

Report to	<b>Governance Committee</b>
Date	<b>18 September 2014</b>
By	<b>Governance and Support Services Manager</b>
Title of Report	<b>Corporate Risk Register</b>
Purpose of Report	<b>To present a revised corporate risk register as at September 2014</b>

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**Recommendation: The Governance Committee is recommended to:**

- 1. Consider and note the Corporate Risk Register as at September 2014**
  - 2. Consider if any risks should be referred to the Policy and Programme Committee**
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**1. Introduction**

- 1.1 To present the South Downs National Park Authority (SDNPA) Corporate Risk Register as at September 2014.

**2. Background**

- 2.1 The Governance Committee has terms of reference which include "... to ensure the robustness of risk management and performance management arrangements; and to agree the internal audit plan and annual report and receive progress and other relevant internal audit reports."
- 2.2 The Corporate Risk Register is to be reported to each meeting of the Governance Committee.

**3. The Corporate Risk Register**

- 3.1 **Appendix 1** shows the risks in a graphical way which allows Members to see, at a glance, the likelihood and impact of risks, how they have moved, and which are new.
- 3.2 The latest risk register (as at September 2014) is attached at **Appendix 2**. Only high and significant risks are included in the register for the Governance Committee. In some cases the risks have changed or no longer exist. When this happens it will be explained in the report and they will not appear on future reports.

**4. Changes since June 2014**

- 4.1 The risk register for September 2014 has no high risks and seven significant risks. There are no new risks.

**5. Conclusion**

- 5.1 Members are asked to consider if there are any risks which should be referred to the Policy and Committee as they have significant resource implications.
- 5.2 The Governance Committee will receive a further update of the risk register at its meeting on 18 September 2014.

**6. Resources**

- 6.1 There are no additional resource requirements arising from this report.

**7. Risk management**

7.1 The report outlines the current major risks facing the Authority and how they will be mitigated.

**8. Human Rights, Equalities, Health and Safety**

8.1 There are no implications arising from this report.

**9. Sustainability**

9.1 Active management of risk contributes to the principle in the SDNPA sustainability strategy of promoting good governance. There are no other negative impacts.

**10. External Consultees**

10.1 None.

**ROBIN PARR**

**Governance and Support Services Manager**

Contact Officer: Robin Parr, Governance and Support Services Manager

Tel: 01730 819207

email: [robin.parr@southdowns.gov.uk](mailto:robin.parr@southdowns.gov.uk)

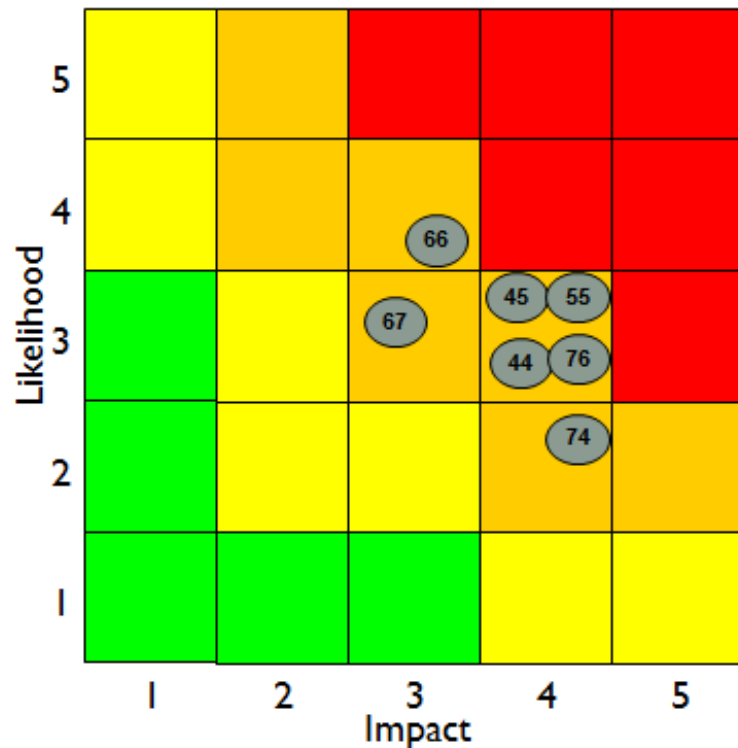
Appendices: 1 - Risk Graphic

2 - Corporate Risk Register

SDNPA Consultees: Chief Executive Officer, Director of Corporate Services, Head of Planning, Director of Strategy and Partnerships,.

Background Documents: [Report to Standards and Audit Committee December 2013](#)

Corporate Risk Graphic – September 2014



 Diamond represents new risks.  
 Circles represent static risks.  
 Arrows represent direction of travel  
 Movement from previous month's position.

