



**Credit:** AWW

CGI of Hengrove Park Phase 1. Half of the homes we'll build at Hengrove Park will be affordable housing.

# Mission, values and objectives

## Our mission:

Goram Homes works in partnership to build sustainable, affordable homes that create communities, respect the environment, and contribute to the local economy.

## Our values:

Our values, reflect who we are and who we want to be:

- We make a positive social impact
- We build partnerships with purpose
- We innovate to succeed

## Our objectives:

We are a commercial company with social values at our heart. In practice that means we generate social, financial, and environmental benefit for Bristol. Our objectives remain the same and provide a blueprint for our plans.

- 1. Move at pace to increase the supply of new homes built each year across Bristol including high levels of affordable housing provision**
- 2. Build sustainable homes that have a net positive effect on the environment and increase biodiversity**
- 3. Build homes and spaces that create inclusive communities where people can thrive**
- 4. Provide a commercial return to our shareholder and meet the highest standards of social and environmental accountability.**



**Credit:** Rebecca Noakes  
Three students from the first Skills Academy cohort.



## Objective one:

# Building at pace

Our pipeline totals around 3,000 to be built in the coming years, around half as affordable housing. There are details on housing numbers for each site on our website:

[www.goramhomes.co.uk/developments](http://www.goramhomes.co.uk/developments)

Goram Homes sells on average 50% of the homes we build on the open market. Therefore, the housing market plays a role in our delivery programmes and financial results. House prices rose at the end of December 2023, however many analysts believe the market will be subdued or fall slightly in 2024.

We're committed to prioritising affordable housing to tackle the city's housing challenges and complete these homes first at our development in Lockleaze. This decision is also a prudent one, as we will be less reliant on market pressures in the current subdued market.

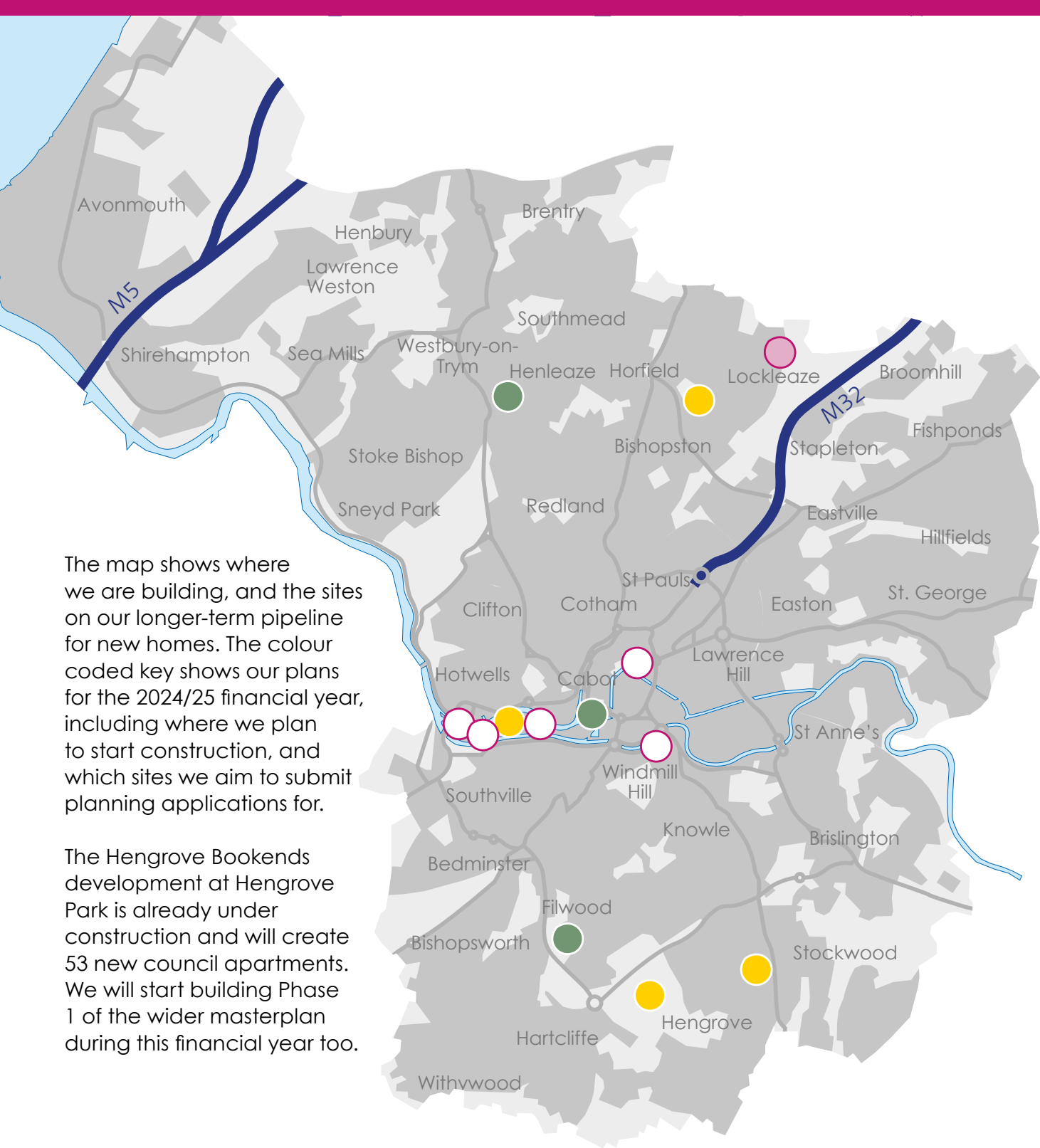
The rental market is also rising. The average cost of a new let has gone up by 31% over the last three years. Some experts expect rents to increase by another 6% in 2024, which is estimated to be more than twice the rate of income rises.

Therefore, Goram Homes is exploring tenure diversification options that not only tackle the city's affordable housing need, but also offer market sale opportunities that can respond to affordability challenges in the city.



**Credit:** Christopher Jones Photography

Celebrating our first completed homes at One Lockleaze in November 2023.



The map shows where we are building, and the sites on our longer-term pipeline for new homes. The colour coded key shows our plans for the 2024/25 financial year, including where we plan to start construction, and which sites we aim to submit planning applications for.

