

|                   |   |
|-------------------|---|
| Report to         | <b>Governance Committee</b>                                   |
| Date              | <b>24 February 2015</b>                                       |
| Title of report   | <b>Review of approach to risk and Corporate Risk Register</b> |
| Report Author     | <b>Governance and Support Services Manager</b>                |
| Purpose of Report | <b>Update on Risk Management</b>                              |

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

1. Endorse the updated Risk Guidance Document, including new risk register template, and the risk appetite Statement (**Appendix 1**)
  2. Note the updated Corporate Risk Register (**Appendix 2**)
  3. Consider whether to refer any risks to the Policy & Programme Committee as having significant resource implications.
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**1 Introduction**

- 1.1 The paper seeks endorsement of the updated risk guidance, and updated risk register template, sets out a risk appetite statement for the Authority and updates the Corporate Risk Register

**2 Risk Appetite**

- 2.1 The Authority's risk appetite is a statement of the level of risk it is willing to accept across the range of its activities. It enables the organisation to better communicate around issues of risk and assists Members and SMT in their decision making roles, both formally and informally. When reviewing risk registers senior managers will be able to better assess if additional mitigations and actions are required to address risks. Equally, where the Authority is willing to accept a higher level of risk, opportunities are not missed due to an overly cautious approach.
- 2.2 At the December 2014 all staff event an exercise was undertaken with the objective of developing an understanding of the organisation's current perception of risk.
- 2.3 In summary the exercise showed that:
  - People perceived the organisation was cautious or averse to reputation risks and financial risk, but felt we should be more open to taking risks
  - In terms of service delivery risk a small majority felt the organisation was open to risk, although there was still a relatively high score in the cautious/averse category. However the exercise showed that the vast majority felt we should be open or hungry for risk in this area. For service delivery risks the perceived direction of travel was to be more open to risk, however the exercise showed that our current approach was broadly where we wanted to be.
  - For both finance and reputation risk the perceived direction of travel indicated that the organisation was moving in a direction of being less willing to take risks, although the "desired" direction of travel was that we should be more willing to take risks.
- 2.4 A risk appetite statement, informed by this exercise is included below:  
The SDNPA appetite for risk is set out below and is "scored" using the following criteria:
  - **Averse** Avoidance of risk and uncertainty is a key organization objective.

- **Minimal** Preference for ultra-safe options that are low risk and only have a potential for limited reward.
- **Cautious** Preference for safe options that have a low degree of risk and may only have limited potential for reward.
- **Open** Willing to consider all potential options and choose the one most likely to result in successful delivery, while also providing an acceptable level of reward and value for money.
- **Hungry** Eager to be innovative and to choose options offering potentially higher business rewards, despite greater inherent risk.

| Risk Category /appetite   | Averse | Minimal | Cautious | Open | Hungry |
|---|--------|---------|----------|------|--------|
| Service Delivery (how we deliver our services)                      |        |         |          | X    |        |
| Economic/Financial (how we manage and allocate our resources)       |        |         |          | X    |        |
| Reputation (how we are seen by customers, partners and the public ) |        |         |          | X    |        |
| Health and Safety (of our staff and customers)                      |        |         | X        |      |        |

The Authority seeks to operate within a relatively high overall risk range. The Authority's lowest risk appetite relates to safety including employee health and safety, with a higher risk appetite towards those activities directly connected with the Authority's Purposes and Duty. This means that the Authority accepts that risk is ever present and whilst it will always take steps to ensure risk is mitigated, as far as is possible, it is willing to accept risk as part of its day to day business and will consider all options that are likely to deliver the required outcomes.

### 3 Risk Template

- 3.1 A new risk template has been developed to incorporate inherent and residual risks and ensure mitigations and actions can be identified at the appropriate stage of the risk process.
- 3.2 Work will need to be undertaken by Directorate management teams to update their current risks registers and complete the new template.

### 4 Risk Guidance

- 4.1 Updated risk guidance is attached at **Appendix I**. This new guidance includes the risk appetite statement
- 4.2 The guidance also introduces the notion of inherent and residual risk as a device to help the Authority better manage its identified risks and includes these in the new risk template.
- 4.3 By using this approach Heads of Team and SMT can better review the directorate and Corporate Risk registers to identify any risks that require escalation or relegation between the registers.

