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| Report to         | <b>Standards and Audit Committee</b>                                  |
| Date              | <b>24 September 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 August 2013</b> |

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

- a) **approve the Corporate Risk Register as at August 2013**
  - b) **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 August 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 August 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 May 2013**

- 4.1 The risk register presented in May had 2 high and 8 significant risks. The risk register for August has 1 high risk and 7 significant risks. There are no new risks. Four risks have been closed.
  - Risk 73 (retender of the scanning for planning contract) was closed because the contract has been successfully re-let, with strong performance measures included;
  - Risk 69 (Re-tendering GIS contract for 2013-16) was closed as the contract has been successfully re-let;
  - Risk 33 (implementation of estates strategy is delayed or cannot be fully implemented) was closed as it was considered that the perceived impact and probability had reduced for it to be sufficiently managed via the Corporate Services risk register;
  - Risk 72 (evidence base not proportionate to the needs of the organisation) was closed as there are sufficient control mechanisms in place to ensure that it remains proportionate.
- 4.2 The high risk in this report, was a high risk last time. Risk 64 (potential shift and/or reduction in resources for 2014/15 as a result of the next Comprehensive Spending Review

(CSR)). We await the outcome of the CSR from the Department for Environment, Food and Rural Affairs (Defra) A communication is expected in the Autumn.

- 4.3 One risk has changed since the last report. Risk 56 (South Downs Centre refurbishment and moves not completed on time or in budget) has moved because the potential probability is perceived to have decreased. The mitigations have been amended with some being replaced. New mitigations are; regular reports to the Member Advisory Group and Resources & Performance Committee and, relocation planning is underway.
- 4.4 Of the significant risks, all others have remained at the same level with some changes to mitigations.
- Risk 44 (failure to produce Local Plan within reasonable timeframe) has extra mitigations of resources increasing through the proposed restructure and a framework agreements in place to allow flexibility to procure extra resources if needed.
  - Risk 67 ( failure to rollout shared brand and identity) has a number of extra mitigations; a Member led communications steering group has been set up, some elements are being rolled out, consultants are in place and the website will be relaunched.

## **5. Conclusion**

- 5.1 The Committee is asked to approve the Corporate Risk Register as at August 2013.
- 5.2 The committee is 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 11 December 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. 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.

## **HÉLÈNE ROSSITER**

### **Director of Corporate Services**

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Appendices

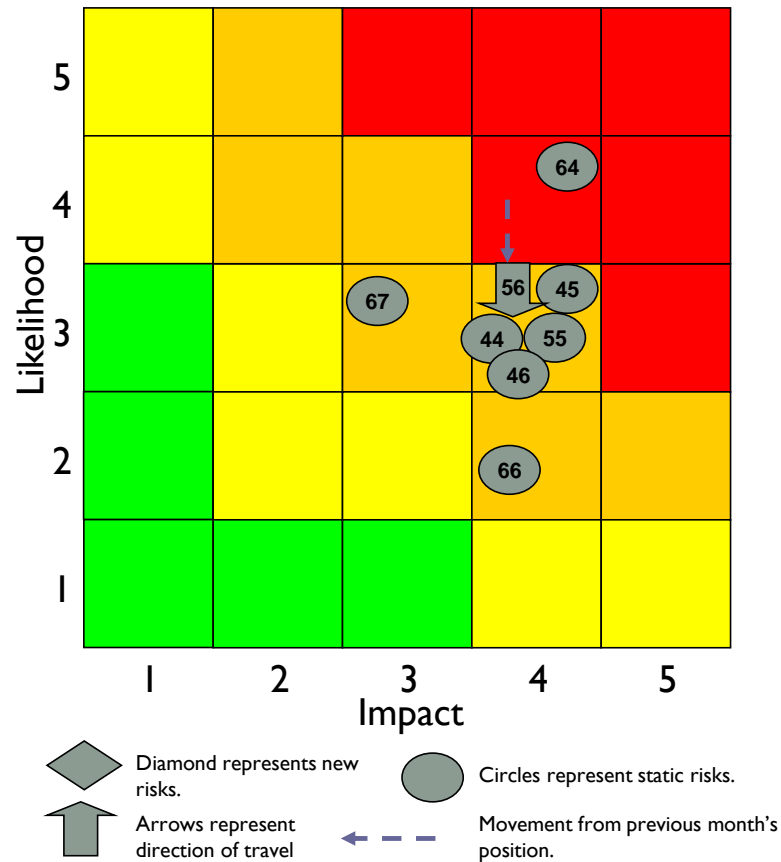
1. Risk Graphic
2. Corporate Risk Register

SDNPA Chief Executive Officer, Director of Corporate Services, Director of Planning,  
Consultees Director of Strategy and Partnerships, Director of Operations, Chief Finance  
Officer, Deputy Chief Finance Officer, Monitoring Officer & Legal Services.