The Hengrove Bookends development at Hengrove Park is already under construction and will create 53 new council apartments. We will start building Phase 1 of the wider masterplan during this financial year too.

### Key

**In construction and completions due in financial year 2024/25**

● One Lockleaze

**In construction, or will be, in financial year 2024/25**

- Hengrove Park
- Dovercourt Road
- New Fossey Road
- Baltic Wharf\*

**Sites we are prioritising for a planning submission in financial year 2024/25**

- Novers Hill
- St Ursula's
- The Grove Car Park

**Pipeline**

- SS Great Britain Car Park
- Castle Park
- A Bond and B Bond
- Spring Street
- Western Harbour

Find out more about each development on our website.

\*Subject to planning permission

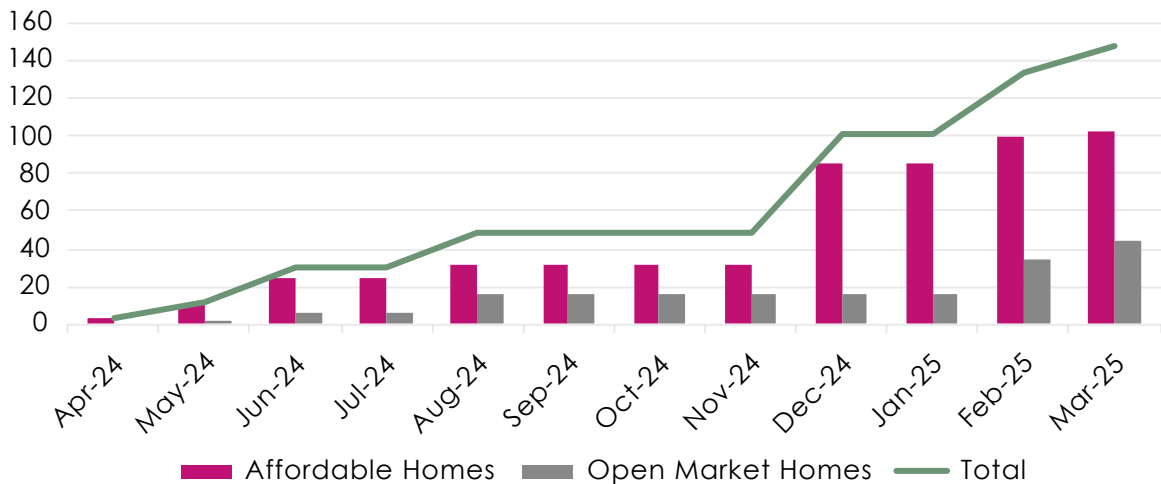
## Building at pace: targets

The charts below show how many new homes we aim to complete in the financial year 2024/25, and over the next five years. This is our main measure for performance and our principal purpose as a company - building new homes for Bristol.

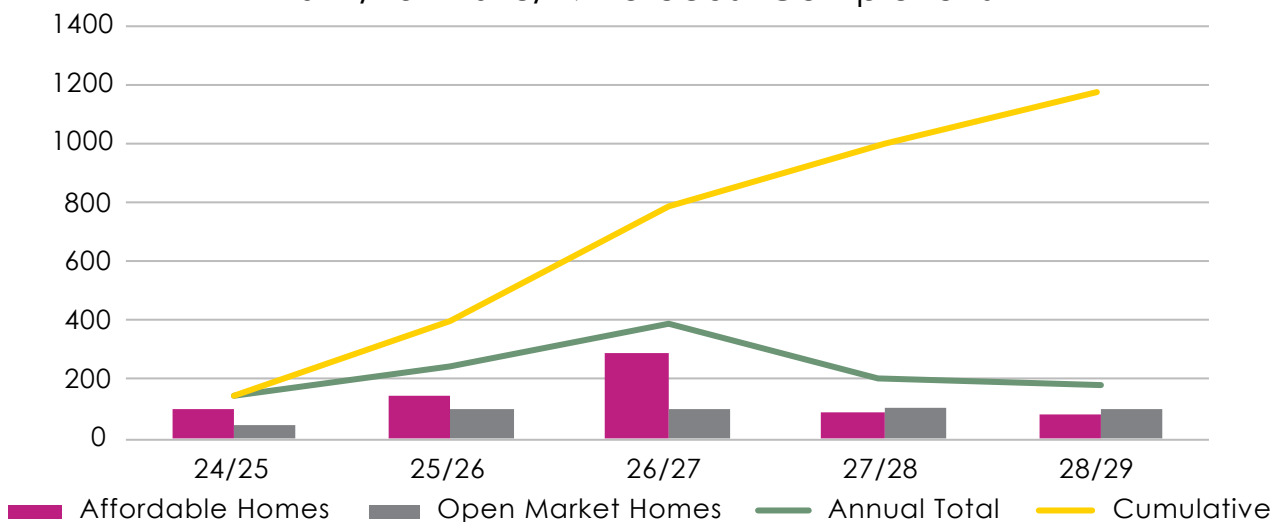
This financial year, while the housing market remains subdued, we are prioritising building affordable homes.

This will help us tackle the city's housing challenges and give more people a safe and secure place to live. Across the One Lockleaze and New Fosseway Road sites we will build more than 100 affordable homes this year and we'll make significant progress at Hengrove Park and Dovercourt Road too.

Business Plan 2024/25 Cumulative Completions



2024/25 – 2028/29 Forecast Completions



The above graphs show targets we have set with our development partners; however, the fluctuating nature of the housing market means they are always subject to change.



## Building at pace: risk statement

Delivery of our Building at pace objective can be impacted by a range of risk areas. These risks are monitored and managed, with mitigations put in place within our risk framework.

The risk framework is dynamically managed with the Goram Homes Board and is established based on the risk appetite for Goram Homes, which is reviewed annually. You can read our Risk Appetite statement on Page 19.

We would highlight the following areas:

- We operate in a commercial market and work in partnership with homebuilders to prioritise commercial return. Risk is managed with national commercial intelligence and procurement gains from these partners.
- Our plans are highly dependent on timely progress through the planning system, which was a significant risk in the financial year 2023/24, with decisions made outside of statutory timelines. We've based our 2024/25 Business Plan forecasts on statutory planning timelines and will continue to support Bristol City Council to meet these targets.



