







BABERGH AND MID SUFFOLK SIGNIFICANT RISK REGISTER - MARCH 2017

RISK DETAILS	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 and possible issues





DIRECTION OF TRAVEL (score):  Decreased  Stayed the same  Increased

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.	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. Commissioned the Strategic Housing Market Assessment as part of evidence base for Joint Local Plan. Creating Joint Local Plan RESPONSIBLE OFFICER: Assistant Director - Planning for Growth				Mitigation RAG Status 		Direction of travel (score) NEW RISK
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.	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 being created. RESPONSIBLE OFFICER: Assistant Director - Planning for Growth				Mitigation RAG Status 		Direction of travel (score) NEW RISK
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	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. RESPONSIBLE OFFICER: Assistant Director - Planning for Growth				Mitigation RAG Status 		Direction of travel (score) NEW RISK




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1d	RISK: If we do not secure investment in infrastructure (schools, health, broadband, transport etc.), then development is stifled and/or unsustainable	3	3	INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
	MITIGATION: Adopted Community Infrastructure Levy (CIL), 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 - infrastructure investment				Mitigation RAG Status 	Direction of travel (score) NEW RISK	
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	3	3	INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
	MITIGATION: Suffolk Older Persons Housing Strategy, Health and Housing Charter, Creating Housing Strategy, Creating Joint Local Plan				Mitigation RAG Status 	Direction of travel (score) NEW RISK	
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	4	3	INHERENT RISK SCORE 12	2	3	CURRENT RISK SCORE 6
	MITIGATION: 1.) Introduction of a bespoke business engagement model and a full review of the Business Account Manager Programme 2.) Set up of a Customer Relationship Management System 3.) We will continue to develop the strategic evidence base which has included: employment land assesment; town centre retail studies and continue membership of and engagement with the Chamber of Commerce and develop strong relationships with the LEP which will provide opportunities to network and gather intelligence.				Mitigation RAG Status 	Direction of travel (score) 	
RESPONSIBLE OFFICER: Assistant Director - Investment and Commercial Delivery							


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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.	4	4	INHERENT RISK SCORE 16	2	4	CURRENT RISK SCORE 8
	MITIGATION: 1.) A series of workshops with communities to develop 'Vision' 2.) Creation of a framework of projects and programmes to deliver 'Vision' which sets out milestones, timeline 3.) Regeneration of Hamilton Road Sudbury through delivery of a leisure led scheme. RESPONSIBLE OFFICER: Assistant Director - Investment and Commercial Delivery				Mitigation RAG Status 		Direction of travel (score) NEW RISK
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.	3	3	INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
	MITIGATION: 1.) A series of workshops with communities to develop 'Vision' 2.) Creation of a framework of projects and programmes to deliver 'Vision' which sets out milestones, timeline. RESPONSIBLE OFFICER: Assistant Director - Investment and Commercial Delivery				Mitigation RAG Status 		Direction of travel (score) NEW RISK
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.	4	3	INHERENT RISK SCORE 12	3	3	CURRENT RISK SCORE 9
	MITIGATION: 1.) The development of Suffolk Strategic Planning and Infrastructure Framework 2.) Development of an Economic Strategy 3.) Provision of officer support and expertise to ensure Space to Innovate and Food Enterprise Zones are delivered within timescales. RESPONSIBLE OFFICER: Assistant Director - Investment and Commercial Delivery				Mitigation RAG Status 		Direction of travel (score) 

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3 - COMMUNITY CAPACITY BUILDING AND ENGAGEMENT




3a	RISK: Neighbourhood Plans - Failure to deliver Neighbourhood Plans	2	2	INHERENT RISK SCORE 4	2	2	CURRENT RISK SCORE 4
	MITIGATION: Undertaking Joint Scrutiny review of processes and support provided, are integrating support for Neighbourhood Plans into core activities of Strategic Planning team, Using learning from 3 made plans to continue to refine support for those in earlier stages of plan production RESPONSIBLE OFFICER: Assistant Director - Planning for Growth				Mitigation RAG Status 	Direction of travel (score) 	
3b	RISK: If we do not effectively engage communities about their future needs, then we will not be able to help them become sustainable	3	3	INHERENT RISK SCORE 9	3	3	CURRENT RISK SCORE 9
	MITIGATION: Joint Scrutiny Committee review underway, formal mechanisms agreed to consult on the joint Local Plan, Town and Parish Council Liaison meetings in place, 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. RESPONSIBLE OFFICER: Assistant Director - Communities and Public Access				Mitigation RAG Status 	Direction of travel (score) NEW RISK	





4 - ASSETS AND INVESTMENTS

4a	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	4	3	INHERENT RISK SCORE 12	2	3	CURRENT RISK SCORE 6
	MITIGATION: 1.) CIF Income projections based on ratified and realistic assumptions 2.) A balanced property portfolio 3.) Commercially intelligent Investment Board 4.) Procurement of strong contractor support. RESPONSIBLE OFFICER: Assistant Directors - Investment and Commercial Delivery				Mitigation RAG Status 	Direction of travel (score) NEW RISK	

