

## BABERGH AND MID SUFFOLK SIGNIFICANT RISK REGISTER - MAY 2020

RISK DETAILS	Risk owner	Cabinet Member Leads	Original scores (before any mitigation)			Mitigation to date	Current scores			Direction of Travel from previous Qtr. (score)	Further Actions / Comments	Planned completion date(s)	Target scores (following completion of all further actions)		
			L	I	S		L	I	S				L	I	S
<b>RISK 1</b> <b>CAUSE:</b> If planning permissions are not granted for deliverable schemes  <b>RISK:</b> We may not have a sufficient, appropriate supply of land available in the right locations  <b>CONSEQUENCE(S):</b> 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	9	Current land supply for MSDC - 5.66 years and for BDC - 5.67 as described in Housing Land Supply Position Statements published in September 2019.  Joint Local Plan with comprehensive site allocations currently out to consultation which closes 30th September 2019.  Housing Delivery Test Action Plans adopted by both Councils in June 2019.	2	3	6	Stayed the same	Continue to determine planning applications.  Continue to develop the Joint Local Plan and its associated Infrastructure Delivery Plan.	Ongoing  Ongoing	2	3	6

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<b>RISK 2</b> <b>CAUSE:</b> If development does not come forward in a timely way or sites become stalled <b>RISK:</b> We may be unable to meet the Governments new Housing Delivery test <b>CONSEQUENCE(S):</b> 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	9	Housing Delivery Test Action Plans adopted by both Councils in July 2019 which continue to be monitored.  579 new dwellings built in Babergh during 2018/19 representing 138% of annual target. 690 new dwellings built in Mid Suffolk during 2018/19 representing 124% of annual target.	2	3	6	Stayed the same	Develop relationships with Developers e.g. client side panel hosted by Development Management.  Continue to develop Infrastructure Delivery Plan following feedback from Joint Local Plan consultation	Ongoing	2	3	6
												Ongoing			
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<b>RISK 4</b> <b>CAUSE:</b> Insufficient infrastructure and connectivity for growth including high speed broadband, road and rail connections  <b>RISK:</b> Lack of business growth and investment in the districts  <b>CONSEQUENCE(S):</b> Areas fail to grow and attract new highly skilled staff and high growth businesses move out	Assistant Director - Economy and Regeneration	Cabinet Members for Economic Growth	3	3	9	BMSDC involved in strategic infrastructure work through Suffolk Growth Programme Board, East West Rail consortium and Suffolk iCloud project which will be connecting up public sector assets with high speed broadband in Sudbury and Stowmarket	2	3	6	NEW RISK	Work ongoing to review full fibre network opportunities across both districts, working to ensure Copdock remains a regional priority for investment, infrastructure an emerging priority in refreshed economic strategy	Ongoing	2	3	6
<b>RISK 5</b> <b>CAUSE:</b> Lack of engagement with land owners, developers, investors and businesses  <b>RISK:</b> Lack of workspace delivered in districts due to market failure  <b>CONSEQUENCE(S):</b> Our current businesses may not be able to remain in our districts and we may not attract new businesses	Assistant Director - Economy and Regeneration	Cabinet Members for Economic Growth	4	3	12	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.) New workspace demand study and tech hub study identify key market demand and market failure. 6) Council leadership options being developed for provision of new workspace	2	3	6	Stayed the same	Innovation Labs - hot desk and business support space launched Nov 2019 - work ongoing regarding innovation cluster Gateway 14. Working with Brantham developer to review core sector/occupier interest	Summer 2020	2	3	6