**Credit:** Countryside Partnerships

First council homes at One Lockleaze, which will be ready to move into for this year.

## Objective two:

# Build sustainable homes that have a net positive effect on the environment and increase biodiversity

The climate emergency demands urgent action and leadership from across the construction industry. Goram Homes is meeting this challenge head on, exceeding industry standards, to create places that benefit people and the environment around us. As a result, we have the following aims:

### **We target carbon net zero homes, helping support a climate resilient city.**

Net zero operational energy design is considered at the earliest stages of our development. We do this through maximising energy efficiency, utilising sustainable heating and cooling systems, and incorporating onsite renewable energy generation where possible.

### **We aim for EPC A.**

This is the most efficient energy rating for a new home. The median average energy score for new homes in England and Wales is EPC B. We are committed to exceeding industry averages to build the most sustainable and efficient homes for our city.

### **We exceed standards on Biodiversity Net Gain (BNG).**

BNG is a DEFRA metric and a strategy designed to mitigate the environmental damage of development. It is a way of creating and improving natural habitat and ensuring development has a measurably positive impact ('net gain') on biodiversity, compared to what was there before. From the end of January 2024, all new developments in England must deliver at least 10% biodiversity net gain.

Just as the climate crisis requires urgent action, so does the ecological emergency. Therefore, we aim to exceed policy requirements on BNG wherever we build, making spaces work for nature as well as people.

### **We use RIBA 2030 Climate challenge targets to design and build low carbon homes.**

RIBA has developed this challenge as a stepped approach towards reaching net zero. It sets a series of targets for reducing operational energy, embodied carbon, and water usage.

### **We use Building with Nature standards.**

Building with Nature green infrastructure standards define best practice for the construction industry. The award puts nature at the heart of development in a way that benefits people and wildlife.





# Sustainable homes: targets

## Homes to be submitted for planning permission in 2024/25, to achieve:

- carbon net zero
- an EPC rating of A
- a biodiversity net gain over and above local and national policy – which is 10%
- 'Building with Nature' standards
- 'RIBA 2030 Climate Challenge' targets.

## Homes on sites where we submitted a reserved matters planning application in financial year 2023/24, and will start construction in 2024/25, to achieve:

- an EPC rating of A
- a biodiversity net gain
- 'Building with Nature' standards
- 'RIBA 2030 Climate Challenge' 2025 target.



**Credit:** Rebecca Noakes

The Castle Park Energy Centre, which provides homes and businesses with low carbon heating and hot water through the city's district heating network.

## Sustainable homes: risk statement

The requirements to deliver these environmental standards are specified within our development partner selection process and entrenched in the legal agreements we create.

Building sustainable homes could be impacted by commercial factors, which influence the construction of homes. However, we work closely with our partners to ensure homes are built to the high environmental standards set, and we monitor progress regularly.



**Credit:** AWW

CGI image of Hengrove Park phase 1. Construction on this phase of the new south Bristol community of 1,435 new homes will start this year. Phase 1 contains 209 homes, improved parkland and a new energy centre to provide homes with low carbon heating and hot water.



**Credit:** AWW

CGI image of Hengrove Park energy centre, which is a feature of phase 1. The air source heat pumps contained in this building will provide low carbon heating and hot water to homes and businesses, through a new district heating network. Construction will start on this energy centre this financial year.



## Objective three:

# Build homes and spaces that create inclusive communities where people can thrive

We aim to build places that people love to live in, and mixed communities where council and other forms of affordable housing are undistinguishable from market sale homes. Our designs incorporate safe, public open spaces that encourage people outdoors and into nature.



## Creating inclusive communities: targets

**Customer satisfaction: At least 90% of respondents would recommend Goram Homes/the homebuilder partner to their friends.**

We will work with our partners to survey new residents and measure satisfaction against the Home Builders Federation (HBF) star rating.

The HBF requires all five-star housebuilders to achieve at least 90% of respondents saying they would recommend their homebuilder to their friends, and we aim to do the same.

**£30k social value will be generated per completed home.**

We use the Social Value Portal to measure the social value generated per home. This includes projects like the One Lockleaze Skills Academy, commitments to employ local people, running community initiatives like the One Lockleaze Green Gym, and supporting local charities. We will always tailor this support to the community we're building in.

At our most progressed project, One Lockleaze, we will deliver more than £45,000 of social value per home.

**All new projects to meet at least 10 out of 12 categories in the Building for a Healthy Life assessment.**

Building for a Healthy Life is a design tool, written in partnership with Homes England, NHS England and NHS Improvement, for creating places that are good for people and nature.

It helps to improve the design of new and growing neighbourhoods and covers 12 themes, including: good walking and cycling routes, connectivity to facilities and services, healthy low-speed streets with places to sit, chat or play, and green spaces that support wildlife and improve biodiversity.



## Creating inclusive communities: risk statement

Delivery of this objective can also be impacted by commercial factors. However, we work closely with our joint venture partners to ensure homes are built to high standards and we monitor progress regularly.

The requirements to deliver social value outcomes and high placemaking standards are specified within our partner selection process, and our partnership governance structures ensure these standards are delivered.



**Credit:** Sonia Parsons

The One Lockleaze Green Gym, which works with local volunteers to transform areas of Lockleaze into wildlife havens.

## Objective four:

# Provide a commercial return to our shareholder and meet the highest standards of social and environmental accountability

Our number one objective is to build homes at pace to meet the pressing housing needs across our city, and we will continue to work with Bristol City Council to balance profits with the need to build affordable homes.

We will support other council departments too. For example, working with children's services to build bespoke homes for children and their carers that prevent money being spent housing them outside of the city, and away from support networks.

Our procurement status being outside of public procurement rules means we can secure innovative deals to support our delivery at pace objective.

Developments are principally structured through joint venture partnerships with homebuilders, and both investment and financing are shared. The partnership will generate profit for Goram Homes once all homes are sold on a development, and the council decides how Goram Homes' profit is utilised.

