BABERGH AND MID SUFFOLK SIGNIFICANT RISK REGISTER - MARCH 2018

					Cabinet	Link to		Inhere	nt scores		Currer	nt scores
		RISK DETAILS		Risk owner	Member Lead	Performance Indicator	L	1	S	L	I.	S
KEY	L = Likelihood I = Impact S = Score	MITIGATION RAG STATUS:	Better than expected progress	On ⁻	Track	Poor Progre	ess					
		DIRECTION OF TRAVEL (score):	Decreased	Stayed t	the same	Increased			NEW RISK			
			1 -	HOUSING DELIVER	1							
	RISK: If we do not have an up to date t know if we are meeting it.	understanding of housing need an	d demand, then we may not	Assistant Director - Planning for Growth	Cabinet Members for Planning		3	2	INHERENT RISK SCORE 6	2	2	CURRENT RISK SCORE 4
1a	MITIGATION: Having the right evideneristing Local Housing Need Surveys.	Published the Strategic Housing M								Mitig RAG S	ation Status	Direction of travel (score)
	evidence base for Joint Local Plan. Cre	eating Joint Local Plan								On T	rack	Stayed the same
	RISK: If we do not have a sufficient, ap may be unable to meet housing needs		in the right locations, then we	Assistant Director Planning for Growth	Cabinet Members for Planning		3	3	INHERENT RISK SCORE 9	3	3	CURRENT RISK SCORE 9
1b	MITIGATION: Current local plans in pl comprehensive site allocations, current									Mitig RAG S	ation Status	Direction of travel (score)
	'stalled sites'. Outcomes of Scrutiny re	eview								On T	rack	Stayed the same
	RISK: If development does not come for right housing in the right locations	forward in a timely way, then we m	nay be unable to deliver the	Assistant Director - Planning for Growth	Cabinet Members for Planning		3	3	INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
1c	MITIGATION: Have Infrastructure and sites which has been agreed by Execut Developers e.g. client side panel hoste	tive and Strategy Committees. Dev	velop relationships with							Mitig RAG S	ation Status	Direction of travel (score)
	Strategy and working Suffolk-wide to u resources provided in Mid Suffolk to b	understand infrastructure funding	-							On T	rack	Stayed the same

Appendix A

	RISK: 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
1d	MITIGATION: Adopted Community Infrastructure Levy (CIL), CIL expenditure framework to be adopted by Council in April, secure investment on infrastructure via planning process (e.g. S106). Creating Strategic Planning and Infrastructure framework (SPIF), creating Local Plan, Infrastructure Strategy, New		Cabinet Members for Planning				Mitig RAG S		Direction of travel (score)
	Anglia LEP Economic Strategy, draft created an awaiting endorsement from Cabinet in October						On T	Frack	Stayed the same
	RISK : 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
1e	MITIGATION: Creating BMSDC Housing Strategy, Creating Joint Local Plan, Health and Housing Charter, Suffolk Older Persons Housing Strategy, Housing strand being developed for Suffolk Growth Programme						Mitig RAG S		Direction of travel (score)
	Board						On T	Frack	Stayed the same
	2 - BUSINESS GROW	TH AND INCREASE	D PRODUCTIVITY						
	RISK: 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
2 a	MITIGATION: Implementing a two-tier method of Business Relationship Management /Linking our business data and intel into FAME CRM system facilitated by NALEP/ Increasing our direct business engagement with key sectors through our Chambers of Commerce, Growth Hub and other business						Mitig RAG S	ation Status	Direction of travel (score)
	support organisations/networking opportunities including joint lobbying on significant issues such as major infrastructure and national Industry Strategy / We have increased evidence based including Visitor Economy 'Volume and Value' studies and the draft NLP Ipswich Area Economic Sector needs data now in which is informing our Economic Development Strategy / Economic Open for Business Strategy has now been adopted and published.						On T	- rack	Stayed the same
	RISK: 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
2b	MITIGATION: 1.) Formulation of a delivery programme and action to deliver 'VfP' which sets out milestones, timeline is underway 2.) Regeneration activities through investment programme,		Cabinet Member for Economy				-	ation Status	Direction of travel (score)
	collaborations and enabling communities e.g. Gainsborough House, Kingfisher Leisure Centre, Customer Service Centre		(BDC)				On T	Frack	Stayed the same

