

BABERGH AND MID SUFFOLK SIGNIFICANT RISK REGISTER -SEPTEMBER 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: DIRECTION OF TRAVEL (score):	Better than expected progress	On Track	Poor Progress	
	Decreased	Stayed the same	Increased	NEW RISK

1 - HOUSING DELIVERY												
RISK 1a	CAUSE: If we do not have the appropriate evidence base	RISK: We may not have an up to date understanding of housing need and demand	CONSEQUENCE(S): We will not know if we are addressing and delivering the housing need and demand	Assistant Director - Planning and Communities	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. Creating Housing Strategy.										Mitigation RAG Status On Track	Direction of travel (score) Stayed the same
RISK 1b	CAUSE: If planning permissions are not granted for deliverable schemes	RISK: We may not have a sufficient, appropriate supply of land available in the right locations	CONSEQUENCE(S): We may be unable to meet housing needs in the district. The reputation of the Councils may be impacted	Assistant Director - Planning and Communities	Cabinet Members for Planning		3	3	INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
	MITIGATION: Current local plans in place, call for sites undertaken. New Joint Local Plan with comprehensive site allocations currently being drafted. Continue to endeavour to unblock 'stalled sites'. Navigus Planning are engaged to help unblock stalled sites. Current land supply for MSDC - 6.5 years, BDC - 6.7 years										Mitigation RAG Status On Track	Direction of travel (score) Stayed the same

RISK 1c	CAUSE: If development does not come forward in a timely way or sites become stalled	RISK: We may be unable to meet the Governments new Housing Delivery test	CONSEQUENCE(S): We may be unable to deliver the right housing in the right locations. Unable to unlock future housing growth. Housing targets not met, reputation of the Councils may be impacted	Assistant Director - Planning and Communities	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 Cabinet. 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 - Navigus Planning engaged to undertake this.										Mitigation RAG Status On Track	Direction of travel (score) Stayed the same
RISK 1d	CAUSE: If we do not secure investment in infrastructure	RISK: Development may be stifled and/or unsustainable	CONSEQUENCE(S): Housing targets not met. Reputation of the Councils may be impacted. Quality of life for residents could be affected. Access to services may be restricted.	Assistant Director - Planning and Communities	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 adopted by Council, secure investment on infrastructure via planning process (e.g. S106). Creating Local Plan Infrastructure Delivery Plan. New Anglia LEP Economic Strategy, endorsed by Cabinet in October 2017. Suffolk Framework for Inclusive Growth endorsed by Cabinet in May 2018. Currently working closely with infrastructure providers to provide evidence to inform Local Plan allocations.					Cabinet Members for Planning						Mitigation RAG Status On Track

RISK 2c	Failure to engage with the communities of Stowmarket	We fail to deliver on the aspirations articulated in the Vision for Prosperity	We may not maximise the economic potential of our largest market towns.	Assistant Director - Planning and Communities	Cabinet Member for Communities (MSDC)		3	3	INHERENT RISK SCORE	2	3	CURRENT RISK SCORE
	Failure to secure necessary investment								9			6
	MITIGATION: 1.) Continued evolution of a framework of projects and programmes to deliver growth projects. 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
RISK 2d	CAUSE:	RISK:	CONSEQUENCE(S):	Assistant Director - Planning and Communities	Cabinet Members for Economy		4	3	INHERENT RISK SCORE	2	3	CURRENT RISK SCORE
	Lack of engagement with land owners, developers, investors and businesses	We may 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						12			6
	MITIGATION: 1.) The development of our Joint Local Plan 2.) Delivery of the 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 permission granted for Gateway 14 (Stowmarket) and for infrastructure and first occupier at Sproughton.					Cabinet Members for Planning (support)					Mitigation RAG Status	Direction of travel (score)
										On Track		Stayed the same

3 - COMMUNITY CAPACITY BUILDING AND ENGAGEMENT

RISK 3a	CAUSE: Lack of effective engagement with communities to understand their future needs	RISK: We may not be able to help communities become more sustainable	CONSEQUENCE(S): Increased demand on services Reduced quality of life Reduced access to services	Assistant Director - Communities & Planning	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 On Track	Direction of travel (score) Stayed the same	