## Key Financial Information:

Our Business Plan incorporates results primarily delivered through partnership arrangements in the form of Limited Liability Partnerships (LLPs), with 50% shareholding by Goram Homes.

We have also included within the Business Plan a contract with the council for the delivery of the Bookends development at Hengrove Park.

The Business Plan assumes that the following project LLPs will be operating in the financial year 2024/25:

- One Lockleaze
- Dovercourt Road
- New Fosseyway Road
- Hengrove Park
- Baltic Wharf (subject to planning permission)

We have incorporated cash funding to progress planning and partner procurement for three other sites in our pipeline, which we have prioritised for planning submission in the financial year 2024/2025. These are Novers Hill, St Ursula's, and The Grove Car Park.

Since commencing trading in 2019, Goram Homes has incurred costs which have been supported by Bristol City Council. The balance of debt at the end 2023/24 will be £5.9m.

Our financial stability forecasting is that Goram Homes is projecting to commence paying dividends within the time horizon of the Business Plan. This is due to LLPs completing and distributing their profits to Goram Homes through dividends.

## Commercial return: targets

- Profit before tax for 2024/25 of £1.2m
- Financing at the end of 2024/25 to be at or below £13.6m

## Profit and Loss

<b>Profit and Loss Account £'000 Year to 31 March</b>	<b>2023/24</b>	<b>2024/25</b>	<b>2025/26</b>	<b>2026/27</b>	<b>2027/28</b>	<b>2028/29</b>
Profits/(Losses) from Partnerships	(200)	2,976	4,209	10,314	5,742	4,058
Profits/(Losses) from Direct Contracts	244	580	90	-	-	-
Operating Costs	(1,841)	(2,090)	(1,787)	(1,836)	(1,890)	(1,920)
<b>Profit/(Loss) before Interest and Tax (EBIT)</b>	<b>(1,797)</b>	<b>1,466</b>	<b>2,512</b>	<b>8,478</b>	<b>3,852</b>	<b>2,138</b>
Finance Interest costs	(278)	(281)	(225)	(240)	(120)	-
<b>Profit/(Loss) before Tax (PBT)</b>	<b>(2,075)</b>	<b>1,185</b>	<b>2,287</b>	<b>8,238</b>	<b>3,732</b>	<b>2,138</b>
Corporation Tax	515	(296)	(572)	(2,060)	(933)	(534)
<b>Profit/(Loss) After Tax</b>	<b>(1,560)</b>	<b>889</b>	<b>1,715</b>	<b>6,178</b>	<b>2,799</b>	<b>1,604</b>
Dividends to Council	-	-	-	-	(863)	(2,175)
Transfer to/(from) Reserves	(1,560)	889	1,715	6,178	1,936	(571)
<b>Cumulative Profit/(Loss) Reserves</b>	<b>(4,990)</b>	<b>(4,101)</b>	<b>(2,386)</b>	<b>3,792</b>	<b>5,728</b>	<b>5,156</b>

## Balance Sheet

Balance Sheet £'000 Year to 31 March	2023/24	2024/25	2025/26	2026/27	2027/28	2028/29
<b>Long Term Assets</b>						
Investment in Partnerships	29,946	30,425	27,206	19,870	12,000	9,000
Share of LLP retained profits/ (Losses)	(200)	2,399	5,622	8,313	7,032	3,310
<b>Current Assets</b>						
Debtors and Work in Progress	1,126	2,334	2,334	2,334	2,334	2,334
Bank and Cash	382	80	434	6,425	5,724	6,686
<b>Long Term Liabilities</b>						
<b>Financing</b>	<b>(5,879)</b>	<b>(13,643)</b>	<b>(14,143)</b>	<b>(14,143)</b>	<b>(8,473)</b>	<b>(6,803)</b>
BCC Loan Notes	(29,946)	(25,282)	(23,206)	(16,870)	(12,000)	(9,000)
<b>Current Liabilities</b>						
Creditors and accruals	(821)	(816)	(1,034)	(2,537)	(1,291)	(773)
<b>Net assets</b>	<b>(4,990)</b>	<b>(4,101)</b>	<b>(2,386)</b>	<b>3,792</b>	<b>5,728</b>	<b>5,156</b>

Balance Sheet £'000 Year to 31 March	2023/24	2024/25	2025/26	2026/27	2027/28	2028/29
<b>Shareholders' Funds</b>	<b>(4,990)</b>	<b>(4,101)</b>	<b>(2,386)</b>	<b>3,792</b>	<b>5,728</b>	<b>5,156</b>

## Risk appetite

The Goram Homes Board has this year reviewed our risk appetite, which has been established within an enterprise risk management approach. The risk statement is as follows:

Our risk appetite lies at the heart of our approach to risk management and is integral to both business planning and decision making. The risk appetite is reviewed annually as part of the Business Plan review process and approved by the Board, in order to guide the actions management takes in executing our Business Plan. Our risk appetite is cascaded throughout the business by being embedded within our policies, procedures, and internal controls.

The risk framework is reviewed quarterly by the Audit and Risk Committee and serves as a catalyst for discussion about how our principal risks are changing and whether any further mitigating actions need to be taken. The risk indicators are a mixture of leading and lagging indicators, with forecasts provided where available.

Whilst our appetite for risk will vary during the development cycle for the homes we build, in general we maintain a balanced overall appetite for risk, appropriate for our strategic objective 4 to "Provide a commercial return to our shareholder and meet the highest standards of social and environmental accountability." The Board has reviewed our risk appetite in light of the continued macroeconomic uncertainty and confirmed that our current risk appetite is appropriate.

This statement will be updated yearly and sets the basis for risks to be managed within our risk management framework.



## Commercial return: risk statement

The risks that run through the whole plan are also present in the assessment of the ability to deliver Objective Four. Those specifically impacting Commercial Return, are time, cost, and revenue. These risks can be managed most simply before the LLP is formed. When projects start, we manage matters within the control of the LLP to prioritise commercial return.

Goram Homes' ability to meet the objectives set by Bristol City Council is impacted greatly by time. For example, time taken to gain planning, find appropriate partners, and deliver homes. To limit these risks, it is critical that we continue to work closely with the council to align objectives and work towards joint goals.



