

Report to	<b>Standards and Audit Committee</b>
Date	<b>05 March 2013</b>
By	<b>Director of Corporate Services</b>
Title of Report	<b>Corporate Risk Register</b>
Purpose of Report	<b>To present a revised corporate risk register as at February 2013</b>

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

- 1) **approve the Corporate Risk Register as at February 2013**
  - 2) **consider if any risks should be referred to the Resources and Performance Committee**
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**1. Introduction**

- 1.1 To present the South Downs National Park Authority (SDNPA) Corporate Risk Register as at February 2013.

**2. Background**

- 2.1 The Standards and Audit Committee has terms of reference which include "... to ensure the robustness of risk management and internal audit arrangements". At its meeting on 5 April 2011 the Audit Committee agreed a corporate Risk Management Strategy and the Corporate Risk Register. The Risk Management Strategy is reviewed annually; the Corporate Risk Register is reported to each meeting of the Standards and Audit Committee.

**3. The Corporate Risk Register**

- 3.1 **Appendix 1** shows the risks in a graphic 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 February 2013) is attached at **Appendix 2**. Only high and significant risks are included in the register for the Standards and Audit Committee. In some cases the risks have changed or no longer exist. When this happens they will be marked closed on the spreadsheet and distinguished by grey shading. These items will be deleted before the register is next presented.

**4. Changes since September 2012**

- 4.1 The risk register presented in September had 2 high and 14 significant risks. The risk register for February has 3 high risks and 11 significant risks. There are 6 new risks. Seven risks have been closed. Risk 59 (evidence collected for the State of the National Park not respected or widely used) was closed as it was no longer considered to capture the issues and a new risk 72 was added – see Paragraph para 4.3 below. Risk 61 (policy reviews not concluded) was closed as the reviews were completed and presented to the National Park Authority. Risk 60 (failure of partnership working) some of the mitigations were moved to a revised risk 66, which was felt to better encapsulate the issues going forward. Risk 62 (failure to deliver effective training and development) was closed as the mitigations were effective. Risk 63 (short term lack of staff in the Communications team) was closed as a full compliment of staff have been recruited. Risk 49 (Peer review outcomes not positive) was closed as the peer review has taken place and the improvement plan is being developed as part of the Corporate Plan for 2013-16. Risk 41 (unplanned fluctuations in planning application numbers) has been closed as mitigations were effective.

- 4.2 Of the high risks in this report, none were high risks last time. Risk 73 (retender of the scanning for planning contract) is also a new risk. Risk 56 (South Downs Centre refurbishment) has moved due to an increase in likelihood: further mitigations are being put in place. Risk 64 (reduction in resources as a result of the next Comprehensive Spending Review) has been on the risk register before; it was closed but is back as a new risk because of increased likelihood.
- 4.3 There are 5 other new risks. Risk 66 (National Park Management Plan (NPMP) objectives not delivered through lack of commitment from partners) is a new risk to reframe what was risk 60 which was wholly about partnership working. Risk 69 (GIS retender) is also a new risk due to the potential impact on SDNPA capacity to carry out functions if the contract is not re-let. Risk 67 (failure to roll out shared brand and identity) was mentioned in the peer review and is a key plank of the Communications Strategy; it is also off track on delivery as reported to the Resources and Performance Committee on 13 February 2013. Risk 68 (repayment negotiations) is a new risk relating to the potential impact of a failure to successfully conclude negotiations and the impact on customers. Risk 72 (evidence base not proportionate to the needs of the organisation) reflects the potential for research and evidence production to take a higher proportion of resources than available to support the NPMP.
- 4.4 Three risks have changed since the last report; risk 58 (IDOX not delivering service improvements), has moved to reflect the decrease in likelihood. An additional mitigation has been added to address this risk, which is the development of a specific action plan. Risk 56 (South Downs Centre refurbishment) has increased and is now a high risk – see para 4.2. Risk 45 (capacity to manage development management function including enforcement) has changed, as the likelihood has increased, further mitigations will be added as a result of the review carried out in December 2012.
- 4.5 Of the significant risks, all others have remained at the same level.
- 5. Conclusion**
- 5.1 Members are asked to approve the Corporate Risk Register as at February 2013.
- 5.2 Members are asked to consider if there are any risks which should be referred to the Resources and Performance Committee as they have significant resource implications.
- 5.3 The Standards and Audit Committee will receive a further update of the risk register at its meeting on 25 June 2013.
- 6. Resources**
- 6.1 There are no additional resource requirements arising from this report.
- 7. Risk Management**
- 7.1 The report outlines the current 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. External Consultees**
- 9.1 None.