Likelihood	Definition
1	Almost impossible: difficult to see how it could occur
2	Unlikely: do not expect occurrence but it is possible
3	Possible: may occur occasionally
4	Likely: will occur but is not an every day occurrence
5	Almost certain: high probability of situation occurring

Risk No.	Dir.	Description
44	PLG	Failure to produce Local Plan within timeframe
45	PLG	Lack of capacity to manage Development Management function
55	CE	Failure to match workloads to resources across the organisation
66	S&P	Objectives in NPMP not delivered due to lack of commitment by partners
67	S&P	Failure to roll out shared brand and identity
74	PLG	Failure of new 101 agreements to be implemented effectively across the Park
76	CS	Untested governance structure fails to deliver anticipated benefits

Impact	Definition
1	Insignificant: impact on parts of the organisation
2	Minor: parts of organisation may be required to change plans
3	Moderate: organisation and/or budget affected
4	Major: change in organisation's direction/strategy required and/or significant financial impact
5	Catastrophic: organisation's core purposes are under threat and/or severe financial impact

## Agenda Item 14 Report GOV24/14 Appendix 2

### Risk Register

Period: January 2014

#### Corporate Risk Register

Risk	Finish Date	Probability	Impact	RAG	Original Date	Owner	Description of Impact of Risk	Mitigations
Risk 044 - Failure to produce Local Plan within reasonable timeframe		3	4	Amber	01-03-2012	tim.richings	Makes the National Park vulnerable to appeals of planning decisions The Government has introduced guidance which introduces a presumption in favour of sustainable development which will affect SDNPA decisions	Recruited extra capacity to deliver planning policy (2 LDF fixed terms contract) Establish clear milestones for LDF and effective programme management Link with management plan work, particularly the evidence base Clarity of spend on the information required for the evidence base to support the Local Plan Week by week analysis of progress against revised project plan Subject to budget new post to be secured
Risk 045 - Lack of capacity to manage Development Management function effectively.		3	4	Amber	01-03-2012	pat.aird	Unwanted developments not enforced against Lack of consistency Delayed decision making Unwanted developments not enforced against	Temporary staff resources recruited have investigated backlog log enforcement cases and whilst some cases have been closed others have progressed to the next stage of action New structure in place with greater use of Link Officers New enforcement post recruited now dealing with advanced stages of enforcement cases All vacant DM posts looking to be filled shortly with a different strategy encompassing 'grow ones own'
Risk 055 - Failure to match workloads and resources across the organisation		3	4	Amber	01-03-2012	trevor.beattie	Management Plan suffers and SDNPA lacks capacity to support other work such as advising on major projects Potential knock on effect on LDF preparation with emerging issues not being incorporated Increasing demands / expectations on Ops team leads to failure to deliver on the wide range of NPA priorities Resources not available to deliver on all priorities, particularly since a number vacancies currently exist	Good communication and cross-departmental co-operative working Effective work prioritisation process Rebalancing resources and priorities monitored through the Corporate Plan, Joint LDF, NPMP Development of Heads of Team to co-ordinate and manage priorities Restructure has increased capacity in major risk areas
Risk 066 - The objectives and activities in the NPMP are not delivered due to a lack of commitment to delivery by all partners		4	3	Amber	01-12-2012	andrew.lee	SDNPA seen as ineffectively Actions in Management Plan will not be delivered SDNPA not seen to be adding value SDNPA unable to deliver the Purposes and Duty effectively	Close engagement with partners Revised consultation process following initial feedback Policy Workshops agreed and going ahead Meetings with key Local Authorities to build support for the NPMP Use of Aspireview system to encourage partners to actively participate in reporting on NPMP delivery Review and refreshment of South Downs Partnership to focus on delivery of PMP projects
Risk 067 - Failure to roll out shared brand and identity		3	3	Amber	03-12-2012	ruth.james	Profile of the National Park remains low Delivery against expectations not always delivered Lack of adoption of brand No platform to manage behaviour change campaigns	Project management tools being put in place Managed calendar of events Publications and media work supported by project programmes Communications and engagement steering group is overseeing programmes Ongoing use of SDNP/A logos and current branding guidelines for all work within the National Park with partners whilst work is ongoing
Risk 074 - Failure of new 101 agreements to be implemented effectively across the Park		2	4	Amber	18-11-2013	mike.bleakley	Poor or inconsistent service Poor decision making Poor customer experience	Strong contract management for section 101 agreements Rollover of existing arrangements if required for 6 months
Risk 076 - Untested governance structure fails to deliver anticipated benefits		3	4	Amber	18-11-2013	margaret.paren	Failure to maintain streamlined decision making Policy decisions not taken openly and transparently or collectively by Members Delayed decision making Damage to the reputation on the organisation Member time and commitment not used effectively	Review of the structure to be carried out within a year of implementation to test effectiveness Ensure each committee has clear terms of reference and that roles and responsibilities are clearly understood
Risk 064 - Potential shift and/or reduction in resources for 2014/15 as a result of the next Comprehensive Spending Review (CSR)	20/01/2013	4	4	Closed	01-10-2012	trevor.beattie	Lack of certainty on grant allocation Potential drop in ability to deliver some or all functions Potential lack of ability to deliver to the same level Impact of the changes on Partners affect overall resources levels available to support the SDNP	Robust budget and priority setting process which includes scenario planning for different income levels Streamlining systems as much as possible to make efficiency savings where possible Developing approach to generating income from external sources Evidence presented as part of the national Valuing National Parks exercise Potential changes after the review of the EPAPA peer review process