**Credit:** Rebecca Noakes  
Surveying progress at One Lockleaze in spring 2023.

Goram  
Homes

[www.goramhomes.co.uk](http://www.goramhomes.co.uk)

# Business Plan

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24/25 - 26/27





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**BUSINESS PLAN 24/25 - 26/27**







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# 1. Introduction

Welcome to the 3 year business plan for Bristol Waste Company (BWC), covering the years 2024/25 to 2026/27. We are wholly owned by Bristol City Council (BCC). What we do is important; put simply, we're here to help keep Bristol clean and safe – helping to deliver the city's sustainability targets.

We visit every home, clean every street and look after our civic buildings. We provide security support, remove graffiti and fly tips, and even treat the roads in winter. We make the lives of people living and working in our city better.

But we don't do it in isolation. We work as one with BCC – working in partnership to deliver our joint goals.

Like many organisations, the last year has been challenging – for both BWC and BCC – as the impact of inflation and other economic factors outside of our control have created pressures we've had to deal with. This has involved having to adapt and change.

This business plan builds on the great work already undertaken and continues the transformation journey of the business.

Having already made significant improvements, and with the foundations being laid for more, the business is now entering a phase where it can be more positive and look further ahead. BWC aims to be right at the centre of Bristol's drive towards carbon net zero, helping to deliver the sustainability targets, and to be a business that the city can be proud of. We know where we are heading and what it will take to get there.



## 2. Service Levels Achieved

Independent research highlights that BWC delivers high service levels to the end user. For example:

- 1. DEFRA research continues to show that Bristol is the best performing English core city in terms of recycling rates
- 2. BCC's Quality of Life Survey shows that the public's satisfaction with the waste and recycling service is the highest for any service:





### 3. Economic, Environmental and Social Value

Delivering real and positive economic, environmental and social benefits to Bristol - one company focused on improving the people of Bristol's quality of life - is a key priority for BWC, and as a BCC owned company, is at the heart of what we do.

During 2024-25 we expect to deliver more than £30m of social value (using the independent National Social Value Portal value added metrics) to Bristol, with 90% of our workforce being residents of Bristol, many of our key supply chains being local and our environmental and social initiatives. We want to meet the highest standards of social and environmental performance, public transparency and to help build a more inclusive and sustainable economy.

#### Key additional benefits include:

- being locally based results in less vehicle movements into/ out of Bristol, with the resultant environmental benefits
- apprenticeships delivered directly and through our supply chains
- local volunteering initiatives – in our reuse shops and community clean-up projects
- community engagement activities to support behaviour change to improve environmental outcomes, including significant work undertaken with schools
- provision of affordable computers to local community organisations and vulnerable citizens through our IT Reuse initiatives
- supporting offenders to deliver meaningful contributions to environmental clean-ups
- contractual environmental and social benefits required from our Avonmouth development suppliers



We want to meet the highest standards of social and environmental performance, public transparency and to help build a more inclusive and sustainable economy.



## 4. Benchmarking

BCC has undertaken a benchmarking project, in order to assess the cost-effectiveness of the waste/recycling service provided by BWC, against key cities in England and other local authorities.

The results were extremely positive and show that BWC is the most cost-effective. Although the costs were higher, the level of recycling – and thus recycle income – was also higher. Therefore, BWC came out as No.1 overall. The benchmarking also confirmed that the way BWC operates the service (i.e. the approach to recycling segregation etc) is also the most effective.



## 5. Core Values

A new set of core values have been drafted, with input from the senior leadership team and management. They are now being rolled out across the Supervisor base and back-office colleagues, before being shared across Operations.

They are built around the principle that:



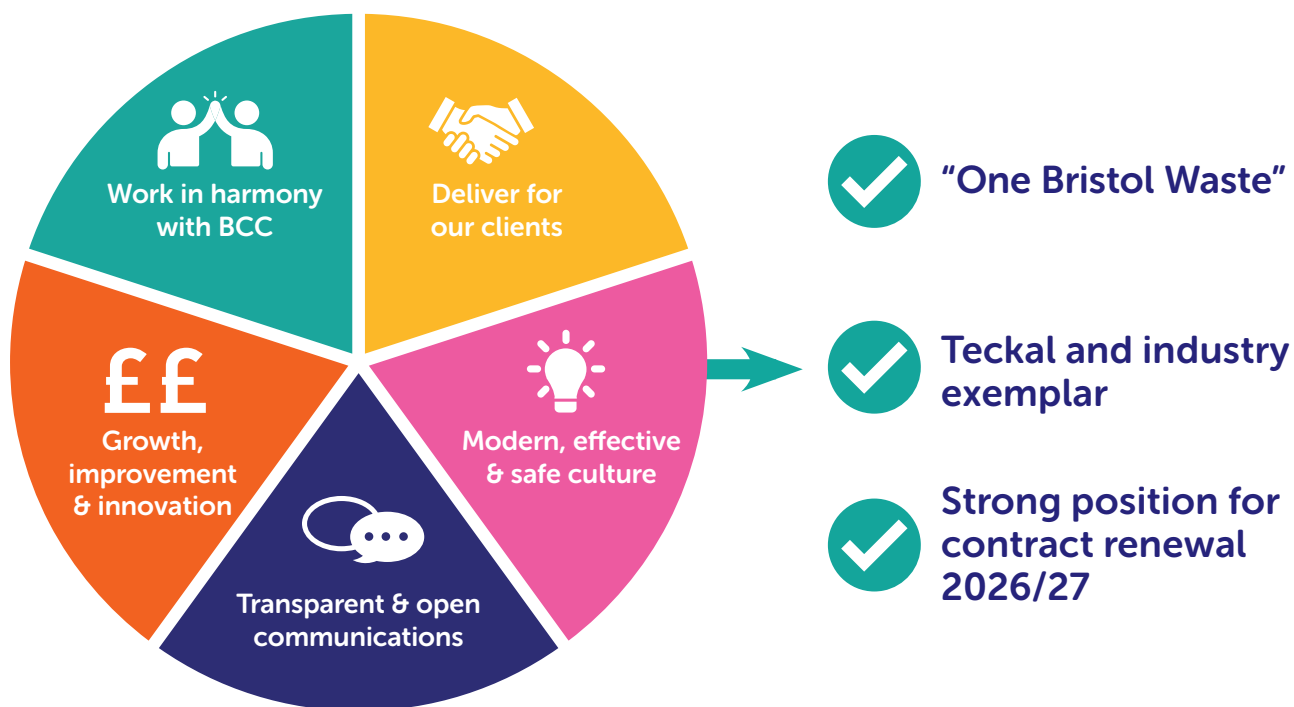
“Everyone goes home feeling good about themselves”