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<b>RISK 6</b> <b>CAUSE:</b> National impacts on retail uses in town centre and changed shopping habits have  <b>RISK:</b> Decline in our key towns impacts upon economic prosperity of the districts  <b>CONSEQUENCE(S):</b> Economically inactive town centres which do not serve their wider communities, loss of local jobs and investment	Assistant Director - Economy and Regeneration	Cabinet Members for Economic Growth	3	3	9	Visions for prosperity in place across 5 key towns - Stowmarket, Needham, Sudbury, Hadleigh and Eye - programme of workshops and engagement with local groups and communities over the summer - robust programme of actions in each place. Steering Groups established for Sudbury and Stowmarket	2	3	6	NEW RISK	Further work includes the development of Steering groups in Needham, Hadleigh and Eye - review of vision in each place and agreement of set of key messages - Ensuring range of private and public sector partners in Steering group - review opportunities for new funding streams, encourage collaborative working across projects in key towns e.g. links between Innovation Labs and MEAL in Stowmarket	Ongoing	2	3	6
<b>RISK 7</b> <b>CAUSE:</b> Lack of effective engagement with communities to understand their future needs  <b>RISK:</b> We may not be able to help communities become more sustainable  <b>CONSEQUENCE(S):</b> Increased demand on services Reduced quality of life Reduced access to services	Assistant Director - Planning and Communities	Cabinet Members for Communities	3	3	9	Officer capacity added to help communities deliver Neighbourhood Plans.  Joint Scrutiny Committee review undertaken.  Town and Parish Council Liaison meetings in place and frequency increased.  Tenant involvement strategy creates a full menu of involvement options.  Statement of Community Involvement: Planning Matters approved by Full Council.  Community Strategy adopted by full Council.  20 drop-in events delivered in communities as part of consultation on Joint Local Plan.	3	3	9	Stayed the same	Engagement with key Town Councils by Strategic Directors.  Officer employed to engage directly with communities in the Council's own development.  Create Delivery Plan in association with Community Strategy	ongoing	2	3	6
												ongoing			
												November 2019			

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RISK 8	<b>CAUSE:</b> If the Capital Investment Fund (CIF) does not generate forecast investment returns	Assistant Director - Assets and Investments	Cabinet Members for Assets and Investment	2	4	8	Phase 1 CIFCO has now invested 100% of the fund in line with its business plan.  Revised Business Plan has been approved by Councils and adopted by the Holding Companies and Board of CIFCO	2	3	6	Stayed the same	Progressing investment of Phase 2 funds	March 2021	2	3	6
	<b>RISK:</b> We may be unable to meet the income projections for the Councils															
	<b>CONSEQUENCE(S):</b> There may be a drain on General Fund resources															
RISK 9	<b>CAUSE:</b> Gateway 14 Ltd fails to bring forward the development of site	Assistant Director - Assets and Investments	Cabinet Members for Assets and Investment	3	4	12	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.	3	3	9	Stayed the same	Discussions with different parties to develop Delivery Model	December 2019	2	3	6
	<b>RISK:</b> Income and Capital projections and economic outcomes may not be delivered															
	<b>CONSEQUENCE(S):</b> Land remains under-utilised															

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<b>RISK 10</b>  CAUSE:  If we do not make best use of our multiple sources of data  RISK:  Our data sources will not be reliable and efficient  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	9	We are setting clear data standards as part of General Data Protection Regulations and have undertaken a review to ensure that all staff have completed the GDPR training which is now included in the induction process.  The Information Asset Register has now been completed and provides a clear understanding of all the data sets we own, who the information asset owner is and their retention periods. This will be reviewed annually.	2	3	6	Stayed the same	We are continuing to cleanse specific data sets (such as permitted development info) with additional resource enabling us to work smarter in the future. There are a number of data sets that this activity will need to continue for - each will be considered in line with a robust business case due to the costs associated with the activity. We are drafting an Information Management Strategy which will provide a framework for the organisation to store, input, use and destroy data. It will also provide guidance and an approach to how we use data consistently across the organisation to make better decisions.  Power BI has enabled us to join up and reconciling various databases to enable us to make better decisions. For example: reviewing sickness information, verify who has done the GDPR training, how often mobile phones are used, how many people use the office space on Gold and Lime, Printer usage, BT landline usage from external properties. We are continue to identify themes and issues that Power BI can help us with and identify how we can make best use of Power BI across teams.  Further plans will be put in place to review and reconcile core databases including the HR database with the Finance system.	February 2020	2	3	6
												January 2020			
												February 2020			

