

DRAFT BABERGH AND MID SUFFOLK SIGNIFICANT RISK REGISTER - SEPTEMBER 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	<b>RISK:</b> 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	<b>INHERENT RISK SCORE</b> 6	2	2	<b>CURRENT RISK SCORE</b> 4
	<b>MITIGATION:</b> 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  <b>RESPONSIBLE OFFICER:</b> Assistant Director - Planning for Growth				<b>Mitigation RAG Status</b> 	<b>Direction of travel (score)</b> 	
1b	<b>RISK:</b> 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	<b>INHERENT RISK SCORE</b> 9	3	3	<b>CURRENT RISK SCORE</b> 9
	<b>MITIGATION:</b> Current local plans in place, call for sites undertaken. New Joint Local Plan with comprehensive site allocations, currently out to consultation. Piloting new approach to unblocking 'stalled sites' (as endorsed by Executive and Strategy Committees in March 2017)  <b>RESPONSIBLE OFFICER:</b> Assistant Director - Planning for Growth				<b>Mitigation RAG Status</b> 	<b>Direction of travel (score)</b> 	
1c	<b>RISK:</b> 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	<b>INHERENT RISK SCORE</b> 9	2	3	<b>CURRENT RISK SCORE</b> 6
	<b>MITIGATION:</b> 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.  <b>RESPONSIBLE OFFICER:</b> Assistant Director - Planning for Growth				<b>Mitigation RAG Status</b> 	<b>Direction of travel (score)</b> 	




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

1d	<b>RISK:</b> If we do not secure investment in infrastructure (schools, health, broadband, transport etc.), then development is stifled and/or unsustainable	3	3	<b>INHERENT RISK SCORE</b> 9	2	3	<b>CURRENT RISK SCORE</b> 6
	<b>MITIGATION:</b> 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, draft created an awaiting endorsement from Cabinet in October				<b>Mitigation RAG Status</b> 	<b>Direction of travel (score)</b> 	
<b>RESPONSIBLE OFFICER:</b> Assistant Director - Planning for Growth							
1e	<b>RISK:</b> 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	<b>INHERENT RISK SCORE</b> 9	2	3	<b>CURRENT RISK SCORE</b> 6
	<b>MITIGATION:</b> Suffolk Older Persons Housing Strategy, Health and Housing Charter, Creating Housing Strategy, Creating Joint Local Plan, Housing strand being developed for Suffolk Growth programme board				<b>Mitigation RAG Status</b> 	<b>Direction of travel (score)</b> 	
<b>RESPONSIBLE OFFICER:</b> Assistant Director - Planning for Growth							
<b>2 - BUSINESS GROWTH AND INCREASED PRODUCTIVITY</b>							
2a	<b>RISK:</b> 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	<b>INHERENT RISK SCORE</b> 12	2	3	<b>CURRENT RISK SCORE</b> 6
	<b>MITIGATION:</b> 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				<b>Mitigation RAG Status</b> 	<b>Direction of travel (score)</b> 	
<b>RESPONSIBLE OFFICER:</b> Assistant Director - Planning for Growth							

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

2b	<b>RISK:</b> 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	<b>INHERENT RISK SCORE</b> 16	2	4	<b>CURRENT RISK SCORE</b> 6
	<b>MITIGATION:</b> 1.) A series of member led workshops and events with key stakeholders and communities to develop 'Vision for Prosperity' for Stowmarket and Sudbury 2.) Formulation of a delivery programme and action to deliver 'VfP' which sets out milestones, timeline 3.) Regeneration activities through investment programme, collaborations and enabling communities  RESPONSIBLE OFFICER: Assistant Director - Planning for Growth				<b>Mitigation RAG Status</b> 	<b>Direction of travel (score)</b> 	
2c	<b>RISK:</b> 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	<b>INHERENT RISK SCORE</b> 9	2	3	<b>CURRENT RISK SCORE</b> 6
	<b>MITIGATION:</b> 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 - Planning for Growth				<b>Mitigation RAG Status</b> 	<b>Direction of travel (score)</b> 	
2d	<b>RISK:</b> 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	<b>INHERENT RISK SCORE</b> 12	3	3	<b>CURRENT RISK SCORE</b> 9
	<b>MITIGATION:</b> 1.) The development of our Joint Local Plan 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 4.) Our Open for Business business engagement approach including with investors, developers and businesses (existing and new) facilitating retention and growth within the district.  RESPONSIBLE OFFICER: Assistant Director - Planning for Growth				<b>Mitigation RAG Status</b> 	<b>Direction of travel (score)</b> 	