### 5 Corporate Risk Register

- 5.1 The risk register for February 2015 has no high risks and 8 significant risks. There are also 4 risks that are categorised with a lower risk scoring (**Appendix 3**). These are included as two of the risks are owned by SMT and the others are new risks which are currently being monitored.
- 5.2 Additional risks have been included as a result of the MTFs process and on-going CIL work. Risks in relation to the shared identify and governance review have been removed from the

Corporate risk register and placed on the appropriate Directorate risk register.

## **6 Conclusion**

- 6.1 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.
- 6.2 The Governance Committee will receive a further update of the risk register at its next meeting.

## **7 Resources**

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

## **8 Risk management**

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

## **9 Human Rights, Equalities, Health and Safety**

- 9.1 There are no implications arising from this report.

## **10 Sustainability**

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

## **11 External Consultees**

- 11.1 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 Guidance 2015-18  
2- Risk Graphic  
3 - 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](#)

**Agenda Item 14 Report GOV8/15 Appendix I**



**South Downs National Park Authority**

**Risk Guidance 2015-2018**

**Version 0.1**

**Review Date**

**Responsibility**

Governance and Support Services Manager

**Last updated**

**Date approved**

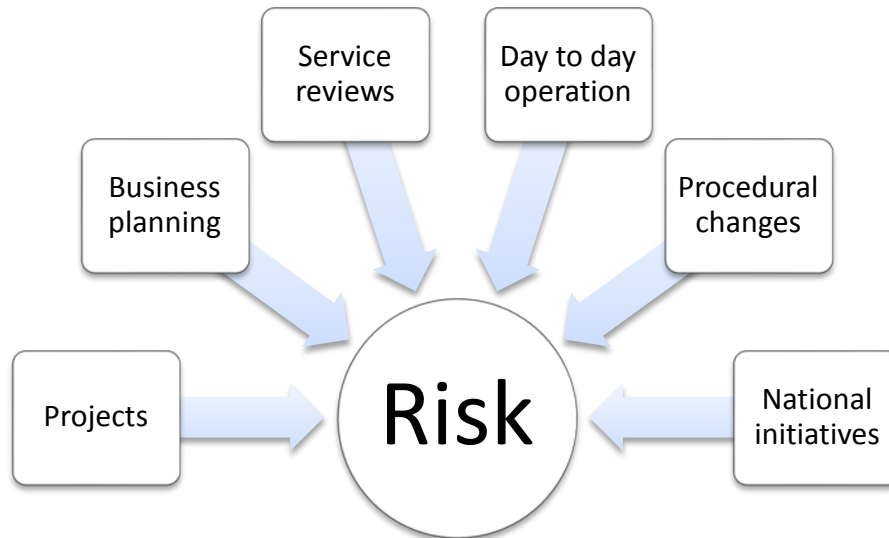
**Approved by**

SMT

## I. Introduction & Purpose

Risk is an uncertain event or condition that, if it occurs, has an effect on at least one objective/outcome.

Risk can come from any number of sources such including:



Risk management is the culture, processes & structure which come together to optimise the management of potential opportunities and adverse effects (this is done by “the assessment of the probability of an event and its consequences”) and includes:

|  |   |   |
|--|---|---|
| <p><b>Foster a culture</b> for risk management recognizing that effective managers make key decisions about risk and opportunities as an integral part of what they do on a daily basis;</p> | <p><b>Integrate</b> risk management into existing processes as far as possible and not undervalue existing arrangements for dealing with risks;</p> | <p>Set a “<b>risk appetite</b>” – the level of risk the Authority is prepared to accept to inform planning, decision making and operations;</p> |
| <p>Make clear how to <b>escalate risks</b> if the “risk appetite” is exceeded, or has the potential to be exceeded;</p>  | <p>Manage risks at the <b>lowest level</b> at which the manager has the authority, responsibility and resources to take actions;</p>                | <p>Encourage <b>open and honest reporting</b> of risks and progress to manage risks;</p>  |
| <p>Ensure a <b>consistent</b> approach;</p>  | <p>Agree clear <b>roles and responsibilities</b> relating to the accountability, management , escalation and communication of key risks; and</p>    | <p><b>Improve</b> the effectiveness of the risk management arrangements and learn from experience.</p>  |

The purpose of this guidance is to support staff in identifying, categorising mitigating and recording risk. It is not exhaustive and should be used as a starting point for risk management.

Further advice can be sought from the Governance and Support Services Manager if required.

## 2. Risk Categories Checklist

Set out below are examples of types of risks that should be considered when identifying risks. These will not all apply to all situations, but you should consider if they apply to the issue being assessed. Any risks identified from the table below should be logged and the impact matrix (section 3, below) should be used to assess the potential impact of the risk.