4 - ASSETS AND INVESTMENTS

RISK 4a	CAUSE: If the Capital Investment Fund (CIF) does not generate forecast investment returns	RISK: We may be unable to meet the income projections for the Councils	CONSEQUENCE(S): There may be a drain on General Fund resources	Assistant Director - Assets and Investments	Cabinet Members for Assets and Investment		2	4	INHERENT RISK SCORE 8	2	3	CURRENT RISK SCORE 6
	MITIGATION: CIFCO has now invested approximately 70% of the fund and is on track to complete the investment by April 2019 in line with its business plan. CIFCO activity continues to be closely monitored, together with market conditions and any changes or prospective changes in government legislation.				Assistant Director - Corporate Resources (support)					Mitigation RAG Status On Track	Direction of travel (score) Stayed the same	

RISK 4b	CAUSE: Lack of specialist advice in the fields of delivery, design and engagement with planners	RISK: The affordable homes programme does not achieve the forecast returns on investment	CONSEQUENCE(S): There may be a drain on the Housing Revenue Account and General Fund resources	Assistant Director - Assets and Investments	Cabinet Members for Housing		4	3	INHERENT RISK SCORE 12	2	3	CURRENT RISK SCORE 6
	MITIGATION: 1) Project team in place to ensure early liaison with planners and adequate pre-app advice 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 4) Both Councils will be making a bid for additional HRA headroom to enable them to deliver more affordable homes. The bid will be finalised by the 30th September and the outcome of the bid notified to Councils during Autumn. Local authorities with revised indebtedness determinations will be able to draw down additional borrowing from April 2019 onwards.									Mitigation RAG Status	Direction of travel (score)	
										On Track	Stayed the same	
RISK 4c	CAUSE: Lack of understanding of the capabilities of our assets and how to operate them	RISK: We may not manage our asset portfolio effectively	CONSEQUENCE(S): This may result in lost opportunity, loss of capital value, increased revenue costs and loss of public confidence	Assistant Director - Assets and Investments	Cabinet Member for Assets and Investments		4	3	INHERENT RISK SCORE 12	3	3	CURRENT RISK SCORE 9
	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 4) Appointment of Assistant Director - Assets and Investment with valuable knowledge and experience									Mitigation RAG Status	Direction of travel (score)	
										On Track	Stayed the same	
RISK 4d	CAUSE: If we do not have realistic targets or a clear understanding of our service costs	RISK: We may fail to deliver the financial projection set out within the BMBS business plan	CONSEQUENCE(S): The Councils will be 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: Ensure the Business Plan remains realistic and relevant, through regular reports, reviews and scrutiny by the Assistant Director -Housing, SLT, Housing Portfolio Holders, Members, Scrutiny and Cabinet / Financial targets and budgets shall be monitored through regular monthly meetings between BMBS and Finance and a suite of operational performance reports shall be reviewed by Team Leads and the Corporate Manager / Specific operational risks relating to BMBS shall be actively managed and project and change management techniques used to deliver the underlying service improvements / Key elements such as complaints and compliance shall be monitored regularly									Mitigation RAG Status	Direction of travel (score)	
										On Track	Stayed the same	

RISK 4e	CAUSE: Gateway 14 Ltd fails to bring forward the development of site	RISK: Income and Capital projections and economic outcomes may not be delivered	CONSEQUENCE(S): Land remains under-utilised	Assistant Director - Assets and Investments	Cabinet Member for Assets and Investments		2	4	INHERENT RISK SCORE 8	2	3	CURRENT RISK SCORE 6
	MITIGATION: Appropriate treasury management advice being applied. Gateway 14 Ltd has engaged a knowledgeable and experienced Board of Director to enable the delivery of the scheme and is being supported by market leading experts in preparing a delivery strategy for the site.									Mitigation RAG Status On Track	Direction of travel (score) NEW RISK	
5 - AN ENABLED AND EFFICIENT ORGANISATION												
RISK 5a	CAUSE: If we do not keep abreast of new information technology, developments and opportunities, and improve our skills.	RISK: We will not transform, and become more efficient using IT.	CONSEQUENCE(S): We will be unable to provide the services people need in the most appropriate way.	Assistant Director - Customer Services	Cabinet Members for Organisational Delivery		3	3	INHERENT RISK SCORE 9	3	3	CURRENT RISK SCORE 9
	MITIGATION: A new IT Board has been set up to monitor a range of IT projects including some managed by SCC. Regular meetings take place between us and SCC to further develop relationships and deliver upon requirements. A training programme is being developed by HR which will include IT skills. Specific and focused training is underway for software applications and tools such as PowerBI. A refreshed Customer Access Strategy identifies new technological developments.									Mitigation RAG Status On Track	Direction of travel (score) Stayed the same	
RISK 5b	CAUSE: If we do not hold up to date, accurate and clean data.	RISK: Our data sources will not be reliable.	CONSEQUENCE(S): We will not have a strong evidence base to support organisational decisions and assumptions.	Assistant Director - Customer Services	Cabinet Members for Organisational Delivery		3	3	INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
	MITIGATION: We are setting clear data standards as part of General Data Protection Regulations and are currently undertaking a review to ensure that all staff have completed the GDPR training. An Information Asset Register is being completed so we have a clear understanding of all the datasets we own, who the information asset owner is and their retention periods. Where our data is being accessed frequently, we are digitising the data so that procedures and processes can be automated e.g. we ensure enforcement data is loaded correctly into the system to enable the team to make informed decisions. Dataset are being reconciled between systems (i.e. HR vs Payroll) comparing them looking for anomalies.									Mitigation RAG Status On Track	Direction of travel (score) Stayed the same	

