

## BABERGH AND MID SUFFOLK SIGNIFICANT RISK REGISTER - MARCH 2018

RISK DETAILS	Risk owner	Cabinet Member Lead	Link to Performance Indicator	Inherent scores			Current scores		
				L	I	S	L	I	S

KEY L = Likelihood I = Impact S = Score

MITIGATION RAG STATUS:

Better than expected progress

On Track

Poor Progress

DIRECTION OF TRAVEL (score):

Decreased

Stayed the same

Increased

NEW RISK

1 - HOUSING DELIVERY										
1a	<b>RISK:</b> If we do not have an up to date understanding of housing need and demand, then we may not know if we are meeting it.	Assistant Director - Planning for Growth	Cabinet Members for Planning		3	2	<b>INHERENT RISK SCORE</b> 6	2	2	<b>CURRENT RISK SCORE</b> 4
					<b>Mitigation RAG Status</b>	<b>Direction of travel (score)</b>				
					On Track	Stayed the same				
1b	<b>RISK:</b> If we do not have a sufficient, appropriate supply of land available in the right locations, then we may be unable to meet housing needs in the district.	Assistant Director - Planning for Growth	Cabinet Members for Planning		3	3	<b>INHERENT RISK SCORE</b> 9	3	3	<b>CURRENT RISK SCORE</b> 9
					<b>Mitigation RAG Status</b>	<b>Direction of travel (score)</b>				
					On Track	Stayed the same				
1c	<b>RISK:</b> If development does not come forward in a timely way, then we may be unable to deliver the right housing in the right locations	Assistant Director - Planning for Growth	Cabinet Members for Planning		3	3	<b>INHERENT RISK SCORE</b> 9	2	3	<b>CURRENT RISK SCORE</b> 6
					<b>Mitigation RAG Status</b>	<b>Direction of travel (score)</b>				
					On Track	Stayed the same				

1d	<b>RISK:</b> If we do not secure investment in infrastructure (schools, health, broadband, transport etc.), then development is stifled and/or unsustainable	Assistant Director - Planning for Growth	Cabinet Members for Economy		3	3	INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
	Cabinet Members for Planning					Mitigation RAG Status	Direction of travel (score)			
						On Track	Stayed the same			
1e	<b>RISK:</b> If there is an insufficient local supply of appropriate homes for the ageing population, then our communities may experience a reduced quality of life, there will be cost implications to the public sector and there will be a reduced turnover in housing stock	Assistant Director - Housing	Cabinet Members for Housing		3	3	INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
						Mitigation RAG Status	Direction of travel (score)			
						On Track	Stayed the same			
2 - BUSINESS GROWTH AND INCREASED PRODUCTIVITY										
2a	<b>RISK:</b> If we do not understand the needs and aspirations of our businesses we may not be able to focus our interventions and resources in a way which will provide the right support	Assistant Director - Planning for Growth	Cabinet Members for Economy		3	3	INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
						Mitigation RAG Status	Direction of travel (score)			
						On Track	Stayed the same			
2b	<b>RISK:</b> If we do not engage with the communities of Sudbury to develop a 'Vision' which is then supported by a programme of projects, activities and initiatives (including regeneration) which will deliver the 'Vision' we may not maximise the economic potential of our largest market towns.	Assistant Director - Planning for Growth	Cabinet Member for Communities (BDC)		3	3	INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
	Cabinet Member for Economy (BDC)					Mitigation RAG Status	Direction of travel (score)			
						On Track	Stayed the same			

2c	<b>RISK:</b> If we do not engage with the communities of Stowmarket to develop a 'Vision' which is then supported by a programme of projects, activities and initiatives (including regeneration) which will deliver the 'Vision' we may not maximise the economic potential of our largest market towns.	Assistant Director - Planning for Growth	Cabinet Member for Communities (MSDC)		3	3	<b>INHERENT RISK SCORE</b> 9	2	3	<b>CURRENT RISK SCORE</b> 6
					Mitigation RAG Status	Direction of travel (score)				
					On Track	Stayed the same				
2d	<b>RISK:</b> If we do not identify and provide the right amount of employment land and property in the right places our current businesses may not be able to remain in our districts and we may not attract new businesses.	Assistant Director - Planning for Growth	Cabinet Members for Economy		4	3	<b>INHERENT RISK SCORE</b> 12	3	3	<b>CURRENT RISK SCORE</b> 9
					Mitigation RAG Status	Direction of travel (score)				
					On Track	Stayed the same				
3 - COMMUNITY CAPACITY BUILDING AND ENGAGEMENT										
3a	<b>RISK:</b> If we do not effectively engage communities about their future needs, then we will not be able to help them become more sustainable	Assistant Director - Communities & Public Realm	Cabinet Members for Communities		3	3	<b>INHERENT RISK SCORE</b> 9	3	3	<b>CURRENT RISK SCORE</b> 9
					Mitigation RAG Status	Direction of travel (score)				
					On Track	Stayed the same				