As there may well be other examples under each category, these are intended as a prompt only

|  |
|--|
| <u>Professional/Managerial/Partnerships</u>  |
| <ul style="list-style-type: none"> <li>• Recruitment/Retention of qualified staff</li> <li>• Investing in Training</li> <li>• Skill mix</li> <li>• Over reliance on key officers</li> <li>• Ability to implement change</li> <li>• Management of partnership working</li> </ul>  |
| <u>Economic/Financial</u>  |
| <ul style="list-style-type: none"> <li>• Impact of national economic position</li> <li>• Failure of major project(s)</li> <li>• Missed business and service opportunities</li> <li>• Failure to prioritize, allocate appropriate budgets and monitor</li> <li>• Inefficient/ineffective processing of documents</li> </ul> |
| <u>Social</u>  |
| <ul style="list-style-type: none"> <li>• Meeting the needs of disadvantaged communities</li> <li>• Tracking the changes in population base</li> <li>• Employment opportunities</li> <li>• Regeneration</li> <li>• Partnership working</li> <li>• Life-long learning</li> </ul>   |
| <u>Technological</u>   |
| <ul style="list-style-type: none"> <li>• Functionality and reliability of IT systems - impact on service delivery</li> <li>• Data Security issues/Information Governance</li> <li>• Inability to implement change</li> <li>• Obsolescence of technology</li> <li>• Technology strategy</li> </ul>                          |

Legislative

- Meeting statutory duties/deadlines
- Breach of confidentiality/Data Protection Acts requirements/Information governance
- European Directives on Procurement of Services
- Implementation of legislative change

Contractual/Competitive

- Over reliance on key suppliers/contractors
- Ineffective contract management
- Contractor failure
- Lack of existing markets

Equalities

- Workforce Composition – across all persons who provide a service on behalf of the council and in its partnership work
- Appropriate recognition of the diversity of Service Users/Customers, e.g. age, ethnicity, gender, disability, religion
- Ensuring consistent minimum standards to meet legislative duties (incl. training, sharing policies & best practice)
- Altering working practices as necessary to meet diverse needs and ensure no discrimination
- Ability to demonstrate equalities in action (incl. methods to monitor, evaluate and review)

Political

- Impact of Strategic Priorities on business activities
- Clarity & cohesion in decision making
- Impact of Central Government policy on local policy/local initiatives

Environmental/Sustainability

- Sustainability/Climate Change
- Waste Disposal/Recycling Strategies
- Crime & Disorder Act implications
- Impact on quality of life in the Park
- Impact on transport network and other transport issues

Customer/Citizen

- Appropriate consultation
- Quality of customer care
- Access to services
- Views of Service Users
- Political support, e.g. Members

Fraud & Corruption

- Appropriate segregation of duties
- Security of Data
- Hospitality/Gifts Policy, Record Keeping and Monitoring
- Trends of working (e.g. unusual lone or late working) or sickness absence (potentially fraudulent)
- Verification/Validation checks e.g. before staff/contractor appointments, cash transactions

### 3. Impact Matrix

Once a risk has been identified it is necessary to assess the likely impact of that risk, This can be done using this matrix. Each individual risk should be assessed on its own merits and the score noted, as this will form a key part of allocating a total risk score to each item.

| Risk Score | Impact Descriptor | Impact Risk Scoring Guidance  |
|------------|-------------------|---|
| 1          | Insignificant     | <p><b>Health</b><br/>minor injury, basic first aid required, 1 person affected, no days absence, no delay</p> <p><b>Impact on community life</b><br/>insignificant disruption to community services, including transport services and infrastructure</p> <p><b>Service Delivery</b><br/>no service disruption, unlikely to cause complaint or instigate litigation</p> <p><b>Economic</b><br/>none/minimal financial burden (less than £100, can be resolved at local service / department level), minor interruption to income generation, no permanent loss</p> <p><b>Environment</b><br/>insignificant impact on environment</p> <p><b>Reputation</b><br/>organisation(s) reputation remains intact</p>  |
| 2          | Minor             | <p><b>Health</b><br/>non-permanent harm, short-term injury, resulting in absence of up to 3 days. 1 – 2 persons affected</p> <p><b>Impact on community life</b><br/>minor localised disruption to community services or infrastructure less than 24 hours</p> <p><b>Service Delivery</b><br/>minor service disruption, complaint possible, litigation unlikely</p> <p><b>Economic</b><br/>minimal financial burden or disruption to income generation (less than £1,000 but greater than £100). Can be resolved at line manager/ service manager level through usual budgetary measures</p> <p><b>Environment</b><br/>minor impact on environment with no lasting effects</p> <p><b>Reputation</b><br/>minimal impact on organisation(s) reputation</p> |
| 3          | Moderate          | <p><b>Health</b><br/>causing semi-permanent disability, injury, disease or harm which could interrupt attendance at work for 3-28 days AND/OR affects 3 - 50 people</p>   |