RISK 5c	CAUSE: If there is no understanding, collective responsibility and ownership by the Housing Management Team of the HRA business plan	RISK: We may not deliver a robust HRA business plan	CONSEQUENCE(S): We may be unable to meet our stated ambitions and responsibilities for our residents	Assistant Director - Housing	Cabinet Members for Housing		3	4	INHERENT RISK SCORE 12	2	4	CURRENT RISK SCORE 8
	MITIGATION: Data quality issues to be addressed / HMT to undertake quarterly reviews of the HRA 30 year business plan to ensure it is realistic and relevant / Develop an understanding of the HRA Finance Modelling software within the HRA Finance Team and Corporate Managers through examination and training / Develop and maintain a set of scenario tests and stress tests / Review the structure and links between Asset Management, Property Services, Building Services and Finance			Assistant Director - Corporate Resources (support)						Mitigation RAG Status On Track	Direction of travel (score) Stayed the same	
RISK 5d	CAUSE: If we do not understand our financial position	RISK: We may be unable to respond in a timely and effective way to financial demands	CONSEQUENCE(S): We may be unable to deliver the entirety of the Joint Strategic Plan	Assistant Director - Corporate Resources	Cabinet Members for Finance		3	4	INHERENT RISK SCORE 12	2	4	CURRENT RISK SCORE 8
	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. Identifying options over next 4 years under 4 categories of; efficiencies, income, contracts and channel shift. Aim to have 4 year costed action plan rather than looking at just the next year.						Mid Suffolk District Council			Mitigation RAG Status On Track	Direction of travel (score) Stayed the same	
							Babergh District Council			Mitigation RAG Status On Track	Direction of travel (score) Stayed the same	
							4	4	INHERENT RISK SCORE 16	3	4	CURRENT RISK SCORE 12
										Mitigation RAG Status On Track	Direction of travel (score) Stayed the same	

RISK 5e	CAUSE: If we don't provide effective public access arrangements	RISK: We will be unable to successfully target and provide our services.	CONSEQUENCE(S): Our customers will not receive the service and support that they need.	Assistant Director - Customer Services	Cabinet Members for Organisational Delivery		3	3	INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
	MITIGATION: We have a refreshed Customer Access Strategy which will form the basis to scope a range of customer centred projects to improve our public access arrangements. We are prototyping other forms of customer service to ensure geographical coverage i.e. using pop-up or self-service kiosks in libraries and we will be reviewing the aesthetics of our Stowmarket customer access point. We will undertake a lean review across all services to better understand the number of transactions we process, how long they take and how we process them either over the phone, face to face or online, so that we can make improvements where needed. We are seeking to understand our online user journeys on our website so as to ensure it is easy to use and transactions are clear and concise. Further work will be undertaken to encourage our customers to use our online services where possible.									Mitigation RAG Status On Track	Direction of travel (score) Stayed the same	
RISK 5f	CAUSE: If we do not maintain the trust of our stakeholders and promote our public image and reputation	RISK: The Councils may be perceived to be untrustworthy and have a poor reputation	CONSEQUENCE(S): 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.	Chief Executive	Cabinet Members for Assets & Investments		4	3	INHERENT RISK SCORE 12	3	3	CURRENT RISK SCORE 9
	MITIGATION: Work is nearly complete, through a Natural Work Teams, to develop strong, clear, embedded values and behaviours, which will be linked to performance appraisals from 2019. Further constitution reviews are underway of governance systems and processes to optimise openness, transparency and engagement in all our approaches. Work has commenced to introduce a thorough and integrated Member Development, Senior Management and Leadership programmes. To ensure more effective communication and engagement a dedicated Strategic Communications Lead Officer has been recruited, 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 have been put in place through dedicated officer liaison links, regular clerks meetings and refreshed Parish Liaison Meetings.									Mitigation RAG Status On Track	Direction of travel (score) Stayed the same	

