

BABERGH AND MID SUFFOLK SIGNIFICANT RISK REGISTER - AUGUST 2021

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	
HOUSING - DELIVERY OF THE RIGHT TYPE OF HOMES, OF THE RIGHT TENURE IN THE RIGHT PLACE																
RISK 1	CAUSE: If we do not have the appropriate evidence base	Assistant Director - Planning and Building Control and Assistant Director - Housing	Cabinet Members for Planning	3	2	6	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. Assessment as part of evidence base for Joint Local Plan. Housing Strategy created and approved by Full Council 2019. Refresh underway. Joint Local Plan examination commences 21st June 2021.	2	2	4	Stayed the same	Support for Local Housing Needs Surveys (6 completed to date)	Ongoing	2	2	4
	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															
RISK 2	CAUSE: If planning permissions are not granted for deliverable schemes	Assistant Director - Planning and Building Control	Cabinet Members for Planning	3	3	9	Current land supply for MSDC - 7.67 years and for BDC - 6.74 as described in Housing Land Supply Position Statements published in October 2020. Joint Local Plan with comprehensive site allocations. Examination commences 21st June 2021. Housing Delivery Test Action Plans reviewed by Overview and Scrutiny Committee in September 2020.	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
	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															

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RISK 3 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 Building Control	Cabinet Members for Planning	3	3	9	Housing Delivery Test Action Plans adopted by both Councils and reviewed in September 2020. Babergh District Council delivered 118% of the new homes required by Government between 2017-2020. Mid Suffolk District Council also scored favourably, delivering 103% of its requirement for the same time period.	2	3	6	Stayed the same	Develop relationships with Developers e.g. client side panel hosted by Development Management. JLP examination commences June 2021, adoption in 2022.	Ongoing	2	3	6	
																Ongoing
																Ongoing
RISK 4 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 Building Control	Cabinet Members for Planning	3	3	9	Adopted Community Infrastructure Levy (CIL) and CIL expenditure framework adopted by Council. Secured investment on infrastructure via planning process (e.g. S106). Suffolk Framework for Inclusive Growth endorsed by Cabinet in May 2018.	2	3	6	Stayed the same	Continue to refine Infrastructure Delivery Plan. Continue working closely with infrastructure providers to provide evidence to inform Local Plan examination. Continue to spend CIL monies on appropriate infrastructure. Review of Community Infrastructure Levy (CIL)	Ongoing	2	3	6	
																Ongoing
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ECONOMY - BUILDING MORE INCLUSIVE ECONOMIES ACROSS THE DISTRICTS

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RISK 5 CAUSE: Lack of engagement with businesses and failure to undertake data gathering and analysis RISK: We may not understand the needs and aspirations of our businesses CONSEQUENCE(S): We will be unable to focus our interventions and resources in a way which will provide the right support	Assistant Director - Economy and Regeneration	Cabinet Members for Economic Growth	3	3	9	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 / Central Suffolk Chamber of Commerce launched Sept 2019. Economic evidence base refresh Sept 2019, Programme of Major business visits (over 100 employees) underway	2	3	6	Stayed the same	Develop programme of shared delivery with new Central Suffolk Chamber of Commerce - create new framework for refreshed BMSDC economic growth strategy - Review of Business Grant Programmes	Ongoing	2	3	6

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RISK 8 CAUSE: National impacts on retail uses in town centre and changed shopping habits have RISK: Decline in our key towns impacts upon economic prosperity of the districts CONSEQUENCE(S): 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															
																COMMUNITIES - CREATING THE RIGHT CONDITIONS FOR COMMUNITIES TO WORK AND LIVE TOGETHER IN THE MOST SUSTAINABLE WAY														
																RISK 9 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 - 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.	ongoing ongoing	2	3
ASSETS AND INVESTMENTS - IMPROVED ACHIEVEMENT OF STRATEGIC PRIORITIES AND GREATER INCOME GENERATION THROUGH USE OF NEW AND EXISTING ASSETS																														