|   |              |  |
|---|--------------|--|
|   |              | <p><b>Impact on community life</b><br/>damage that is confined to a specific location, or to a number of locations, but requires additional resources. Localised disruption to infrastructure and community services</p> <p><b>Service Delivery</b><br/>moderate service disruption. High potential for complaints, litigation possible, but not certain</p> <p><b>Economic</b><br/>moderate financial burden (less than £10,000 but greater than £1,000). Interruption to income generation lasting less than 14 days, majority of income recoverable but at additional cost</p> <p><b>Environment</b><br/>limited impact on environment with short-term or long term effects</p> <p><b>Reputation</b><br/>moderate impact on organisation(s) reputation</p>  |
| 4 | Major        | <p><b>Health</b><br/>causing death, permanent disability, serious injury or harm, e.g. loss of function or body part(s), serious disability, single death of any person. 51-200 people affected. Long term absence from work (28-84 days), extended medical attention required, e.g. up to a month in hospital</p> <p><b>Impact on community life</b><br/>significant damage that impacts on and possible breakdown of some local community services. Requires support for local responders with external resources</p> <p><b>Service Delivery</b><br/>service closure for 1-7 days, complaints expected, litigation expected</p> <p><b>Economic</b><br/>major financial burden (less than £100,000 but greater than £10,000). Can include significant extra clean up and recovery costs.</p> <p><b>Environment</b><br/>significant impact on environment with medium to long term effects</p> <p><b>Reputation</b><br/>major impact on organisation (s) reputation / National adverse publicity</p> |
| 5 | Catastrophic | <p><b>Health</b><br/>multiple deaths involving any persons, greater than 200 people affected, more than 84 days absence, more than 30 days extended hospital stay</p> <p><b>Impact on community life</b><br/>extensive damage to properties and built environment in affected areas. General &amp; widespread displacement of more than 500 people for prolonged duration. Community unable to function without significant support</p> <p><b>Service Delivery</b><br/>service closure for more than 7 days or closure of multiple services, complaints certain, litigation certain</p> <p><b>Economic</b><br/>catastrophic financial burden (greater than £100,000). Extensive clean up and recovery costs</p> <p><b>Environment</b><br/>serious long-term impact on environment and/or permanent change</p> <p><b>Reputation</b><br/>catastrophic impact on organisation(s) reputation. International adverse publicity</p>  |

#### 4. Likelihood

The likelihood of a risk occurring can be assessed using the table below. Each individual risk should be assessed on its own merits and the score noted, as this will form a key part of allocating a total risk score to each item.

| Description    | Likelihood of Occurrence                                 |
|----------------|--|
| Almost Certain | The event is expected to occur in most circumstances.    |
| Likely         | There is a strong possibility the event will occur.      |
| Possible       | The event might occur at some time                       |
| Unlikely       | Not expected, but slight possibility                     |
| Rare           | Highly unlikely. It could happen but probably never will |