## 6. Core Strategic Objectives

The following broad strategic objectives are driving the direction of the business plan:

- achieve financial stability and meet the BCC core service requirements, supported by appropriate levels of control and governance
- build a successful and effective business, and to be recognised as such
- deliver real economic, environmental and social benefits to Bristol - one company focused on improving the people of Bristol's quality of life (residents, workers and visitors)
- grow the levels of recycling and extend Bristol's position as the No.1 core city for recycling as part of Bristol's carbon net zero target – 55% by 2025, 65% by 2030
- complete all agreed elements of the transformation plans
- maximise the commercial growth opportunity across waste and facilities management
- become a lead player in the 'One City' City Partnership
- become an 'exemplar' example of a teckal business

## 7. Core Strategic Elements



## 8. Working Towards Bristol's Carbon Net Zero and Sustainability Targets

In the recent past, BWC focused on the 'what', i.e. the services it provided, and forgot the 'why'. As part of changing the narrative within the business, we are turning this on its head. Without under-estimating the importance of the 'what', it is the 'why' that is the most significant and is what drives us. Therefore, the whole business will ultimately be focused on being at the centre of Bristol's drive to carbon net zero emissions and achieving sustainability. The 'what' i.e. the business performance, will be a given. This will be tangible and more than simply words, and will include the following:

- **Liveable Neighbourhoods** – we will support this approach by ensuring that all our services contribute to this end, providing the highest level of clean environments deliverable within the funding available
- **Recycling targets** – we will invest in campaigns and activities to encourage changes in behaviour that lead to waste reductions and increased recycling
- **'Village' approach** – we will explore the expansion of the 'village' approach implemented for street cleaning, and assess how other services can also migrate towards this
- **Socially inclusive** – we will expand our partnership approach to recruitment in order to achieve greater diversity in the workforce, including, working with organisations that work with ethnic minority groups, refugees, etc
- **Electric fleet** – our desire is to move to a 100% electric vehicle fleet and we will work with BCC to explore this
- **Albert Road (transfer station, main offices, fleet workshop, vehicle base etc) relocation** – we will use this opportunity to deliver a net zero facility with the highest level of environmental sustainability principles
- **Bristol City Leap** – we will engage with the Bristol City Leap project to explore the potential for sustainable power generation from waste and other potentially far-reaching projects



## 9. "Changing the Narrative"

A key focus will be on "changing the narrative". There are three aspects to this:

- **Changing the way we see ourselves, position ourselves and describe ourselves**

This will involve operating at a higher level, emotionally and practically. For example:

- we will move away from basic 'waste' language and into a more life enhancing positioning i.e. not a waste business but one that improves the quality of people's lives. This is justified because clean streets, for example. can improve mental and physical wellbeing, and increased recycling improves the environment
- moving beyond a consolidation and cost reduction mentality, and into growth and improvement
- working as one business with many parts, rather than separate divisions.
- continuing the move towards a more personal and less corporate approach, especially in terms of internal communications

- **Making a commitment to the One City principles**

BWC is a major organisation within the city and we need to act like it. Given the desire to improve lives, we can be positively influential. Therefore, we will (in fact, we have already started) adopt a completely different approach to the city and our engagement with it. This will include the following:

- we will be very active and have a high profile within One City/City Partners activities
- we will work at a strategic level with other city organisations in terms of waste management, including seeking to act as 'waste consultants', advising others on their waste strategies. For example, the NHS, education providers, government departments and major companies
- we will work with government and local charities to provide employment opportunities, improve our recruitment and improve the diversity of our workforce
- we will provide more guidance re waste collection/street cleaning for new housing developments
- we will use the above to help to develop new commercial opportunities





## Partnership with BCC

We are entering a new and positive phase of joint working for the common good, and great progress has already been made. Key elements include the following:

- we will work in harmony with BCC, harnessing the strengths that this public ownership brings, whilst recognising commercial differences
- we will continue to provide the right level of core services that funding allows, but will aim to beat expectations

## 10. Developing Our Culture

Considerable work is being undertaken to improve the culture and this is being spread across the business, although it will take time to become embedded. Therefore, we will continue to build a modern and effective culture, including the following elements:

- keeping all stakeholders fully informed and engaged
- key information openly shared
- teams empowered to make their own decisions

In short, we will create a values driven business.

## 11. Back Office Reorganisation

In January 2024, BWC started the implementation of a reorganisation of the back office and support functions. This is not simply a cost cutting exercise. It is based on the right people / right role / right structure principle and will lay the structural foundation for the business to move forward.



## 12. Growing the Commercial Business

The commercial/non teckal part of the business has delivered significant growth - tripling in size over the last three years. A new and expanded sales team is now in place, supported by a full sales and marketing plan, who will continue this growth.

(See Exempt Section 3, page 4 for more details)

## 13. Innovation/'Invest to Save'

We will seek to innovate on an 'invest to save' basis:

- **External:** we will pioneer new campaigns with residents to increase recycling rates and to get food waste out of black bins. This will build on previous successful campaigns - including students on the move, flats recycling, and 'on the go' recycling - as well as adopting new approaches and ideas. Adopting a test/prove/expand principle, these should be self-funding and so we will be much more pro-active than in the past. Within this, we will seek partners to also co-fund the activities. The strengthened and restructured marketing and sustainability teams will be better able to do this than in the past.
- **Internal:** we will look to learn from competitors, other local authority operations, and completely different industries to explore how we can innovate to add value and reduce costs. For example:

- expanding up and down the process value chain
- working with partners to create recycled materials applications
- improving our waste sorting capabilities to increase the quality and quantity of the recycle

## 14. Reuse Shops / IT Reuse

We will exploit the potential to generate income and reduce waste by expanding our Reuse operations. Dedicated management resource will be allocated to create a new and specific business plan which will include:

- staff resources required, including expanding the use of community volunteers as a way of assisting people back into employment
- improving stock control and supporting systems
- improving display options
- generating publicity and resident awareness
- building IT Reuse into our commercial service offering

## 15. Albert Road Relocation

The Albert Road relocation is currently expected to take place within this business plan period. This is not something that BWC can afford to be passive or reactive with. The challenges of finding a suitable site – in terms of location, size, infrastructure, environment issues, etc are not to be under-estimated. However, the potential benefits of having a site that is truly fit for purpose will be maximised. This will include the target of creating a carbon neutral site.