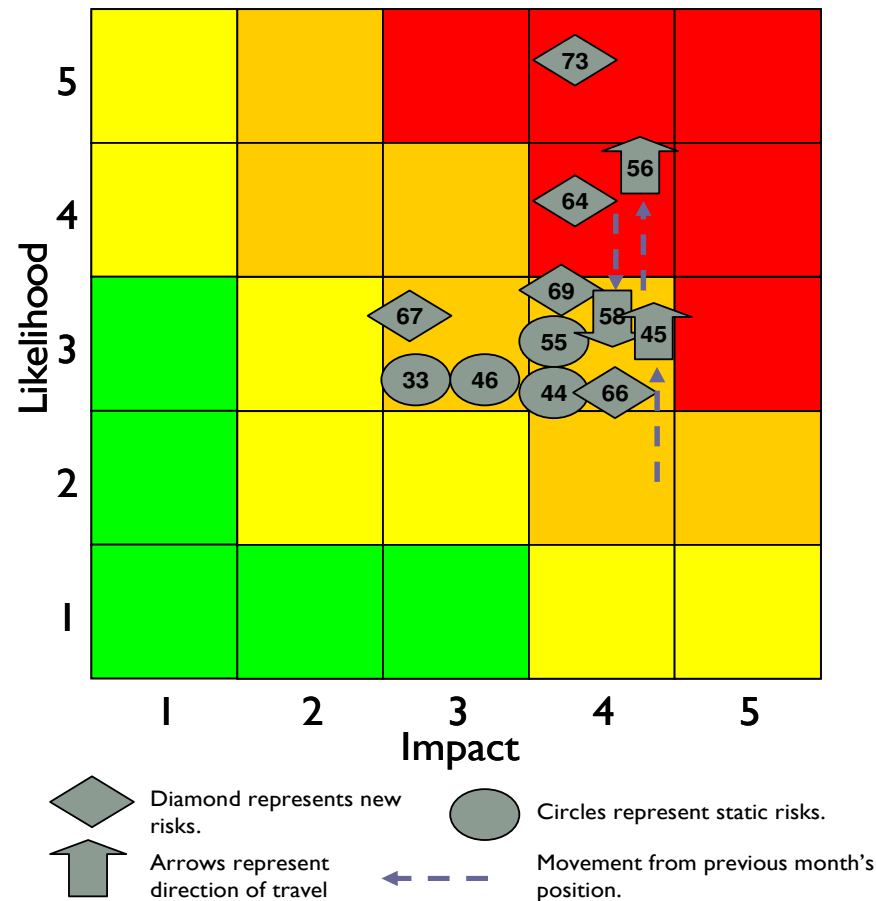
**HÉLÈNE ROSSITER**

**Director of Corporate Services**

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Appendices	Appendix I Risk Graphic

SDNPA Consultees	<p>Appendix 2 Corporate Risk Register</p> <p>Chief Executive Officer, Director of Corporate Services, Head of Planning, Director of Strategy and Partnerships, Head of Operations, Chief Finance Officer, Deputy Chief Finance Officer, Monitoring Officer &amp; Senior Solicitor.</p>
Background Documents	<p>Quarter 3 monitoring report to Resources and Performance Committee Report RPC 02/13</p> <p>Communications Strategy</p> <p>Risk Report to Standards and Audit Committee September 2012</p>

# Corporate Risk Graphic – February 2013



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
73	PLG	Retender for scanning for Planning contract
56	CS	SDC moves not completed in time or within budget
64	CS	Potential shift or reduction in resources as a result of CSR
45	PLG	Lack of capacity to manage Development Management function
44	PLG	Failure to produce Local Plan within timeframe
55	CE	Failure to match workloads to resources across the organisation
58	PLG	IDoX does not deliver service improvements
66	S&P	Objectives in NPMP not delivered due to lack of commitment by partners
69	S&P	Retendering of GIS contract
33	CS	Implementation of Estates Strategy delayed or not fully achieved
46	PLG	SDNPA fails to add value to the planning system
67	S&P	Failure to roll out shared brand and identity