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RISK 11	<b>CAUSE:</b> If we do not respond to our projected financial position	Assistant Director - Corporate Resources	Cabinet Members for Finance	MSDC			Use of one-off funding to change the business model and support functions during change  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)  Engagement of councillors to understand options  20/21 budget set in February 20	MSDC			Stayed the same	Identifying options over next 4 years under 3 categories of; review, remodel and reinvent. Aim to have 4 year costed action plan rather than looking at just the next year.  Detailed budget challenge across all service areas incorporating revenue, capital and reserves.  Identifying specific areas of focus to achieve cost reductions or additional income in-year and over medium-term.	Dec-20	MSDC		
				3	4	12		2	4	8				2	4	8
	<b>RISK:</b> We may be unable to react in a timely and effective way to financial demands			BDC				BDC						BDC		
<b>CONSEQUENCE(S):</b> We may be unable to deliver the entirety of the Joint Strategic Plan			4	4	16	3	4	12	Stayed the same	2	4	8				







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<b>RISK 14</b>  <b>CAUSE:</b>  Ineffective organisational change, lack of available skills, resources and increased demand for services  <b>RISK:</b>  Failure to achievement of our Vision and Strategic priorities and ambition (as articulated in the Corporate Plan)  <b>CONSEQUENCE(S):</b>  We may be unable to achieve our strategic ambitions within our desired timescales and not able to meet our communities and stakeholders expectations	Chief Executive	Leaders of the Councils	3	3	9	People Strategy in development, Suffolk-wide People Strategy in place between partner agencies is standardising a new approach to appoint and retain skilled staff. NB Report to Overview and Scrutiny Committee Jan 2019 showed number of people leaving Apr-Sep 2018 was 20, compared to 122 in whole of 17/18.  Key policies and toolkits have been developed or reviewed to give greater clarity around how staff will be managed.  Housing, Communities and Customer Strategies in place. Some project managers and training in place. Programme methodology and Boards confirmed.	2	3	6	Stayed the same	Management review (appointment to key roles) completed and realignment of teams / roles / responsibilities  Embedding programmes and project approach  Adopting a People Strategy and action plan that will include elements aimed at improving recruitment and retention.  Development of key programmes e.g. Digital Transformation  Leadership & Management Programme  Corporate Outcomes (2019-2023) approved for delivery through Service Plans	March 2020	2	3	6
												January 2020			
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											March 2020				
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RISK 15	<b>CAUSE:</b> If the Councils do not adopt a new delivery model	Assistant Director - Law & Governance	Leaders of the Councils	MSDC			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	MSDC			Stayed the same	Work on exploring alternative structural models for the Councils is currently on hold.	N/A	MSDC		
				2	4	8		1	4	4				1	4	4
	<b>RISK:</b> The Councils may not be financially sustainable			BDC				BDC						BDC		
<b>CONSEQUENCE(S):</b> We may be unable to deliver key services in the future			3	4	12	2	4	8	Stayed the same			2	4	8		
RISK 16	<b>CAUSE:</b> If there is inadequate funding available to the Councils and/or industry solutions are not yet developed enough to take advantage of	Assistant Director - Environment & Commercial Partnerships	Cabinet Members for Environment	4	4	16	The Climate Change Emergency motion was passed in July 2019 committing to become carbon neutral by 2030.  Task force groups created and working on developing solutions to present to Cabinet become carbon neutral.	3	4	12	NEW RISK	In July 2020 both Cabinets approved, in principle, the Environment & Climate Change Task Force's Carbon Reduction Management Plan.  Continue to work alongside our peers, sharing best practice and lessons learned.  Officers to begin work immediately to reduce the impact of existing processes on our baseline.	Completed July 2020  TBC  TBC	2	4	8
	<b>RISK:</b> The Councils will not be carbon neutral by 2030															
	<b>CONSEQUENCE(S):</b> The motion will not be met; reputational damage; Councils would be actively contributing to climate decline															