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

### 3 - COMMUNITY CAPACITY BUILDING AND ENGAGEMENT




3a	<b>RISK:</b> Neighbourhood Plans - Failure to deliver Neighbourhood Plans	2	2	<b>INHERENT RISK SCORE</b> 4	2	2	<b>CURRENT RISK SCORE</b> 4
	<b>MITIGATION:</b> Undertaken 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  <b>RESPONSIBLE OFFICER:</b> Assistant Director - Planning for Growth				<b>Mitigation RAG Status</b>  	<b>Direction of travel (score)</b>  	
3b	<b>RISK:</b> If we do not effectively engage communities about their future needs, then we will not be able to help them become sustainable	3	3	<b>INHERENT RISK SCORE</b> 9	3	3	<b>CURRENT RISK SCORE</b> 9
	<b>MITIGATION:</b> 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, start work on Community Strategy  <b>RESPONSIBLE OFFICER:</b> Assistant Director - Communities and Public Access				<b>Mitigation RAG Status</b>  	<b>Direction of travel (score)</b>  	






### 4 - ASSETS AND INVESTMENTS

4a	<b>RISK:</b> 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	<b>INHERENT RISK SCORE</b> 12	2	3	<b>CURRENT RISK SCORE</b> 6
	<b>MITIGATION:</b> 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.  <b>RESPONSIBLE OFFICER:</b> Assistant Director - Investment and Commercial Delivery (lead) Assistant Director - Corporate Resources (support)				<b>Mitigation RAG Status</b>  	<b>Direction of travel (score)</b>  	

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

4b	<b>RISK:</b> 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	<b>INHERENT RISK SCORE</b> 12	2	3	<b>CURRENT RISK SCORE</b> 6
	<b>MITIGATION:</b> 1.) Adherence to the criteria set out in the Joint Affordable Homes Strategy 2.) Use of Proval viability assessment tool to establish investment 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				<b>Mitigation RAG Status</b> 	<b>Direction of travel (score)</b> 	
4c	<b>RISK:</b> 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	<b>INHERENT RISK SCORE</b> 12	3	2	<b>CURRENT RISK SCORE</b> 6
	<b>MITIGATION:</b> 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 Director - Corporate Resources				<b>Mitigation RAG Status</b> 	<b>Direction of travel (score)</b> 	
4d	<b>RISK:</b> 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	4	4	<b>INHERENT RISK SCORE</b> 16	2	4	<b>CURRENT RISK SCORE</b> 8
	<b>MITIGATION:</b> 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  RESPONSIBLE OFFICER: Assistant Director - Housing				<b>Mitigation RAG Status</b> 	<b>Direction of travel (score)</b> NEW RISK	




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

5 - AN ENABLED AND EFFICIENT ORGANISATION							
5a	<b>RISK:</b> 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	3	3	<b>INHERENT RISK SCORE</b> 9	3	3	<b>CURRENT RISK SCORE</b> 9
	<b>MITIGATION:</b> <i>DRAFT</i> - Programme to 'upskill' staff (Workforce Strategy) / Create Digital Strategy / Invest / Talk to and learn from others  <b>RESPONSIBLE OFFICER:</b> Assistant Director - Customer Services				<b>Mitigation RAG Status</b>  		<b>Direction of travel (score)</b>  NEW RISK
5b	<b>RISK:</b> 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.	3	3	<b>INHERENT RISK SCORE</b> 9	3	2	<b>RISK SCORE</b> 6
	<b>MITIGATION:</b> 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' by September 17 / Invest in Suffolk wide resource / Workforce Strategy to challenge and ask critical questions  <b>RESPONSIBLE OFFICER:</b> Assistant Director - Customer Services				<b>Mitigation RAG Status</b>  		<b>Direction of travel (score)</b>  
5c	<b>RISK:</b> If we do not have robust governance arrangements that enable good decisions to be taken that are appropriate for the environment that we are operating in, then we will be unable to operate effectively and be at risk of potential legal challenge	3	3	<b>INHERENT RISK SCORE</b> 9	2	3	<b>CURRENT RISK SCORE</b> 6
	<b>MITIGATION:</b> 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  <b>RESPONSIBLE OFFICER:</b> Assistant Director - Law and Governance and Monitoring Officer				<b>Mitigation RAG Status</b>  		<b>Direction of travel (score)</b>  