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RISK 10 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	8	The Councils' investment in CIFCO is complete - in line with CIFCO's business plan.	2	3	6	Stayed the same	The annual Business Plan has been prepared for approval by Councils and subsequent adoption by the Holding Companies and Board of CIFCO. The business plan addresses the impact of COVID on the operation of CIFCO.	Sept 2021	2	3	6
RISK 11 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 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 Directors to enable the delivery of the scheme and is being supported by market leading experts in preparing a delivery strategy for the site. Delivery Partner appointed in April 2020.	2	3	6	Reduced	Revised Planning Application submitted January 2021 and resolution to grant consent in August 2021. Plan to commence infrastructure works as soon as practical after issue of planning consent.	November 2021	2	3	6

CUSTOMERS - FURTHER DEVELOP AND IMPROVE CUSTOMER ACCESS AND EXPERIENCE THROUGH CUSTOMER INSIGHT AND INTELLIGENCE

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RISK 12 CAUSE: If we do not make best use of our multiple sources of data RISK: Our data sources will not be reliable and efficient	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 reconcile 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 with a view to embedding analytics as a self service function for all. Self Service Analytics 1: A 'value' first approach defined in terms of understanding the importance of data assets. Work in understanding these higher value data assets due and their readiness for review to complete by September 2021. Self Service Analytics 2: Once high value data assets identified a pilot phase will be undertaken on a number of high value assets (to be defined and informed by above) with a view to understanding for	On-going	2	3	6

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<p>CONSEQUENCE(S):</p> <p>We will not have a strong evidence base to support organisational decisions and assumptions.</p>										<p>with a view to understanding, for each asset any additional governance issues that need to be addressed and how best to manage these governance issues in a way that is generic and can therefore be applied to other data assets. Pilot phase likely to run from Sept 2021 to Dec 2021.</p> <p>Self Service Analytics 3: Rolling programme of data asset review will then be developed based on learnings from pilots and high value asset understanding. Rolling programme due to be designed by February 2022.</p> <p>Self Service Analytics 4: Subsequent to the above, and as a direct result of a greater understanding of both the volume of data and the currency required in regards reporting, options in regards the organisation wide provision, access to, and security of high value data can be undertaken.</p>	Feb 2022				
											TBA				

HEALTH OF THE ORGANSIATION - THE RIGHT PEOPLE ARE DOING THE RIGHT THINGS, IN THE RIGHT WAY, AT THE RIGHT TIME, FOR THE RIGHT REASONS AND ARE ABLE TO PROVE IT

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RISK 13	CAUSE: If we do not respond to our projected financial position		MSDC			Extensive monitoring and reporting of the impact of Covid-19 on the Councils' finances during 2020/21 including a positive going concern assessment for external audit. Significant grant funding provided by the Government to support local authorities. Internal savings also identified resulting in a surplus position being projected for both Councils for the outturn position for 2020/21.	MSDC			Reduced	For Mid Suffolk, cross-party discussions being held to agree allocation of £4m to achieve strategic priority ambitions.	MSDC			
			3	4	12		2	3	6			2	3	6	
			BDC				BDC					BDC			
	RISK: We may be unable to react in a timely and effective way to financial demands	Assistant Director - Corporate Resources	Cabinet Members for Finance				Peer budget challenge sessions undertaken with Corporate Managers and Assistant Directors to identify options.				Babergh considering use of Transformation Fund to target key strategic priorities.	September 2021	BDC		
	CONSEQUENCE(S): We may be unable to deliver the entirety of the Joint Strategic Plan			4	4	16		Briefings with councillors to consider options for 2021/22 budget.	3	3			9	Reduced	Early consideration with Senior Leadership Team of the approach for the 2022/23 budget process.
				Both budgets set for 2021/22 with a surplus position in February 2021.						Development of options for councillor consideration and approval as part of setting the budget for 2022/23	January 2022				
			Both Councils identified and set aside money in reserve to meet climate change and biodiversity ambitions.												

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RISK 14 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	12	Further constitution reviews are underway of governance systems and processes to optimise openness, transparency and engagement in all our approaches . 4 year Member Development Programme began from May 2019. Development work has also commenced in conjunction with the LGA 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 proactive engagement through all channels e.g. social media and dedicated training and support for media management. Strengthened Parish / Town Council relationships have been put in place through dedicated officer liaison links, regular clerks meetings and refreshed Parish Liaison Meetings. Staff Conference during Summer 2019 was used to embed the new organisational values	3	3	9	Stayed the same	Phase 1 of the Leadership and Management Development Programme has been completed for SLT and CM's and Phase 2, face to face conversations, is due to commence in the Winter.	Winter 2021/22	2	3	6