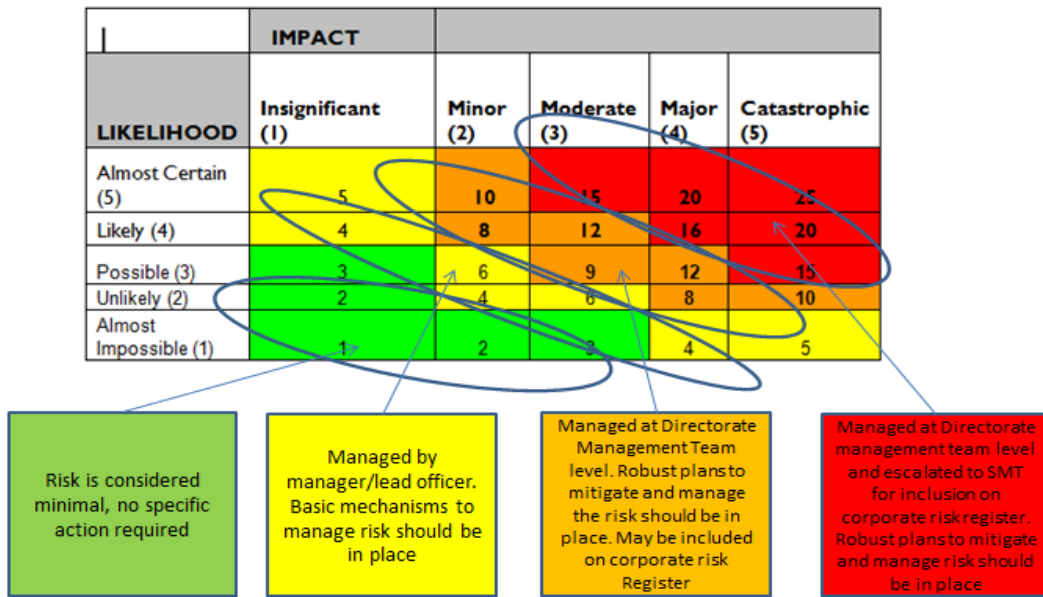
#### 5. Risk Assessment

For Risk Assessment, it is necessary to show how the Risk Rating (Likelihood x Impact scores) was reached. This risk matrix should be used:

|                       | IMPACT            |           |              |           |                  |
|-----------------------|-------------------|-----------|--------------|-----------|------------------|
|                       | Insignificant (1) | Minor (2) | Moderate (3) | Major (4) | Catastrophic (5) |
| LIKELIHOOD            |                   |           |              |           |                  |
| Almost Certain (5)    | 5                 | 10        | 15           | 20        | 25               |
| Likely (4)            | 4                 | 8         | 12           | 16        | 20               |
| Possible (3)          | 3                 | 6         | 9            | 12        | 15               |
| Unlikely (2)          | 2                 | 4         | 6            | 8         | 10               |
| Almost Impossible (1) | 1                 | 2         | 3            | 4         | 5                |

Once the inherent risk has been scored in terms of likelihood and impact, it can be allocated priority for action to control/mitigate the risk. Mitigations should be put in place to impact either the severity or likelihood (or both) of the risk. Mitigations could include a change in the allocation of resources, communications, changes to processes or procedure etc. It is up to you to identify and put in place relevant mitigations to bring the risk level down to an acceptable level.

Residual Risk (i.e that risk that remains after mitigations have been put in place) should be managed in line with the table below:



It will not always be possible to reduce the Risk Score to a lower risk rating, e.g. from a high score to low. This does not necessarily mean that it should stop the SDNPA undertaking the activity. The SDNPA has set out its appetite for risk across the various categories below. This risk appetite will help SMT and members in their decision making.

## 6. Risk Appetite

The Authority’s risk appetite is a statement of the level of risk it is willing to accept across the range of its activities. It enables the organisation to better communicate around issues of risk and assists members and SMT in their decision making roles, both formally and informally. When reviewing risk registers senior managers will be able to better assess if additional mitigations are actions are required to address risks. Equally, where the Authority is willing to accept a higher level of risk opportunities are not missed due to an overly cautious approach.

The SDNPA appetite for risk is set out below and is “scored” using the following criteria:

- **Averse** Avoidance of risk and uncertainty is a key organization objective.
- **Minimal** Preference for ultra-safe options that are low risk and only have a potential for limited reward.
- **Cautious** Preference for safe options that have a low degree of risk and may only have limited potential for reward.
- **Open** Willing to consider all potential options and choose the one most likely to result in successful delivery, while also providing an acceptable level of reward and value for money.
- **Hungry** Eager to be innovative and to choose options offering potentially higher business rewards, despite greater inherent risk

| <i>Risk Category / appetite</i>   | <i>Averse</i> | <i>Minimal</i> | <i>Cautious</i> | <i>Open</i> | <i>Hungry</i> |
|---|---------------|----------------|-----------------|-------------|---------------|
| <b>Service Delivery ( how we deliver our services)</b>                      |               |                |                 | X           |               |
| <b>Economic/Financial ( how we manage and allocate our resources)</b>       |               |                |                 | X           |               |
| <b>Reputation ( how we are seen by customers, partners and the public )</b> |               |                |                 | X           |               |
| <b>Health and Safety (of our staff and customers)</b>                       |               |                | X               |             |               |

The Authority seeks to operate within a relatively high overall risk range. The Authority's lowest risk appetite relates to safety including employee health and safety, with a higher risk appetite towards those activities directly connected with the Authority's Purposes and Duty. This means that the Authority accepts that risk is ever present and whilst it will always take steps to ensure risk is mitigated, as far as is possible, it is willing to accept risk as part of its day to day business and will consider all options that are likely to deliver the required outcomes.