	RISK: 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	INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
2c	MITIGATION: 1.) Creation of a framework of projects and programmes to deliver 'Vision' which sets out milestones, timeline is underway. 2) Regeneration activities through investment programme, collaborations and enabling communities e.g. Regal Theatre, former Natwest Bank, Customer Service		Cabinet Member for Economy				Mitig RAG S	ation Status	Direction of travel (score)
	Centre		(MSDC)				On T	rack	Stayed the same
	RISK: 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	INHERENT RISK SCORE 12	3	3	CURRENT RISK SCORE 9
2d	MITIGATION: 1.) The development of our Joint Local Plan 2.) Delivery of an Economic Open for Business Strategy 3.) Provision of officer support and expertise to ensure Space to Innovate and Food Enterprise Zones are delivered within timescales 4.) Our Open for Business engagement approach		Cabinet Members for Planning				Mitig RAG S		Direction of travel (score)
	including with investors, developers and businesses (existing and new) facilitating retention and growth within the district. 5) Planning applications on key employment sites progressing		(support)				On T	rack	Stayed the same
	3 - COMMUNITY CA	PACITY BUILDING A	ND ENGAGEMENT						
	help them become more sustainable	Assistant Director - Communities & Public Realm	Cabinet Members for Communities	3	3	INHERENT RISK SCORE 9	3	3	CURRENT RISK SCORE 9
3 a	MITIGATION: Community capacity added to help communities deliver Neighbourhood Plans, Joint Scrutiny Committee review undertaken, formal mechanisms agreed to consult on the joint Local Plan, Town and Parish Council Liaison meetings in place and frequency increased, Tenant involvement						Mitig RAG S	ation Status	Direction of travel (score)
	strategy creates a full menu of involvement options, development of locality and resilience model adopted with Suffolk County Council, focus on "placed based" engagement being directed by Communities Team, plans to develop whole organisation framework being developed, start work on Community Strategy to be in place by Autumn 2018						On T	rack	Stayed the same

	4 - ASS	ETS AND INVESTME	INTS							
	RISK: 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	Managing Director - BMS Investment	Cabinet Members for Assets and Investment		2	4	INHERENT RISK SCORE 8	2	3	CURRENT RISK SCORE 6
4 a	MITIGATION: 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	than commercial borrowing arrangements / Flexibility in structure to seek alternative sources of if required / Initial modelling of returns includes for fluctuations in cost of borrowing over time /					Mitigation RAG Status		Direction of travel (score)	
	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.	- Corporate Resources (support)						On 1	rack	Stayed the same
	RISK: 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	Assistant Director - Investment and Commercial Delivery	Cabinet Members for Housing		4	3	INHERENT RISK SCORE 12	2	3	CURRENT RISK SCORE 6
4b	MITIGATION: 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					,		Mitig RAG S	ation Status	Direction of travel (score)
	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.							On 1	rack	Stayed the same
	RISK: 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	Assistant Director - Corporate Resources	Cabinet Member for Assets and Investments		4	3	INHERENT RISK SCORE 12	3	3	CURRENT RISK SCORE 9
4c	MITIGATION : 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							Mitig RAG S	ation Status	Direction of travel (score)
								On 1	rack	Increased

	RISK: 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
4d	MITIGATION: Embed effective operational structure by redesigning service / Look at efficiency gains / Use of technology / Independent review of business plan by ARC / Effective project management - weekly meetings / Liaison with Portfolio Holders and customers / Follow best practice examples / Look at economies of scale - supply of materials						RAG		Direction of travel (score)
	5 - AN ENABLED	AND EFFICIENT OR	GANISATION				On 1	rack	Stayed the same
	RISK: 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
5a	MITIGATION: Programme to 'upskill' staff (People Strategy) / Create Digital Strategy / Invest / Talk to and learn from others / A 'People Strategy' is to be developed which will incorporate updated training and development programmes for staff / A staff survey has been undertaken and is being analysed/ The Customer Access Strategy is to be refreshed, highlighting technological advances that we may decide to						Mitig RAG S		Direction of travel (score)
	make use of to provide services people need / We will continue to look to best practice both within public and private sectors to see where we can learn/develop and keep abreast of emerging advances						On 1	rack	Stayed the same
	RISK: 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
5b	MITIGATION: Data mapping exercise to provide a register of information and their attributes / Internal Audit to undertake periodical Information Assurance Audit compliance / New information sharing intranet launched / Working with Suffolk partners to join up information held/ Intelligence Fair has been						-	ation Status	Direction of travel (score)
	held to support and encourage Officers and Members to base decision making on robust evidence and intelligence / Scanning exercise to enable 'paperless system' now completed / Invest in Suffolk wide resource / People Strategy to challenge and ask critical questions						On 1	rack	Stayed the same

	RISK: 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
5c	MITIGATION: 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				
	RISK: 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
5d	MITIGATION: Continue fundamental review of 30 year business plan and assumptions / Implementing of initial savings and efficiency measures / Achieving priorities and Joint Strategic Plan / Identifying and reviewing unit cost information / Monitoring and 6 monthly review / Manage unit costs	Assistant Director - Corporate Resources (support)			

INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
	-	ation Status	Direction of travel (score)
	On T	rack	Stayed the same
INHERENT RISK SCORE 12	2	4	CURRENT RISK SCORE 8
	-	ation Status	Direction of travel (score)
	On T	rack	Stayed the same

		Assistant Director	Cabinet Members				Mid Suffolk [District Council			
		- Corporate Resources	for Finance		3	4	INHERENT RISK SCORE 12	2	4	CURRENT RISK SCORE 8	
	RISK: If we do not understand our financial position and respond in a timely and effective way, then we							Mitig RAG S		Direction of travel (score)	
	will be unable to deliver the entirety of the Joint Strategic Plan MITIGATION: Continued development of the strands within the Medium Term Financial Strategy (MTFS)							On Track		Stayed the same	
5e	 / 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 				4	4	Babergh Dis INHERENT RISK SCORE 16	3	4	CURRENT RISK SCORE 12	
								Mitigation RAG Status		Direction of travel (score)	
								On T	rack	Stayed the same	
	RISK: 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	Assistant Director - Customer Services	Cabinet Members for Organisational Delivery		3	3	INHERENT RISK SCORE 9	3	3	CURRENT RISK SCORE 9	
5f	MITIGATION: Residual risks from All Together Programme Board have been transferred to the Customer Services risk register.							Mitig RAG S		Direction of travel (score)	
	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							On T	rack	Stayed the same	

5g	 RISK: 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. MITIGATION: 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. 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. 	Chief Executive	Cabinet Members for Assets & Investments	4	3	
5h	RISK: 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 MITIGATION: Health and Safety regularly featured on SLT Agenda / Specific H&S orientated Extended Leadership Team sessions to promote a positive H&S culture / 2018/19 budgetary provision in place under H&S and OD budgets to ensure adequacy of resources and provision of H&S training / H&S Board and H&S Working Group in place for regular H&S communication and consultation / Task & Finish Group (a sub-set of the H&S baard) chaired by the AD for Corporate Resources with H&S Action Plan priorities actioned by internal H&S team / Significant progress made in relation to HAV management with positive HSE response for Countryside & Public Realm work on HAV / Training matrices developed for corporate H&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&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&S Officer role to assist H&S Business Partner submitted for approval in order to proceed with temporary to permanent recruitment for this role / H&S Officer (Construction) in place to directly assist Property Services and Building Services / Liaison within HR & OD team where employment, training, Trade Union and H&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, 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	Chief Executive	Cabinet Members for Assets & Investments	4	4	

INHERENT RISK SCORE 12	3	3	CURRENT RISK SCORE 9
		ation Status	Direction of travel (score)
	On T	rack	Stayed the same
INHERENT RISK SCORE 16	3	4	CURRENT RISK SCORE 12
	-	ation Status	Direction of travel (score)
	On T	rack	Decreased

	RISK: 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
5i	MITIGATION: Introduction and promotion of Source Cards to help claimants manage their finances / Working with DWP and stakeholders to increase awareness / stakeholders events / Increased bad debt						Mitig RAG S		Direction of travel (score)
	provision by 0.25% / Income Strategy / Forming relationships and partnerships - working with the Job Centre / Looking and learning best practice from others / Participating in the 'Trusted Partner' pilot project / Training and awareness for staff / Weekly project meeting with action plan and operational risk log						On T	rack	Stayed the same
	RISK: 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	4	3	CURRENT RISK SCORE
5j	MITIGATION: Workforce Strategy in development, Suffolk Joint People Strategy in place, memorandum of understanding in place between partner agencies is standardising a new approach to appoint and retain skilled staff, Suffolk Wide Planning Apprenticeship scheme has been established, an improved engagement strategy with schools is being created, a new system of rewards is being considered, a more cohesive staffing structure is focused on staff mentoring and development, a Career Grade has	Supported by Corporate	Cabinet Members for Planning		<u> </u>	9	Mitig RAG S		12 Direction of travel (score)
	been adopted, plans are being developed to establish closer links to Universities, the planning budget has been adjusted to provide additional resources due to current issues being experienced with resources	Manager - HR & OD	(support)				Poor pi	rogress	NEW RISK
		Assistant Director - Law &	Leaders of the		T	Mid Suffolk [District	Counci	1
		Governance	Councils	4	2	INHERENT RISK SCORE 8	4	2	CURRENT RISK SCORE 8
	RISK: If the Councils do not adopt a new delivery model they will not be financially sustainbable and						Mitig RAG S		Direction of travel (score)
5k	able to deliver key services in the future						On T	rack	NEW RISK
JK	MITIGATION: 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				T	Babergh Di	strict C	ouncil	
	and joint strategic plan / the councils have a joint medium term financial strategy			4	3	INHERENT RISK SCORE 12	4	2	CURRENT RISK SCORE 8
							Mitig RAG S		Direction of travel (score)
							On T	rack	NEW RISK