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RISK 15 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	16	H&S Training programme: IOSH Managing Safely for Managers and Team Leaders.	3	4	12	Stayed the same	IOSH Managing Safely for Managers delivered Spring 2021. New H&S Induction for Managers to be provided from Autumn 2021.	November 2021	2	4	8										
						H&S Training Matrix new online learning products reviewed and online.					Peoplesafe lone working app or device available for all lone workers.	H&S service plan with remedial actions to address H&S gaps in place and progress 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.	In partnership with HR/OD employee support in place for Mental Health via Mental First Aiders and a Stress Management Toolkit.	H&S Policy and Management System reviewed.	Generic Risk Assessments reviewed and in place.	Most services have now completed service-based Risk Assessments.	Personal Safety training (including CAI and Peoplesafe) for managers and lone workers.	Peoplesafe lone working provision to be reviewed Autumn 2021. Rationalising roles which require an app, or device and addressing underutilisation by staff.	November 2021	July 2022	May 2022
						Annual review of H&S Service Plan.					Survey of staff exposure to and impact from aggressive/violent behaviour to be completed spring 2022.	Staff Flu vaccination programme to be introduced Autumn 2021 or once C-19 Covid Booster and Flu vaccine programme confirmed by NHS.				Workplace Covid Precautions to be reviewed in line with H&SE requirements.	Ongoing								

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RISK 16 CAUSE: Ineffective organisational change, lack of available skills, resources and increased demand for services RISK: Failure to achievement of our Vision and Strategic priorities and ambition (as articulated in the Corporate Plan) CONSEQUENCE(S): 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. Strategic Asset Management Plan Adopted Jan 21. On-going work around strategies and delivery plans.	2	3	6	Stayed the same	Management review (appointment to key roles) completed and realignment of teams / roles / responsibilities. Whilst the majority of this has been completed, there are still 2 roles that we are currently recruiting to at CM level.	December 2021	2	3	6
											Adopting a People Strategy and action plan that will include elements aimed at improving recruitment and retention. The plan is in place and work has already commenced - this is a 3 year plan.	July 2023			
											Development of key programmes e.g. Digital Transformation	Early 2022			
										Leadership & Management Programme - Phase 1 is completed and Phase 2 commences autumn 2021.	Autumn 2021				
										Corporate Outcomes (2019-2023) approved for delivery through Service Plans	September 2021				

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RISK 19	Chief Executive	Leaders of the Councils	4	4	16	Guidelines and support for the public available on Councils' website. Established link with multi-agencies through Strategic Tactical Command Group Liaison with partners across Suffolk to ensure that there is a co-ordinated approach to community support. Purchase and distribution of protective equipment and sanitisers. Staff working from home where this is possible. Covid Secure Arrangements in place in all workplaces. New and revised working arrangements are subject to TMT authorisation and require a suitable and sufficient Risk Assessment and Safe Working Procedure.	4	4	16	NEW RISK	months. We have plans in place and these will be continually monitored and refined to react to developments. Keeping services running for both Councils and protecting vulnerable residents is our priority	Open ended at this early stage	2	2	4
RISK 20	Assistant Director - Environment & Commercial Partnerships	Cabinet Members for Environment	3	4	12	The Councils have created financial support packages for the two leisure providers for the financial year 2020/21. The National Leisure Recovery Fund went some way in supporting our providers with grants being given in late 2020/21. This was not the same deal that Councils running services directly were offered and so still left a significant shortfall. Close monitoring of Government advice and updates. Guidelines and support for the public available on the Councils' website. Established link with multi-agencies through Tactical Command Group. Liaison with partners across Suffolk to ensure that there is a co-ordinated approach to community support. Our partners have released important information regarding the closures and how this affects customers on their websites. Partners have offered at home/virtual/and not in person options for people to stay healthy and active wherever they are.	2	4	8	Improved	The forecast has improved since this risk was created. Financial packages have been agreed and given to the providers which has given them some stability. It has not taken them out of a deficit position however. The government has indicated we can expect COVID 19 restrictions to stay in place until at least 19th July 2021. The Councils and our partners will continuously monitor the situation as the COVID 19 pandemic continues. Keeping services running for both Councils and protecting vulnerable residents is our priority. Recovery of the leisure sector is likely to take up to another two years.	2021/22 - 2022/23	2	2	4