## 7. Risk Register

Risk registers should be maintained for all projects and significant pieces of work. A corporate risk register and directorate risk registers are also maintained.

Significant risks identified should be included on the risk register in line with the table above. The template for the risk register is set out below:

### TITLE OF RISK REGISTER & DATE

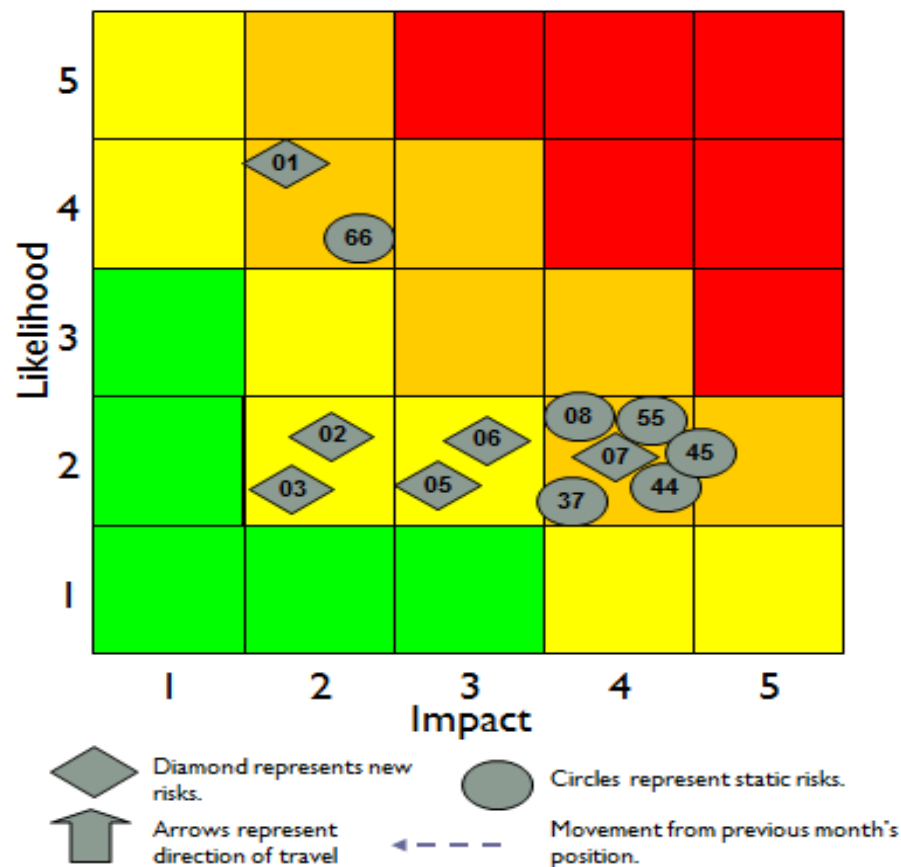
|                       | IMPACT            |           |              |           |                  |
|-----------------------|-------------------|-----------|--------------|-----------|------------------|
| LIKELIHOOD            | Insignificant (1) | Minor (2) | Moderate (3) | Major (4) | Catastrophic (5) |
| Almost Certain (5)    | 5                 | 10        | 15           | 20        | 25               |
| Likely (4)            | 4                 | 8         | 12           | 16        | 20               |
| Possible (3)          | 3                 | 6         | 9            | 12        | 15               |
| Unlikely (2)          | 2                 | 4         | 6            | 8         | 10               |
| Almost Impossible (1) | 1                 | 2         | 3            | 4         | 5                |

| SUNRA Corp services risk register |               |                  |               |        |        |               |             |        |         |         |             |
|-----------------------------------|---------------|------------------|---------------|--------|--------|---------------|-------------|--------|---------|---------|-------------|
| Details of Risk                   |               |                  | Inherent Risk |        |        | Residual risk |             |        | Actions |         |             |
| Risk Number                       | original date | Risk Description | Probability   | Impact | Rating | Mitigations   | Probability | Impact | Rating  | owner   | Status      |
|                                   |               |                  |               |        |        |               |             |        |         | Actions | Target date |

## 8. Glossary of Risk Management Terminology

- **Identification** (of risks) – Process to find and characterise risk
  
- **Mitigation of risk** – Process of selection and implementation of measures to mitigate or address risks, i.e.:
  - Transfer the risk to a third party
  - Tolerate the risk. Do nothing as the investment in controls is judged to be likely to prevent the risk occurring or the risk is assessed as being so unlikely to materialise and further investment in controls offers poor value for money
  - Treat the risk. Agree controls to put in place to manage the risk
  - Take the Opportunity. Risk manage innovation or change for positive outcomes
  - Terminate the risk. Stop the activity or function in which the risk resides.
  