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

	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

16

Line	Ref No	Description of Risk	Description of Impact	Mitigation	Owner	Contingency	Likelihood	Impact	Dir	Severity	Review Date
			levels available to support the SDNP (Financial)								
D	45	Lack of capacity to manage Development Management function effectively, especially around enforcement issues, having regard to recovery of service	Unwanted developments not enforced against Lack of consistency Delayed decision making (Reputational) (Operational) (Legal)	Review of Development Management function Dec 2012 New staff resources recruited and in place New structure in place with greater use of Link Officers New enforcement post recruited into Carry out review of balance of work in the team and the amount of resource allocated to enforcement.	Mike Bleakley  Pat Aird Pat Aird  Pat Aird Pat Aird	Further mitigations after the review	Possible (3)	Major (4)	TS	Significant	Apr-13
E	44	Failure to produce Local Plan within reasonable timeframe	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 (Reputational) (Organisational) (Environmental)	Recruited extra capacity to deliver planning policy (2 LDF fixed term contracts) 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. Senior Planning Officer in post need to recruit into Planning Officer role Week by week analysis of progress against revised project plan	Tim Richings  Tim Richings  Tim Richings/Angie Blowman Tim Richings /Angie Blowman Tim Richings Tim Richings Tim Richings		Possible (3)	Major (4)	TS	Significant	Apr-13
F	55	Failure to match workloads and resources across the organisation	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. (Reputational) (Organisational)	Good communication and cross-departmental co-operative working Effective work prioritisation process Active management of time and priorities Clarity on timetable Rebalancing resources and priorities monitored through the Business Plan and Corporate Plan Joint LDF, NPMP timeline produced. Early and co-ordinated approach to business plan and services plans adopted.	Trevor Beattie Trevor Beattie Trevor Beattie Trevor Beattie Trevor Beattie Trevor Beattie  Trevor Beattie		Possible (3)	Major (4)	TB	Significant	Apr-13

Line	Ref No	Description of Risk	Description of Impact	Mitigation	Owner	Contingency	Likelihood	Impact	Dir	Severity	Review Date
G	58	IDOX system as implemented not delivering improvements to service delivery	Drop in the quality of service experienced by users of the planning service Loss of goodwill from partner Local Authorities Potential for some authorities to opt out of providing the service Potential drop in service levels for customers as Authorities prioritise their own work ahead of SDNPA work, due to problems with the system (Operational) (Reputational) (Financial)	Communication with authorities to understand their concerns and make sure they are addressed quickly Support Authorities to use the system by providing solutions to the problems identified with the system Increase resources in the planning team to provide that support. Action plan to address issues implemented. External expertise employed until December 2012 to support implementation. Consistent and regular production of performance information across the SDNP.	Mike Bleakley  IDoX support team  Philippa Penfold  Philippa Penfold  Mike Bleakley		Possible (3)	Major (4)	TS	Significant	Apr-13
H	66	The objectives and activities in the NPMP are not delivered due to a lack of commitment to delivery by all partners	SDNPA seen as ineffective Actions in Management Plan will not be delivered SDNPA not seen to be adding value SDNPA unable to deliver the Purposes and Duty effectively (Reputational) (Environmental) (Operational) (Partnerships) (Reputational)	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	Pete Currell/Laura Warren Pete Currell/Laura Warren Pete Currell Pete Currell		Possible (3)	Major (4)	AL	Significant	Apr-13
I	69	Re-tendering GIS contract for 2013-16	Failure to secure a re-tender of the contract would result in a lack of continuity of GIS service critical to planning application decision-making and important to development of NPMP and Local Plan	Meetings with key Local Authorities to build support for the NPMP	Angie Blowman	SMT and Resources and Performance approved re-tender; in principle agreement from Hants CC to extend current contract for 3 months, from 1/4/13 to 30/6/13	Possible (3)	Major (4)	AL	Significant	Apr-13
J	33	Implementation of Estates Strategy is delayed or cannot be fully implemented	Possible disruption to staff and Members Potential increased costs. (Organisational)	Longer term leasing of offices to cover for project slippage Taking additional space in Penns Place to cover for project slippage Estate Manager now in post to oversee day-to day estates and facilities issues R&P Committee receiving regular reports on progress Outstanding issues have been resolved or are being resolved Joint feasibility study with B&HCC underway for Stanmer Feasibility work underway for QECP	Brendan Flynn  Brendan Flynn  Brendan Flynn Brendan Flynn  Brendan Flynn  Brendan Flynn	Renegotiation of current leases if required Seeking alternative office options should estates plans at each office not materialise	Possible (3)	Moderate (3)	HR	Significant	Apr-13