## 16. Management Information

In the past, too much resource has been spent over-reporting and reporting in inefficient ways. Therefore, we will continue to apply the move towards a 'less but better' approach to company reporting, in order to improve engagement and free up management time. This will focus on turning data into more usable information which can be used, not only to measure performance, but to enhance decision making. The digitalisation programme will be a key part of this focus.

## 17. EDI Plan

The BWC commitment to diversity and inclusion goes further than our moral and legal responsibility. We recognise we are uniquely placed to offer support and opportunities to those who may face barriers in entering, or returning to, the workforce. We are committed to a culture that celebrates diversity and promotes belonging and respect, irrespective of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation, neurodiversity or socio-economic status. We aim to foster a culture where any form of exclusion or discrimination is not tolerated.

### **Our commitment stems from our belief that:**

- we will best serve our community if our workforce is representative of that community
- protecting the psychological safety, as well as physical safety of our colleagues is paramount
- the greatest ideas and innovation come from embracing different ways of thinking, viewpoints and perspectives
- the most attractive culture will be one of acceptance, where colleagues are confident being themselves at work and are supported to realise their potential

### **Going forward, there are 8 key strategic EDI aims:**

1. build our knowledge base and understanding
2. increase the proportion of women in our Waste, Recycling and Street Cleansing Services
3. have greater ethnic diversity in the senior leadership across the organisation, and improve our ethnicity pay gap
4. ensure that we are better at meeting the needs of under-represented groups within our workforce
5. create opportunities for groups that traditionally struggle with entering the workforce
6. address and support our aging workforce
7. ensure EDI considerations are forefront of service delivery
8. better celebrate and promote our diversity

# 18. Strengthened Governance and Control

Governance and control have been strengthened across the business during 2023, including new/ revised policies, an increased level of internal audit and some short-term interim roles. Most of the additional costs have been in this year, but some extend into 2024/25. These are included in the financials.

# 19. Financial Summary

The table below shows the high-level financial summary of the financials:

	Forecast	Budget		
Profit & Loss Statement	2023-24	2024-25	2025-26	2026-27
Sales (£000's)	62,241	64,415	66,035	67,998
Operating profit / (loss)	(2,014)	(825)	(532)	27

This includes additional funding from BCC from 2024/25 onwards. This funding includes an increased payment on the core contract, plus an additional payment, giving a total increase of c.£4m in 2024/25. It is recognised that this is provided within an overall challenging financial situation for BCC.

(See Exempt Section 2, page 3 for more details)

## Capital Investment Plans

### Avonmouth Phase 2

The Avonmouth redevelopment will conclude during 2024/25. This includes a can sort and picking line.

### Vehicle and Fleet

The majority of our fleet are now approaching year 6 of an anticipated lifespan of 8 years, and we are already experiencing the financial cost of increased maintenance requirements. During the year ahead we will need to work closely with our Shareholder to agree the nature of service that is required to be delivered post 2026 and the implications for the financing of a new fleet.

### Cash Reserves

We have reviewed our medium-term cash flows taking account of the need to utilise cash reserves to part finance Avonmouth and key plant and machinery, plus the need to cover accumulated losses. This plan assumes there are sufficient cash reserves to cover the projected losses and, therefore, there are no 'going concern' issues.



## 20. Summary of Key Drivers by Department

Each department will develop team plans for 24/25 to support the following key priorities:

### Health, Safety and Environment

- continue to keep health & safety as the highest priority across the business
- improve methods of communication to increase effectiveness of campaigns and general activity
- ensure compliance with all environmental standards
- embed quality standards within the general working of the business – adding value without creating additional workloads



### Finance/IT

- improve the quality of financial reporting – open, simple and transparent
- digitalise key processes
- improve Payroll systems and processes
- improve the Purchase Order process
- minimise the cost of overheads, whilst ensuring effective corporate governance arrangements
- finance business partners to be fully embedded into the core business sectors



### Procurement

- new plan and structure to be fully implemented and embedded, delivering in excess of core savings targets

### Operations

- drive benefits from Avonmouth investment, as part of the drive to increase recycling levels
- deliver improvements in driving standards
- continue to improve cleaning efficiencies
- consider migrating towards a 'village' approach for services beyond street cleaning
- create a 'continuous improvement' programme across the business
- review the replacement vehicle requirements
- identify ways to drive growth in recycle income





## People

- complete the full integration of Facilities Management and Waste into one company
- creation of available 'pools' of potential employees for key roles
- enhance the new colleague induction programme
- deliver a high speed and cost-effective recruitment process – adopting a marketing, brand led style
- enhance the appraisal process
- continually develop the people management capabilities of all managers and supervisors
- create highly effective learning and continuous development programmes
- drive an effective and achievable and effective EDI programme



## Transformation, Stakeholder Relations and Marketing

- build a far greater focus on marketing - improving the profile of the business with key stakeholders, businesses and the public in general
- grow recycling rates and reduce waste through highly targeted campaigns/activities – adopting a 'test/prove/expand' model – innovation and community engagement
- create a pro-active PR strategy
- strengthen the bid management capability
- drive improvement projects across the business
- review branding across the business
- constant improvement in two-way internal comms
- redevelop a key stakeholder engagement plan









# 21. Appendix A - Recent Government Policy Plan Announcement: BWC Impact

In October 2023, the Government published proposals relating to the simplification of recycling collection, digital tracking of waste, and waste carrier and broker reform. The key elements and their potential impact on BWC – which will be limited – can be seen below:

Announcement	Impact on BWC
<p><b>Materials for collection</b> All local authorities in England must collect the same recyclable waste streams for recycling or composting from households. The recyclable waste streams include paper and card, plastic, glass, metal, food waste, and garden waste.</p>	<p>Low impact. All are currently collected except soft plastics, which are required by 31 March 2027. However, the flats project will require further investment from BCC.</p>
<p><b>Collection method</b> Simpler recycling will ensure that local authorities retain the flexibility to collect the recyclable waste streams in the most appropriate way for their residents.  The government is proposing to introduce exemptions to allow all councils in England to offer just 3 waste containers.</p>	<p>Low impact – no requirement to change collection method.</p>
<p><b>Collection frequency</b> The government has committed to delivering comprehensive, frequent rubbish and recycling collections. Through statutory guidance, they are proposing that local authorities collect residual waste at least fortnightly, if not more frequently.</p>	<p>Unclear until follow up consultation is complete and statutory guidance confirmed. The response from the industry has been against the proposal.</p>
<p><b>Garden Waste</b> Local authorities will be required to provide a garden waste collection service where it is requested but, as is currently the case, they can continue to choose to charge for this service</p>	<p>No impact. Already collected by BWC.</p>
<p><b>Waste carriers, brokers and dealers reform</b> To ensure that only appropriate people are in control of waste. Shift from a registration system to a permitting system enabling full background checks on applicants. Reduce misclassification of waste and stop waste ending up in the wrong place; make it easier for householders and businesses to demonstrate their Duty of Care.</p>	<p>Potential reduction in fly tipping, support demonstrating Duty of Care, reduce reporting burdens on business. Potential additional costs if permit model is imposed.</p>

(Continue overleaf)

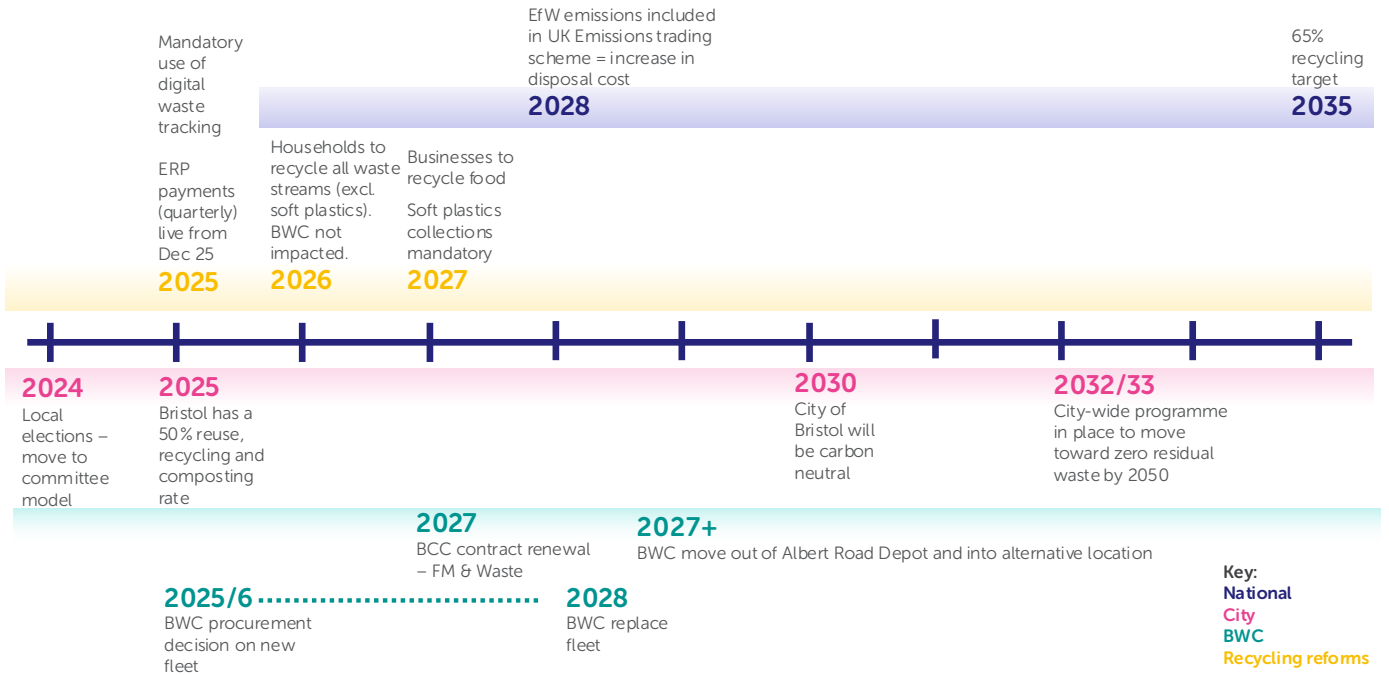


Announcement	Impact on BWC
<p><b>Mandatory waste tracking</b></p> <ul style="list-style-type: none"> <li>• All UK waste movements of controlled and extractive waste – household, commercial, industrial waste, mining waste</li> <li>• Green list waste imports and exports</li> <li>• Reporting on Persistent Organic Pollutants</li> <li>• Currently looking at interaction between Waste Data Flow and digital waste tracking. <ul style="list-style-type: none"> <li>• Where and how it is created</li> <li>• What is done to it</li> <li>• Where it ends up</li> </ul> </li> </ul>	<p>We will need to move to the new system by April '25. This will require a change to some of our internal processes.</p>
<p><b>Biodegradable and compostable plastic packaging</b></p> <p>The proposal does not mandate a separate collection of these materials.</p>	<p>No impact.</p>
<p><b>Extended Producer Responsibility (EPR) – Funding</b></p> <p>Producers are currently reporting their packaging data, and their EPR payments will start in October 2025. These payments will cover the cost of managing household packaging (collection, recycling, recovery and disposal) from FY25/26.</p>	<p>New funding mechanism for recycling packaging from Dec 2025</p>

\*DEFRA's Simpler Recycling explanation - [click here](#)

# 22. Appendix B - Longer Term Timings

## Changes up to 2035





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