- **Review and reporting (of risks)** – the process to determine the effectiveness of risk measures and the ongoing relevance of the risk
  
- **Risk** – the combination of the probability of an event and its consequences
  
- **Inherent Risk** – The risk that exists before any mitigations /control is put in place
  
- **Residual Risk** – The risk that remains after mitigations /Control is put in place
  
- **Risk Appetite** – The amount of risk that an organisation is prepared to accept, tolerate, or be exposed to at any point in time.
  
- **Risk Escalation** – Report a risk which exceed the set risk appetite to the management level above
  
- **Risk Management** – co-ordinated activities to identify, prioritise and manage risks that could affect the achievement (positively or negatively) of objectives. It is done by evaluating the probability of an event and its consequences, identifying the measures the organisation already has in place to manage identified issues (risks), prioritising the risk and then taking any further action to control these risks effectively. The adequacy of the control measures should be monitored and the control measures reviewed as necessary. Implementation of risk management strategies should result in more effective strategic planning, better utilisation of resources and better cost control.
  
- **Risk Management Principles** – set of high level principles to be uniformly observed in the implementation of risk management
  
- **Risk Management Strategy** – Single document describing the Authority's approach to year over a given period.

Corporate Risk Register – Risk Graphic



| Risk No. | Dir.     | Description   |
|----------|----------|---|
| 66/14    | S&P      | Objectives and activities of the NPMP are not delivered                                   |
| 07/15    | Planning | Unexpected planning appeals / inquiries create new unbudgeted costs for the Authority     |
| 55/14    | CE       | Budgets insufficient and failure to match resources and workloads across the organisation |
| 08/15    | Planning | Planning fee income fails to reach the level estimated                                    |
| 44/14    | S&P      | Failure to produce local plan within reasonable le timescale with quality evidence        |
| 45/14    | Planning | Lack of capacity to manage development management function                                |
| 0/15     | CE       | Defra grant is reduced above 2% for 2016/17   |
| 02/15    | SMT      | Defra grant reduced in year   |
| 03/15    | SMT      | Unforeseen budgetary requirements arise during the year                                   |
| 37/14    | CS       | Accident involving staff, volunteers, visitors or members of the public                   |
| 05/15    | S&P      | Unidentified priorities are identified as the implementation of the PMP is undertaken     |
| 06/15    | Planning | CIL is not adopted or CLIL Charges incorrect and found unsound at examination             |