Line	Ref No	Description of Risk	Description of Impact	Mitigation	Owner	Contingency	Likelihood	Impact	Dir	Severity	Review Date
K	46	SDNPA fails to add value to planning system particularly Development Management	Failure to improve quality of the planning service Failure to improve cost effectiveness of the planning service across the National Park (Reputational)	Review section 101 agreements for quality and cost quarterly Annual review of overall service Summer 2013 Managing Excellent Planning Services (MEPS) exercise completed and informing new service level agreements Agree SLAs with all Local Authorities by February and embed good process through UNIFORM/IDOX Focused approach to conservation area improvements	Mike Bleakley Mike Bleakley Mike Bleakley  Mike Bleakley  Michael Scammell		Possible (3)	Moderate (3)	TS	Significant	Apr-13
L	67	Failure to roll out shared brand and identity	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 (Reputational) (Operational)	Project management tools being put in place Managed calendar of events Publications and media work supported by project programmes Communications and engagement steering group being set up to oversee programmes Continued use of SDNPA logos and current branding guidelines for all work within the National Park with partners	Anit Chatrath Laura Warren Anit Chatrath Anit Chatrath  Anit Chatrath		Possible (3)	Moderate (3)	AL	Significant	Apr-13
M	68	Repayment negotiations	Not in place to deliver function for 2013/14. Gap in customer service. (Reputational) (Financial)	Policy Workshops agreed and going ahead Negotiation upon offer with clear reasoning Service level agreement February 2013 Member understanding and championing	Mike Bleakley Mike Bleakley Mike Bleakley Tim Slaney		Possible (3)	Moderate (3)	TS	Significant	Apr-13
N	72	Evidence base not proportionate to the needs of the organisation	Non effective use of resources for research that does not add value. (Reputational) (Financial) (Organisational)	Research strategy kept under review Use of learning partnership to focus research strategy and projects Control mechanisms to govern letting of research contracts	Angie Blowman Angie Blowman Angie Blowman		Possible (3)	Moderate (3)	AL	Significant	Apr-13
O	59	Evidence collected for the State of the National Park report not respected and widely used	SDNPA not seen to be adding value Use of different datasets undermines the effectiveness of actions to protect and enhance the Downs Lack of effective baseline information across the Park area from which to measure progress (Reputational) (Environmental) (Operational)	Close engagement with Partners on the launch of the plan Use of a rigorous validation process which establishes the robustness of the data used Effective communication about the information Microsite launched in October 2012			Unlikely (2)	Major(4)	AL		



Line	Ref No	Description of Risk	Description of Impact	Mitigation	Owner	Contingency	Likelihood	Impact	Dir	Severity	Review Date
P	60	Failure of partnership working in the production of the Management Plan	Partners do not agree with or sign up to the vision Actions in Management Plan will not be delivered SDNPA not seen to be adding value SDNPA unable to deliver the Purposes and Duty effectively (Reputational) (Environmental) (Operational)	Close engagement with Partners in developing the outcomes and pillars for the Management Plan Revised consultation process following initial feedback Policy Workshops agreed and going ahead Meetings with key Local Authorities to build support for the NPMP		Closed and transferred to risk 66	Possible (3)	Major (4)	AL	Significant	Closed Dec
Q	61	Policy reviews not concluded and no consequent actions implemented	Perception that SDNPA is ineffective by our Partners and stakeholders Loss of confidence in SDNPA to deliver on its priorities	Good project management to support reviews and implement actions Close monitoring of the progress of the reviews by SMT and Members		Mitigations effective,	Possible (3)	Moderate (3)	AL	Significant	Closed Sept
R	62	Failure to deliver effective training and development for staff	Lack of effectiveness for some staff in delivering their roles Organisation does not fully benefit from the staff resources it employs Staff become demotivated Potential for increased staff turnover Failure to comply with legislation and possible legal challenge as a result e.g. H&S and Equalities (Operational) (Reputational) (Financial) (Legal)	Ensure PDRs are completed and all training & development needs are identified HR and SMT agree training and development plan annually Provision of specialist advice and support to deliver H&S and Equalities training Managers allowing staff time to undertake training and development activities Senior staff support and monitor training and development activities in their Directorates		Engagement has had positive response	Possible (3)	Moderate (3)	CS	Significant	Closed Nov
S	63	Short term lack of capacity in the Communications Team	Reduction in quality of work Inefficiencies and lack of knowledge Patchy or disjointed service delivery (Reputational) (Operational)	Agreement to Communications Strategy Outsourcing to support improvements in capacity Recruitment into outstanding posts underway		Policy reviews complete and signed off at NPA meeting	Possible (3)	Moderate (3)	AL	Significant	Closed Dec
T	49	The Peer Review of the SDNPA does not result in a positive outcome	The outcome of the peer review due in November 2012 damages staff morale or the SDNPA's external relations and public image. (Organisational) (Reputational)	Close liaison with the Review Team and appropriate support Incorporate the Peer Review recommendations into the SDNPA business plan Task Group set up to look at sustainability issues across the Authority Improvement plan development to incorporate initial recommendations		Mitigations effective, will be monitored via the corporate services risk register.	Possible (3)	Moderate (3)	TB	Significant	Closed Dec

Line	Ref No	Description of Risk	Description of Impact	Mitigation	Owner	Contingency	Likelihood	Impact	Dir	Severity	Review Date
U	41	Unplanned fluctuations in the number of planning applications	Increased cost of delegation would result in use of Planning Delivery reserve Resources required may not be sufficient and performance would diminish. Reduction in planning applications would reduce income received adding to an overall budget pressure. (Financial)	Active monitoring of numbers and costs Benchmarking to assist in reducing costs Close review of planning fee income projection Appointed fixed term Contract Compliance officer Reduce payments Corporate budget will cover fee reduction			Likely (4)	Major (4)	TS		Closed Sept