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4b	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	4	3	INHERENT RISK SCORE 12	2	3	CURRENT RISK SCORE 6
	MITIGATION: 1.) Adherence to the criteria set out in the Joint Affordable Homes Strategy 2.) Use of Proval viability assesment tool to establish invesment returns 3.) Procurement of skilled and experienced Development Partner who is familiar with delivery of housing development schemes within set criteria RESPONSIBLE OFFICER: Assistant Director - Investment and Commercial Delivery				Mitigation RAG Status 	Direction of travel (score) NEW RISK	
4c	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	4	3	INHERENT RISK SCORE 12	3	2	CURRENT RISK SCORE 6
	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 RESPONSIBLE OFFICER: Assistant Directors - Investment and Commercial Delivery				Mitigation RAG Status 	Direction of travel (score) NEW RISK	
5 - AN ENABLED AND EFFICIENT ORGANISATION							
5a	RISK: Failure to develop our use of technology to enable us to be efficient and cost effective in everything we do.	2	3	INHERENT RISK SCORE 6	1	3	CURRENT RISK SCORE 3
	MITIGATION: Strategic ICT resource from SCC now part of Senior Leadership Team / Consolidating mobile and telephone technology to enable staff to work more flexibly - almost all staff to have laptops/ Experimenting with different technology / Continuing to integrate applications to allow systems and procedures to be consolidated to make joint teams more efficient and resilient e.g. single Open Housing system / Alignment of IT strategy with SCC to make investment under 4 key themes of the cloud, mobile working, big data and social and collaboration tools / ICT being managed by single team at County - enables better provision and service RESPONSIBLE OFFICER: ICT Strategic Lead				Mitigation RAG Status 	Direction of travel (score) 	




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5b	RISK: Failure to convert our data into accurate, up to date and easy to interrogate insights, evidence and intelligence that supports delivery of the strategic priorities and failure to adequately protect the data that we hold	3	3	INHERENT RISK SCORE 9	2	3	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 have been held to support and encourage Officers and Members to base decision making on robust evidence and intelligence / Scanning exercise to enable 'paperless system' by September 17				Mitigation RAG Status 		Direction of travel (score)
RESPONSIBLE OFFICER: Temporary Assistant Director - Law and Governance and Monitoring Officer							
5c	RISK: Failure to develop clear governance arrangements that enable the right decisions to be taken that are appropriate for the environment that we are operating in	3	3	INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
	MITIGATION: Officer's working group formed to address: Governance processes, including good legal decision making and good financial decision making with an associated risk framework / Establish business planning processes, expenditure approval processes including investment proposals, business cases, option appraisals / Contract Procedure rules / Financial Procedure rules / Scheme of Management Delegation / Review of the Constitution / Awareness training for Extended Leadership Team including fiduciary duties and ultra vires/ Strengthening Governance initiatives continues to gather momentum across Member and Officer base. E.g. Workshops being set up with SLT and Joint Leaders Group (Task and Finish Group) looking at what they think good governance looks like; Report 'sign off' arrangements by Legal, Finance and Internal Audit (Risk) have been put in place to ensure that due diligence has been applied				Mitigation RAG Status 		Direction of travel (score)
RESPONSIBLE OFFICER: Temporary Assistant Director - Law and Governance and Monitoring Officer							
5d	RISK: Failure to build the capability across the organisation to commission effectively for outcomes resulting in inefficient and ineffective use of resources	3	3	INHERENT RISK SCORE 9	2	3	CURRENT RISK SCORE 6
	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 scheduled for 17/18/ 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				Mitigation RAG Status 		Direction of travel (score)
RESPONSIBLE OFFICER: Assistant Director - Corporate Resources							

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5e	RISK: Staff within the organisation not having the right capacity and capability to deliver the strategic priorities of the councils and to work within the wider local government system	2	3	INHERENT RISK SCORE 6	2	3	CURRENT RISK SCORE 6
	MITIGATION: Focused management review resulting in a new Extended Leadership Team (ELT) focused on outcomes / leadership development within ELT-Leadership in Mind sessions held / new performance conversations and performance management framework / design of organisational development plan / cultural and effectiveness survey undertaken, results currently being fed back / create workforce development plan RESPONSIBLE OFFICER: Assistant Director - Corporate Resources				Mitigation RAG Status 	Direction of travel (score) 	
5f	RISK: Failure of the Councils to become financially sustainable in response to funding changes	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 17/18 and updated projections up to 20/21 / 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) RESPONSIBLE OFFICER: Assistant Director - Corporate Resources				Mitigation RAG Status 	Direction of travel (score) 	
5g	RISK: Failure to implement more efficient and effective public access arrangements	2	3	INHERENT RISK SCORE 6	1	3	CURRENT RISK SCORE 3
	MITIGATION: Public Access Strategy agreed in principle by both Councils/ Maximising use of digital technology- call centre system being updated / Self-service capabilities supplemented with supported assistance / Understand customer base / Introduction of customer relationship officers at new customer access points / Involvement of customers in design-website consultation now finished, feedback being used to make enhancements. <i>Further details of this risk can be found through the Programme Board where there is a further project specific risk register.</i> RESPONSIBLE OFFICER: Assistant Director - Communities and Public Access				Mitigation RAG Status 	Direction of travel (score) 	

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5h	RISK: Systems and IT infrastructure are continually under threat from cyber attacks by external parties	3	4	INHERENT RISK SCORE 12	2	3	CURRENT RISK SCORE 6
	<p>MITIGATION: The Councils' continually monitor threats to its systems both internally and externally by way of an Intrusion Protection System (IPS) / All PC's, Laptops and servers are protected with antivirus software / Email is scanned externally and internally / Firewalls are used to prevent unauthorised access to services and protect data / Extensive internal and external penetration tests are performed by a third party security consultancy provider / Servers and desktop equipment are regularly patched with security updates / New systems are tested for security flaws prior to being put live / Web proxy are in place to protect against access to malicious websites / Mobile Device Management software is deployed to protect information on mobile devices / An Information Governance Board has been set up and has responsibilities that include ensuring policies, procedures and guidelines are in place designed to support appropriate information handling and management / Continue to raise awareness with staff of Information Management Security</p> <p>RESPONSIBLE OFFICER: Corporate Manager - Information Management and ICT</p>				<p>Mitigation RAG Status</p>		<p>Direction of travel (score)</p>