| 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 |

| 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 GOV8/15 Appendix 3

SDNPA Corporate Risk Register

| Risk Number | original date | Details of Risk<br>Risk Description  | Inherent Risk |        |        | Mitigations   | Residual risk |        |        | owner            | Actions   | Target date | Status |
|-------------|---------------|--|---------------|--------|--------|---|---------------|--------|--------|------------------|---|-------------|--------|
|             |               |  | Probability   | Impact | Rating |   | Probability   | Impact | Rating |                  |   |             |        |
| 07/15       | 30/09/2014    | unexpected Planning Appeals and/ or inquiries create new , unbudgeted costs for the Authority, damage to reputation and loss of confidence in the Planning Committee, planning function and the wider authority. Financial position of authority jeopardised   | 4             | 4      | 16     | 1. Scheme of delegations to officers to manage planning business 2. Legal Services contract in place 3. Training for committee members 4. Robust processes in place to manage committee business 5. planning reserve in place 6. local plan being developed   | 2             | 4      | 8      | Dir. of Planning |   |             |        |
| 55/14       |               | Budgets insufficient and failure to match resources and workloads across the organisation; Mgt plan suffers and SDNPA lacks capacity to support other work. Potential knock on effect on LDF preparation with emerging issues not being incorporated. Increasing demands on Ops team leads to failure to deliver on the wide range of NPA priorities. resources not available to deliver on all priorities | 4             | 4      | 16     | 1. monthly budget monitoring undertaken by HoT's 2. effective work prioritisation process 3. rebalancing resources and priorities monitored through the business plan and corporate plan 5. Joint LPF and NPMP timeline produced  | 2             | 4      | 8      | Chief Executive  | Development of HoT to coordinate and manage priorities  |             |        |
| 01/15       | Jan-15        | Defra grant is reduced above 2% for 2016/17 and 2017/18 resulting in additional savings needing to be made   | 4             | 3      | 12     | the Medium Term Financial Strategy and budget is reviewed on an annual basis, close monitoring of PMP and forecasting of all budgets will assist in identifying potential savings   | 4             | 2      | 8      | Chief Exec       | ongoing budget monitoring and reporting   |             |        |
| 02/15       | Jan-15        | Defra grant for 2015/16 is reduced by Defra during the financial year resulting in overspend on 2015/16 budget. Compensating savings would need to be found  | 2             | 3      | 6      | Close monitoring and forecasting of all budgets will assist in identifying such items and compensating savings  | 2             | 2      | 4      | SMT              |   |             |        |
| 03/15       | Jan-15        | unforeseen budgetary requirements arise during the year  | 3             | 2      | 6      | Close monitoring and forecasting of all budgets will assist in identifying such items and compensating savings  | 2             | 2      | 4      | SMT              |   |             |        |
| 08/15       | 30/09/2014    | Planning fee income fails to reach the level estimated for 2014/15, thereby applying financial pressures elsewhere within the Authority  | 3             | 4      | 12     | We have a robust planning reserve to help deal with this eventuality and will also take fee income into account when developing host authority payment offers for future years. We can also consider increasing fees for pre-application advice if any shortfall needs to be made up. There is regular monitoring of the different types of fee income that we receive using monthly fee income reports from our Idox Uniform planning administration system and with significant help from our finance colleagues at Brighton and Hove City Council. There are also monthly meetings at the City Council offices to ensure that estimates of fee income are always up to date and as robust as possible. The most recent exercise suggests that there should be no shortfall in 2014/15. | 2             | 4      | 8      | Dir. of Planning |   |             |        |
| 37/14       | Jan-15        | Accident or incident involving staff, volunteers, visitors, members or the public resulting in serious injury or death at an SDNPA facility or event. Breach of statutory duties, litigation and cost against the authority.   | 3             | 4      | 12     | 1. Services of external Health and Safety consultant retained. 2. H&S strategy and responsibilities agreed 3. Health and Safety elements included in induction programme for staff and volunteers 4. H&S committee and regular accident reporting 5. Health and Safety policy on place  | 2             | 4      | 8      | HR Manager       | refresh of risk assessments for events and key processes  | May-14      | Green  |
| 04/15       | 01/03/2012    | lack of capacity to manage Development Management function effectively results in unwanted developments not enforced against, lack of consistency , delayed decision making  | 3             | 4      | 12     | 1. Temporary staff recruitment 2. have investigated back log of enforcement cases and whilst some cases have been closed others have progressed to the next stage of action. 3. New structures in place with greater use of link officers   | 2             | 4      | 8      | Dir. of Planning | new approach to address issues of recruiting DM posts being implemented                                       |             |        |
| 44/14       |               | Failure to produce Local Plan within reasonable timeframe and with quality evidence makes the National park vulnerable to appeals of planning decisions  | 3             | 4      | 12     | 1. recruited capacity to deliver planning policy( 2 ldf fixed term contracts) 2. Clear milestones established and communicated 3. Link with mgt plan, particularly the evidence base 4. clarity of spend on the information required for the evidence base 5. week by week analysis of progress against revised project plan  | 2             | 4      | 8      | Dir. of Planning |   |             |        |
| 05/15       | Jan-15        | unidentified priorities are identified as the implementation of the PMP is undertaken results in unplanned use of major project fund or purpose and duty fund. Reduced capacity to lever in external funds.  | 3             | 3      | 9      | Priorities built into future years budgets. Major projects fund and purpose and duty fund should enable the Authority to fund immediate priorities  | 2             | 3      | 6      | Dir. of S&P      |   |             |        |
| 06/15       | Jan-15        | CIL is not adopted or CIL charges are incorrect and found unsound at examination   | 3             | 3      | 9      | evidence base developed , local plan timetable in place , negotiations with Govt. dept.   | 2             | 3      | 6      | Dir. of Planning | close monitoring of local plan timetable. Engagement with central Govt. post 2015 election.to confirm process |             |        |
| 66/14       |               | The objectives and activities in the NPMP are not delivered  | 4             | 3      | 12     | 1. Close engagement with partners 2. Revised consultation process following initial feedback 3. Policy workshops agreed and going ahead 4. meetings with key local Authorities to build support for the NPMP 5. Use of Aspire View system to encourage partners to actively participate in reporting on NPMP delivery   | 2             | 4      | 8      | Dir. of S&P      |   |             |        |