#### 4 - ASSETS AND INVESTMENTS

4a	<b>RISK:</b> If the Capital Investment Fund (CIF) is not able to generate the investment returns forecast in its Business Plan; income projections for the Councils will not be met  <b>MITIGATION:</b> 1) Retaining of treasury advisors to fix best rates over investment period / Use of PWLB rather than commercial borrowing arrangements / Flexibility in structure to seek alternative sources of finance if required / Initial modelling of returns includes for fluctuations in cost of borrowing over time / Looking at other funding options 2) Acquisition policy allows for regional acquisitions as a norm and national acquisitions in extremis / Current progress shows a pipeline of 47% invested within 6 months of trading commencing / Business plan for 2018 reflects latest realities of market place and adjusts sector and Core, Core Plus split / Fully invested yield still targeted at 6% 3) Maintain up to date knowledge of Government thinking on regulatory and emerging policy themes / Make contingency for potential changes as they arise, allow Board flexibility to respond as required / Invest in line with business plan maximum of £50,000,000 before April 2018 when any changes might be enacted.	Managing Director - BMS Investment	Cabinet Members for Assets and Investment		2	4	<b>INHERENT RISK SCORE</b> 8	2	3	<b>CURRENT RISK SCORE</b> 6
		Assistant Director - Corporate Resources (support)						Mitigation RAG Status		Direction of travel (score)
								On Track		Stayed the same
4b	<b>RISK:</b> If our affordable homes programme does not achieve the forecast returns on investment this will result in a drain on Housing Revenue Account and General Fund resources  <b>MITIGATION:</b> 1) Project team in place to ensure early liaison with planners and adequate pre-app advise is sought 2) Iceni engaged to act as development partner with strong track record / Judicious use of consultancy support resource 3) Development Partner and Project team in place including cost and viability consultants included in project team / A higher percentage of open market sale homes are included in the programme / Ability to 'couple' schemes within the programme resulting in a policy compliant position across all schemes even though individual schemes might fall short.	Assistant Director - Investment and Commercial Delivery	Cabinet Members for Housing		4	3	<b>INHERENT RISK SCORE</b> 12	2	3	<b>CURRENT RISK SCORE</b> 6
								Mitigation RAG Status		Direction of travel (score)
								On Track		Stayed the same
4c	<b>RISK:</b> If we do not manage our asset portfolio effectively it may result in: lost opportunity; loss of capital value; increased revenue costs and loss of public confidence  <b>MITIGATION:</b> 1.) Asset Grading Model is fully implemented on a rolling review basis 2.) Dedicated Strategic Asset expertise within the Councils staff teams to maximise opportunities 3.) Partnership with SCC and IBC in One Public Estate Board Programme	Assistant Director - Corporate Resources	Cabinet Member for Assets and Investments		4	3	<b>INHERENT RISK SCORE</b> 12	3	3	<b>CURRENT RISK SCORE</b> 9
								Mitigation RAG Status		Direction of travel (score)
								On Track		Increased

4d	<b>RISK:</b> If Babergh and Mid Suffolk Building Services (BMBS) fail to deliver the financial projection set out within its Business Plan, then the Councils are at risk of financial loss and potential reputational damage	Assistant Director - Housing	Cabinet Members for Housing		4	4	INHERENT RISK SCORE 16	2	4	CURRENT RISK SCORE 8
					Mitigation RAG Status	Direction of travel (score)				
					On Track	Stayed the same				
5 - AN ENABLED AND EFFICIENT ORGANISATION										
5a	<b>RISK:</b> If we do not transform, improve our skills and become more efficient through maximising the use of I.T., then we will be unable to provide the services people need	Assistant Director - Customer Services	Cabinet Members for Organisational Delivery		3	3	INHERENT RISK SCORE 9	3	3	CURRENT RISK SCORE 9
					Mitigation RAG Status	Direction of travel (score)				
					On Track	Stayed the same				
5b	<b>RISK:</b> If we do not convert our data into accurate, up to date and easy to interrogate insights, evidence and intelligence, then we may be unable to support the delivery of the Strategic Priorities.	Assistant Director - Customer Services	Cabinet Members for Organisational Delivery		3	3	INHERENT RISK SCORE 9	3	2	CURRENT RISK SCORE 6
					Mitigation RAG Status	Direction of travel (score)				
					On Track	Stayed the same				