RISK 5g	CAUSE: If we fail to protect our employees and other persons to whom we owe a duty of care	RISK: The safety, health, welfare and wellbeing of individuals may be compromised	CONSEQUENCE(S): Injury or harm to employees. Fines from the HSE. Reputational impact to the Councils	Chief Executive	Cabinet Members for Finance		4	4	INHERENT RISK SCORE 16	3	4	CURRENT RISK SCORE 12
	MITIGATION: * Adoption of a H&S Policy and Management System * Development of a H&S Training programme: IOSH Managing Safely course has been rolled out for Managers and Team Leaders a comprehensive H&S Training Matrix has been developed and budgeted for all staff and is being implemented * A lone working IT solution has been rolled out to staff * Development of a H&S performance dashboard to enable closer monitoring of progress * The creation of a Corporate Manager post for Health and Safety to ensure focus and a consistent approach throughout the organisation * An organisational H&S action plan has been developed with status monitored by the H&S Board * A H&S working group meets with representation from high risk services to discuss and develop focus and strategy * Development of wellbeing resources, participation in the national Mental Health Awareness week (14-20 May) and introduction of Mental Health First Aiders									Mitigation RAG Status On Track	Direction of travel (score) Stayed the same	
RISK 5h	CAUSE: If tenants in receipt of Universal Credits do not utilise this benefit for payment of their housing rent	RISK: Rent arrears will increase	CONSEQUENCE(S): Resulting in increased costs in rent collection, enforcement action and possible tenant evictions	Assistant Director - Housing	Cabinet Members for Housing		4	3	INHERENT RISK SCORE 12	3	3	CURRENT RISK SCORE 9
	MITIGATION: Working with DWP and stakeholders to increase awareness / stakeholder events / Increased bad debt provision by 0.25% / Income Strategy / Income Management Policy / Forming relationships and partnerships - working with the Job Centre / Looking and learning best practice from others / Training and awareness for staff / Increasing the capacity of Tenancy Support Officers / Affordability assessment tools									Mitigation RAG Status On Track	Direction of travel (score) Stayed the same	

RISK 5i	CAUSE: If we experience challenges with staff recruitment and retention	RISK: There may be staff shortages within service areas	CONSEQUENCE(S): This may start to impact on performance, our income, the costs of potential legal challenge, government scrutiny, staff morale and public confidence.	Assistant Director Corporate Resources	Cabinet Members for Finance		3	3	INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
	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. Market forces supplement agreed. Further recruitment underway.									Mitigation RAG Status On Track	Direction of travel (score) Stayed the same	
RISK 5j	CAUSE: If the Councils do not adopt a new delivery model	RISK: The Councils may not be financially sustainable	CONSEQUENCE(S): We may be unable to deliver key services in the future	Assistant Director Law & Governance	Leaders of the Councils		Mid Suffolk District Council					
							2	4	INHERENT RISK SCORE 8	1	4	CURRENT RISK SCORE 4
										Mitigation RAG Status On Track	Direction of travel (score) Stayed the same	
							Babergh District Council					
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						3	4	INHERENT RISK SCORE 12	2	4	CURRENT RISK SCORE 8	
									Mitigation RAG Status On Track	Direction of travel (score) Stayed the same		

RISK 5k	CAUSE: If we fail to take advantage of the benefits of working in an agile environment.	RISK: We may not be as efficient as we need to be, including the use of new technologies.	CONSEQUENCE(S): Valuable time and effort will be wasted with a de-motivated workforce.	Assistant Director - Customer Services	Cabinet Members for Organisational Delivery		3	3	INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
	MITIGATION: A People Strategy is under development underpinned by a significant piece of work with staff to develop our values and behaviours. A recent staff survey identified a number of actions with regard to agile working and these are underway, with a repeat of the survey in the future. Corporate managers will receive support from HR to manage staff remotely and a range of tools are available such as Skyguard. Other practices are in train such as daily meetings, target setting, target tracking, rewards and recognition. Staff now use a range of technologies such as Skype (voice, video technology and screen sharing), Microsoft team sites, mobile phone technology etc all enabling remote working and regular communications.									Mitigation RAG Status On Track	Direction of travel (score) NEW RISK	