

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	RISK: 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	INHERENT RISK SCORE 6	2	2	CURRENT RISK SCORE 4
	MITIGATION: Having the right evidence base e.g. making use of Suffolk Housing Need Survey and existing Local Housing Need Surveys. Published the Strategic Housing Market Assessment as part of evidence base for Joint Local Plan. Creating Joint Local Plan								Mitigation RAG Status On Track	Direction of travel (score) Stayed the same
1b	RISK: 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	INHERENT RISK SCORE 9	3	3	CURRENT RISK SCORE 9
	MITIGATION: Current local plans in place, call for sites undertaken. New Joint Local Plan with comprehensive site allocations, currently out to consultation. Continue to endeavour to unblock 'stalled sites'. Outcomes of Scrutiny review								Mitigation RAG Status On Track	Direction of travel (score) Stayed the same
1c	RISK: 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	INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
	MITIGATION: Have Infrastructure and Delivery Officer in post. Have approach to unblocking stalled sites which has been agreed by Executive and Strategy Committees. Develop relationships with Developers e.g. client side panel hosted by Development Management. Working on Infrastructure Strategy and working Suffolk-wide to understand infrastructure funding and delivery. Additional resources provided in Mid Suffolk to bring forward delivery.								Mitigation RAG Status On Track	Direction of travel (score) Stayed the same

1d	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
	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 Anglia LEP Economic Strategy, draft created an awaiting endorsement from Cabinet in October		Cabinet Members for Planning					Mitigation RAG Status	Direction of travel (score)	
							On Track	Stayed the same		
1e	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
	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 Board						Mitigation RAG Status	Direction of travel (score)		
							On Track	Stayed the same		
2 - BUSINESS GROWTH AND INCREASED PRODUCTIVITY										
2a	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
	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 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.							Mitigation RAG Status	Direction of travel (score)	
							On Track	Stayed the same		
2b	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
	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, collaborations and enabling communities e.g. Gainsborough House, Kingfisher Leisure Centre, Customer Service Centre		Cabinet Member for Economy (BDC)					Mitigation RAG Status	Direction of travel (score)	
							On Track	Stayed the same		

2c	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
	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 Centre		Cabinet Member for Economy (MSDC)					Mitigation RAG Status	Direction of travel (score)	
								On Track	Stayed the same	
2d	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
	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 including with investors, developers and businesses (existing and new) facilitating retention and growth within the district. 5) Planning applications on key employment sites progressing		Cabinet Members for Planning (support)					Mitigation RAG Status	Direction of travel (score)	
								On Track	Stayed the same	
3 - COMMUNITY CAPACITY BUILDING AND ENGAGEMENT										
3a	RISK: 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	INHERENT RISK SCORE 9	3	3	CURRENT RISK SCORE 9
	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 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							Mitigation RAG Status	Direction of travel (score)	
								On Track	Stayed the same	

4 - ASSETS AND INVESTMENTS

4a	<p>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</p> <p>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 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.</p>	<p>Managing Director - BMS Investment</p> <p>Assistant Director - Corporate Resources (support)</p>	<p>Cabinet Members for Assets and Investment</p>		2	4	<p>INHERENT RISK SCORE</p> <p>8</p>	2	3	<p>CURRENT RISK SCORE</p> <p>6</p>
									<p>Mitigation RAG Status</p> <p>On Track</p>	<p>Direction of travel (score)</p> <p>Stayed the same</p>
4b	<p>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</p> <p>MITIGATION: 1) Project team in place to ensure early liaison with planners and adequate pre-app advise is sought 2) Icen 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.</p>	<p>Assistant Director - Investment and Commercial Delivery</p>	<p>Cabinet Members for Housing</p>		4	3	<p>INHERENT RISK SCORE</p> <p>12</p>	2	3	<p>CURRENT RISK SCORE</p> <p>6</p>
									<p>Mitigation RAG Status</p> <p>On Track</p>	<p>Direction of travel (score)</p> <p>Stayed the same</p>
4c	<p>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</p> <p>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</p>	<p>Assistant Director - Corporate Resources</p>	<p>Cabinet Member for Assets and Investments</p>		4	3	<p>INHERENT RISK SCORE</p> <p>12</p>	3	3	<p>CURRENT RISK SCORE</p> <p>9</p>
									<p>Mitigation RAG Status</p> <p>On Track</p>	<p>Direction of travel (score)</p> <p>Increased</p>

4d	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
	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							Mitigation RAG Status	Direction of travel (score)	
								On Track	Stayed the same	
5 - AN ENABLED AND EFFICIENT ORGANISATION										
5a	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
	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 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							Mitigation RAG Status	Direction of travel (score)	
								On Track	Stayed the same	
5b	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
	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 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							Mitigation RAG Status	Direction of travel (score)	
								On Track	Stayed the same	

5c	<p>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</p> <p>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</p>	Assistant Director - Corporate Resources	Cabinet Members for Finance		3	3	INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
								Mitigation RAG Status On Track	Direction of travel (score) Stayed the same	
5d	<p>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</p> <p>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</p>	Assistant Director - Housing	Cabinet Members for Housing		3	4	INHERENT RISK SCORE 12	2	4	CURRENT RISK SCORE 8
			Assistant Director - Corporate Resources (support)					Mitigation RAG Status On Track	Direction of travel (score) Stayed the same	

5e	<p>RISK: 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>MITIGATION: 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
				Mitigation RAG Status	Direction of travel (score)				
				On Track	Stayed the same				
5f	<p>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</p> <p>MITIGATION: <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 / As part of refreshing the customer strategy we are exploring options to provide additional self-service facilities in Hadleigh and where appropriate in other parts of the district / Continuing to closely monitor and improve our telephony performance, ensuring we answer calls in a timely fashion</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>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.</p> <p>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 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>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</p> <p>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 Board) 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 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&S for the Councils' interests. Development of wellbeing resources and awareness by L&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	<p>RISK: If the Universal Credit system is not used effectively by claimants, then the Councils will incur additional costs and lost revenue</p> <p>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 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</p>	Assistant Director - Housing	Cabinet Members for Housing		4	3	INHERENT RISK SCORE 12	3	3	CURRENT RISK SCORE 9
							Mitigation RAG Status On Track		Direction of travel (score) Stayed the same	
5j	<p>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.</p> <p>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 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</p>	Assistant Director - Planning for Growth	Cabinet Members for Economy				3	3	INHERENT RISK SCORE 9	4
							Mitigation RAG Status Poor progress		Direction of travel (score) NEW RISK	
5k	<p>RISK: If the Councils do not adopt a new delivery model they will not be financially sustainable and able to deliver key services in the future</p> <p>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 and joint strategic plan / the councils have a joint medium term financial strategy</p>	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 On Track		Direction of travel (score) NEW RISK	
							Babergh District Council			
4	3	INHERENT RISK SCORE 12	4	2	CURRENT RISK SCORE 8					
		Mitigation RAG Status On Track		Direction of travel (score) NEW RISK						