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

5d	<b>RISK:</b> 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	3	3	<b>INHERENT RISK SCORE</b> 9	2	3	<b>CURRENT RISK SCORE</b> 6
	<b>MITIGATION:</b> 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 / workforce development Strategy  <b>RESPONSIBLE OFFICER:</b> Assistant Director - Corporate Resources				<b>Mitigation RAG Status</b>  	<b>Direction of travel (score)</b>  	
5e	<b>RISK:</b> 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	3	4	<b>INHERENT RISK SCORE</b> 12	2	4	<b>CURRENT RISK SCORE</b> 8
	<b>MITIGATION:</b> 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  <b>RESPONSIBLE OFFICER:</b> Assistant Director - Housing (lead) Assistant Director - Corporate Resources (support)				<b>Mitigation RAG Status</b>  	<b>Direction of travel (score)</b>  	

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



5f	<b>RISK:</b> 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  <b>MITIGATION:</b> 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)  <b>RESPONSIBLE OFFICER:</b> Assistant Director - Corporate Resources	<b>Mid Suffolk District Council</b>					
		3	4	INHERENT RISK SCORE 12	2	4	CURRENT RISK SCORE 8
						Mitigation RAG Status 	Direction of travel (score) 
		<b>Babergh District Council</b>					
		3	4	INHERENT RISK SCORE 12	3	4	CURRENT RISK SCORE 12
				Mitigation RAG Status 	Direction of travel (score) 		
5g	<b>RISK:</b> 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	3	3	INHERENT RISK SCORE 9	4	3	CURRENT RISK SCORE 12
	<b>MITIGATION:</b> Further details of this risk can be found through the All Together Programme Board where there is a further project specific risk register. <b>RESPONSIBLE OFFICER:</b> Assistant Director - Customer Services				Mitigation RAG Status 	Direction of travel (score) 	



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

5h	<p><b>RISK:</b> If SCC does not have a disaster recovery site for all systems hosted in Endeavour House and The Data Centre in Constantine House car park, then this could lead to the risks of integrity and availability of council information and services.</p>	3	4	<b>INHERENT RISK SCORE</b> 12	2	4	<b>CURRENT RISK SCORE</b> 8
	<p><b>MITIGATION:</b> Offsite backups / a contract with a 3rd party to recover some of our key IT systems /ongoing work to host more of our solutions in the cloud.</p> <p><b>RESPONSIBLE OFFICER:</b> Assistant Director - Customer Services</p>				<b>Mitigation RAG Status</b> 	<b>Direction of travel (score)</b> NEW RISK	
5i	<p><b>RISK:</b> 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>	4	3	<b>INHERENT RISK SCORE</b> 12	3	3	<b>CURRENT RISK SCORE</b> 9
	<p><b>MITIGATION:</b> Strong, clear, embedded values / Strong leadership / Strong governance, systems and processes / Effective communication engagement / Pro actively engage through social media, Train and support staff and Members in pro active comms and dealing with media / Timely and proportionate consultation in an accessible format / Parish Council liaison</p> <p><b>RESPONSIBLE OFFICER:</b> Chief Executive</p>				<b>Mitigation RAG Status</b> 	<b>Direction of travel (score)</b> NEW RISK	

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

5j	<b>RISK:</b> If we fail to protect the safety, health and welfare 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	4	4	<b>INHERENT RISK SCORE</b> 16	4	4	<b>CURRENT RISK SCORE</b> 16
	<b>MITIGATION:</b> Health and Safety regularly featured on SLT Agenda / Specific H&S orientated Extended Leadership Team sessions to promote a positive H&S culture / H&S budget for 17/18 in place to ensure adequacy of resources, including training / H&S Board and H&S Working Group for regular H&S communication and consultation / Development of H&S Action Plan to assist with allocation of resources and prioritisation of activities across the Councils / Training matrices under development / June 2017 Agency appointment of H&S Officer to assist H&S Business Partner with H&S support across service areas / August 2017 appointment of H&S Officer (Construction) in Property Services also assisting with 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 accredited HAVS training delivery / Building of internal relationships with Finance, Insurance, Internal Audit and Shared Legal Services for the effective management of H&S for the Councils' interests.  <b>RESPONSIBLE OFFICER:</b> Chief Executive				<b>Mitigation RAG Status</b> 	<b>Direction of travel (score)</b>  NEW RISK	
5k	<b>RISK:</b> If the Universal Credit system is not used effectively by claimants, then the Councils will incur additional costs and lost revenue	4	3	<b>INHERENT RISK SCORE</b> 12	3	3	<b>CURRENT RISK SCORE</b> 9
	<b>MITIGATION:</b> 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  <b>RESPONSIBLE OFFICER:</b> Assistant Director - Housing				<b>Mitigation RAG Status</b> 	<b>Direction of travel (score)</b>  NEW RISK	