5c	<b>RISK:</b> If we fail to build the capability across the organisation to commission effectively for outcomes then this may result in inefficient and ineffective use of resources	Assistant Director - Corporate Resources	Cabinet Members for Finance		3	3	INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
					Mitigation RAG Status	Direction of travel (score)				
					On Track	Stayed the same				
5d	<b>RISK:</b> If we do not continue to deliver a robust HRA Business Plan effectively, then we will not be able to meet our ambitions and responsibilities to our residents	Assistant Director - Housing	Cabinet Members for Housing		3	4	INHERENT RISK SCORE 12	2	4	CURRENT RISK SCORE 8
					Mitigation RAG Status	Direction of travel (score)				
					On Track	Stayed the same				
	<b>MITIGATION:</b> Governance has been strengthened through revised Contract Standing Orders and Commissioning and Procurement Manual which provide guidance on good practice, supported by range of tools and templates together with educational workshops / integrated electronic purchase to pay, contract management and tendering systems / Implementation of health checks to identify opportunities to improve on practice used - internal audit support to work with service areas to identify and understand needs-offer guidance with commissioning module / Identify key strategic contracts/partnerships and provide visibility of performance against outcomes through regular reporting / workforce development Strategy / additional commissioning and procurement resource within the team to work with service areas	Assistant Director - Corporate Resources (support)						Mitigation RAG Status	Direction of travel (score)	
	On Track							Stayed the same		

5e	<p><b>RISK:</b> If we do not understand our financial position and respond in a timely and effective way, then we will be unable to deliver the entirety of the Joint Strategic Plan</p> <p><b>MITIGATION:</b> Continued development of the strands within the Medium Term Financial Strategy (MTFS) / Alignment of resources to priorities / Use of one-off funding to change the business model and support functions during change / Set balanced budgets for 18/19 and updated projections up to 21/22 Engagement of councillors to understand options / Modelling and analysis to understand impact (e.g. Capital Investment Fund), Identifying income generating activities to replace government grants (e.g. PV panels, rental income from properties) / Regular discussions at SLT regarding 18/19 budget and beyond</p>	Assistant Director - Corporate Resources	Cabinet Members for Finance		Mid Suffolk District Council					
					3	4	INHERENT RISK SCORE 12	2	4	CURRENT RISK SCORE 8
								Mitigation RAG Status		Direction of travel (score)
								On Track		Stayed the same
					Babergh District Council					
					4	4	INHERENT RISK SCORE 16	3	4	CURRENT RISK SCORE 12
5f	<p><b>RISK:</b> If we do not have more efficient and effective public access and agile working arrangements then we will not be able to tailor the services our customers need and target those in need</p> <p><b>MITIGATION:</b> <i>Residual risks from All Together Programme Board have been transferred to the Customer Services risk register.</i></p> <p>Following closure of the HQ sites, new public access points are up and running in both Stowmarket and Sudbury / Services can be accessed through both; with a range of assisted or self-serve or telephony support available / Further development is required to ensure both points offer the same quality of service and this is monitored through regular liaison and feedback, including from customers through development of satisfaction measure as well as staff through staff survey</p>	Assistant Director - Customer Services	Cabinet Members for Organisational Delivery		3	3	INHERENT RISK SCORE 9	3	3	CURRENT RISK SCORE 9
								Mitigation RAG Status		Direction of travel (score)
								On Track		Stayed the same