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<p><b>CAUSE:</b></p> <p>The global Covid-19 Pandemic has caused the Councils to experience a loss of income / delayed collection of income / increases in expenditure</p> <p><b>RISK:</b></p> <p>The Councils become financially unviable</p>	Chief Executive	Leaders of the Councils	4	4	16	<p>The Councils have quickly mobilised an emergency response structure which has been leading the organisation's approach to managing the impacts of the pandemic. Losses of staff and service provision have been largely avoided.</p> <p>The recovery structure for the organisation is now in place with clear strategic aims. Monitoring will be undertaken by SLT.</p> <p>The Councils have strong links into the County-wide multi-agency response to the pandemic and have access to regional and national guidance and forums.</p> <p>The S.151 officer is closely monitoring the authorisation of emergency</p>	3	4	12	NEW RISK	<p>A multi-agency incident was declared. Senior officers joined SCG &amp; TCG as part of the multi-agency response. Various sub-groups were established and supported by the councils including Communities Board – dealing with food distribution, medicine distribution and support for isolated in their homes. Safer Places – dealing with the safe opening of open spaces and the high streets &amp; businesses, Track and Trace – dealing with the local arrangements to track and trace contacts in the event of a local outbreak or spike in infections.</p> <p>Within the Councils SMT and TMT were established and an emergent+O120cy response and business continuity arrangements were established.</p> <p>SMT provide a strategic lead and TMT implemented the required actions including the dispersal of those staff that were able to do so working from home, the scaling back of housing repairs to an emergency service, the closure of face to face customer contact centres and the dispersal of the call centre staff to also work from home. Many other services such as planning, building control, tenant services stopped face to face customer contact.</p> <p>Following the initial response, the subsequent reduction in C-19 cases and relaxation of some of the lockdown measures. The recovery structure for the organisation is now in place with clear strategic aims. Recovery is being led by SLT.</p> <p>Each operational site has completed a c-19 assessment. Some services have returned to a near 'normal' operation (Waste Services</p>	Open ended at this early stage	2	2	4

RISK 17

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<p><b>CONSEQUENCE(S):</b></p> <p>The Councils are unable to provide key services / deliver priorities / support residents, communities and businesses</p>						<p>expenditure and use of reserves. The Finance Team are making returns to Central Government and accessing central funding wherever possible.</p> <p>TMT is regularly collating data from Corporate Managers regarding operational issues and opportunities for reinvention of services as part of the recovery programme.</p> <p>Financial support has been provided to our leisure centres and community groups in order to support the ongoing health and wellbeing of our communities.</p>					<p>a near normal operation (waste services, Building Control, etc) Others have adapted the way they work to deliver a service in an amended way (Committee Services, Planning, Tenant Services, Customer Services).</p> <p>Risk Assessments and Safe Working Procedures are required for all new and amended services prior to commencement.</p> <p>The S.151 officer is closely monitoring the authorisation of emergency expenditure and use of reserves. The Finance Team are making returns to Central Government and accessing central funding wherever possible. Three tranches of funding provided to date by MHCLG. Projected loss of income and additional expenditure compared against reserve levels to give assurance to external audit on 'going concern' concept.</p> <p>TMT is regularly collating data from Corporate Managers regarding operational issues and opportunities for reinvention of services as part of the recovery programme.</p> <p>Financial support has been provided to our leisure centres and community groups in order to support the ongoing health and wellbeing of our communities.</p> <p>Recovery arrangements are connected to the multi-agency activity via the LRF cells.</p> <p>Staff absence levels are low and staff welfare has been monitored by managers and will continue through various staff</p>				

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<b>RISK 18</b>  <b>CAUSE:</b>  A second peak in Covid-19  <b>RISK:</b>  The Council becomes financially unviable  <b>CONSEQUENCE(S):</b>  The Councils are unable to provide key services / deliver priorities / support residents, communities and businesses	Chief Executive	Leaders of the Councils	4	4	16	NEW RISK	3	4	12	NEW RISK	<p>Emergency response structures which have been stood down from the summer pandemic can be re-instigated quickly and effectively.</p> <p>Current dispersed working arrangements will reduce the risk of C-19 between staff. Covid-19 Secure working arrangements at all occupied council work sites will reduce the risk of C-19 transmission between staff.</p> <p>National and local track and trace arrangements will help to control the spread of the virus from confirmed cases to the wider staff body.</p> <p>Remote working arrangements have been tried and tested and can be re-instigated where and when required.</p> <p>Critical services have been identified, Staff redeployment systems are effective and resource can be repositioned to support critical services if needed.</p> <p>The Councils are supporting and participating in the development of the Suffolk Communicable Diseases Plan in preparedness for a second Covid-19 wave.</p>	Open ended at this early stage	2	2	4