5g	<p><b>RISK:</b> If we do not maintain the trust of our stakeholders and promote our public image and reputation, then this may prevent us from entering into positive partnerships, secure funding and ultimately may affect our ability to work with partners, businesses and key stakeholders in achieving the strategic priorities.</p> <p><b>MITIGATION:</b> Work is underway, through the use of Natural Work Teams to develop strong, clear, embedded values. This will then be expanded to include a review of corporate behaviours, linked to performance appraisals. Further reviews are underway of governance systems and processes. The emerging Member Development Programme and overlapping Organisational Development programmes for SLT and ELT include a significant strand of strong and effective leadership. To ensure effective communication and engagement a specific Communications Strategy is being put in place, which will include pro-active engagement through all channels e.g. social media and dedicated training and support for media management. The Councils' engagement activity will be co-ordinated and monitored for effectiveness – this will also form a key part of the emerging Communities Strategy. Strengthened Parish / Town Council relationships are being put in place through dedicated officer liaison links, regular clerks meetings and refreshed Parish Liaison Meetings.</p>	Chief Executive	Cabinet Members for Assets & Investments		4	3	INHERENT RISK SCORE 12	3	3	CURRENT RISK SCORE 9
								Mitigation RAG Status		Direction of travel (score)
								On Track		Stayed the same
5h	<p><b>RISK:</b> If we fail to protect the safety, health, welfare and wellbeing of our employees and other persons to whom we owe a duty of care, then there could be significant consequences at corporate and individual levels</p> <p><b>MITIGATION:</b> Health and Safety regularly featured on SLT Agenda / Specific H&amp;S orientated Extended Leadership Team sessions to promote a positive H&amp;S culture / 2018/19 budgetary provision in place under H&amp;S and OD budgets to ensure adequacy of resources and provision of H&amp;S training / H&amp;S Board and H&amp;S Working Group in place for regular H&amp;S communication and consultation / Task &amp; Finish Group (a sub-set of the H&amp;S Board) chaired by the AD for Corporate Resources with H&amp;S Action Plan priorities actioned by internal H&amp;S team / Significant progress made in relation to HAV management with positive HSE response for Countryside &amp; Public Realm work on HAV / Training matrices developed for corporate H&amp;S training and lone working (personal and hardware training solutions identified and to be rolled out), with high risk service area specific training needs to follow / Revision and ongoing development of H&amp;S resources by topic on Connect to aid communication and awareness of everyone's roles and responsibilities for their own and others' health and safety / Request for temporary H&amp;S Officer role to assist H&amp;S Business Partner submitted for approval in order to proceed with temporary to permanent recruitment for this role / H&amp;S Officer (Construction) in place to directly assist Property Services and Building Services / Liaison within HR &amp; OD team where employment, training, Trade Union and H&amp;S matters overlap to achieve coherent approach / Use of professional suppliers to provide health surveillance and assist in specialist areas such as the management of asbestos, legionella, noise and vibration in the workplace / Responsible persons appointed to assist the Councils in their legal duties to manage asbestos, legionella, noise and vibration, with training booked or in progress to evidence and support competency of Officers / Building of internal relationships with Finance, Insurance, Internal Audit and Shared Legal Services for the effective management of H&amp;S for the Councils' interests. Development of wellbeing resources and awareness by L&amp;OD Business Partner, including Mental Health First Aid Champion training and participation in the national Mental Health Awareness Week (14-20 May 2018).</p>	Chief Executive	Cabinet Members for Assets & Investments		4	4	INHERENT RISK SCORE 16	3	4	CURRENT RISK SCORE 12
								Mitigation RAG Status		Direction of travel (score)
								On Track		Decreased



5i	<b>RISK:</b> If the Universal Credit system is not used effectively by claimants, then the Councils will incur additional costs and lost revenue	Assistant Director - Housing	Cabinet Members for Housing		4	3	INHERENT RISK SCORE 12	3	3	CURRENT RISK SCORE 9
					Mitigation RAG Status	Direction of travel (score)				
					On Track	Stayed the same				
5j	<b>RISK:</b> If we experience challenges with staff recruitment and retention, then this will start to impact on performance, our income, the costs of potential legal challenge, government scrutiny, staff morale and public confidence.	Assistant Director - Planning for Growth	Cabinet Members for Economy		3	3	INHERENT RISK SCORE 9	4	3	CURRENT RISK SCORE 12
					Mitigation RAG Status	Direction of travel (score)				
					Poor progress	NEW RISK				
5k	<b>RISK:</b> If the Councils do not adopt a new delivery model they will not be financially sustainbale and able to deliver key services in the future  <b>MITIGATION:</b> The Cabinets have committed to exploring alternative forms of council structure which could potentially generate financial savings and efficiencies / the councils have an integrated workforce and joint strategic plan / the councils have a joint medium term financial strategy	Assistant Director - Law & Governance	Leaders of the Councils		Mid Suffolk District Council					
					4	2	INHERENT RISK SCORE 8	4	2	CURRENT RISK SCORE 8
								Mitigation RAG Status	Direction of travel (score)	
								On Track	NEW RISK	
					Babergh District Council					
					4	3	INHERENT RISK SCORE 12	4	2	CURRENT RISK SCORE 8
								Mitigation RAG Status	Direction of travel (score)	
On Track	NEW RISK									