Background Risk Report to Standards and Audit Committee June 2013

Documents [http://www.southdowns.gov.uk/\\_data/assets/pdf\\_file/0005/347189/Agenda-item-8.pdf](http://www.southdowns.gov.uk/_data/assets/pdf_file/0005/347189/Agenda-item-8.pdf)

Corporate Risk Graphic – August 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  |
|----------|------|--|
| 64       | CS   | Potential shift or reduction in resources as a result of CSR           |
| 56       | CS   | SDC moves not completed in time or within budget                       |
| 44       | PLG  | Failure to produce Local Plan within timeframe                         |
| 45       | PLG  | Lack of capacity to manage Development Management function             |
| 46       | PLG  | SDNPA fails to add value to the planning system                        |
| 55       | CE   | Failure to match workloads to resources across the organisation        |
| 67       | S&P  | Failure to roll out shared brand and identity                          |
| 66       | S&P  | Objectives in NPMP not delivered due to lack of commitment by partners |

| 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      |

## Risk Register

Period: August 2013

### Corporate Risk Register

| Risk   | Finish Date | Probability | Impact | RAG   | Original Date | Description of Impact of Risk   | Mitigations  |
|--|-------------|-------------|--------|-------|---------------|---|--|
| Risk 064 - Potential shift and/or reduction in resources for 2014/15 as a result of the next Comprehensive Spending Review (CSR) |             | 4           | 4      | Red   | 01-10-2012    | Lack of certainty on grant allocation<br>Potential drop in ability to deliver some or all functions<br>Potential lack of ability to deliver to the same level<br>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<br>Streamlining systems as much as possible to make efficiency savings where possible<br>Developing approach to generating income from external sources<br>Evidence presented as part of the national Valuing National Parks exercise<br>Potential changes after the review of the EPAPA peer review process   |
| Risk 044 - Failure to produce Local Plan within reasonable timeframe   |             | 3           | 4      | Amber | 01-03-2012    | Makes the National Park vulnerable to appeals of planning decisions<br>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 one extra post proposed as part of restructure as well as one fixed term post<br>Establish clear milestones for LDF and effective project management<br>Link with management plan work, particularly the evidence base<br>Clarity of spend on the information required for the evidence base to support the Local Plan<br>Regular analysis of progress against revised project plan<br>Use framework agreements to provide extra external resource                     |
| Risk 045 - Lack of capacity to manage Development Management function effectively, especially around enforcement issues          |             | 3           | 4      | Amber | 01-03-2012    | Unwanted developments not enforced against<br>Lack of consistency<br>Delayed decision making  | Consider greater involvement of parishes in enforcement action<br>Additional Enforcement Officer in post as part of restructure<br>Greater Link Officer involvement with Operations Area Teams proposed as part of the restructure   |
| Risk 046 - SDNPA fails to add value to planning system particularly Development Management                                       |             | 3           | 4      | Amber | 01-03-2012    | Failure to improve quality of the planning service<br>Failure to improve cost effectiveness of planning service across the National Park  | Review section 101 agreements for quality and cost quarterly<br>Annual review of overall service Summer 2013<br>Managing Excellent Planning Services (MEPS) exercise completed and informing new service level agreements<br>Focused approach to conservation area improvements<br>Develop constructive and effective partnerships with LAs to promote performance improvements<br>Restructure increases capacity by two additional posts<br>On-going input into design  |
| Risk 055 - Failure to match workloads and resources across the organisation  |             | 3           | 4      | Amber | 01-03-2012    | Management Plan suffers and SDNPA lacks capacity to support other work such as advising on major projects<br>Potential knock on effect on LDF preparation with emerging issues not being incorporated<br>Increasing demands / expectations on Ops team leads to deliver on the wide range of NPA priorities<br>Resources not available to deliver on all priorities | Good communication and cross-departmental co-operative working<br>Effective work prioritisation process<br>Rebalancing resources and priorities monitored through the Business Plan and Corporate Plan<br>Joint LDF, NPMP timeline produced<br>Development of Heads of Team to co-ordinate and manage priorities<br>Proposed restructure will increase capacity and formalise cross team working   |
| Risk 056 - South Downs Centre refurbishment and moves not completed on time or within budget                                     |             | 3           | 4      | Amber | 01-05-2012    | Possible disruption to staff and Members<br>Impact on business continuity<br>Inability to achieve design scope within budget<br>Programme over-run resulting in delays to completion of move for all staff<br>Revised design scope may require us to seek revised listed building approval which could result in further delays                                     | Dedicated project management resource to oversee the project<br>Appointment of specialist external advisers and architects to work with the project manager<br>Strong project management approach<br>Maintenance of a project risk register with appropriate escalation to corporate risk register<br>Examining sources for areas of sponsorship/funding for specific work packages<br>Regular reports to Member Advisory Group and R&P<br>Extension of leases in Midhurst and Penns Place<br>Relocation planning underway |

|  |            |   |   |        |            |   |   |
|--|------------|---|---|--------|------------|---|---|
| Risk 067 - Failure to roll out shared brand and identity   |            | 3 | 3 | Amber  | 03-12-2012 | Profile of the National Park remains low<br>Delivery against expectations not always delivered<br>Lack of adoption of brand No platform to manage behaviour<br>change campaigns | Managed calendar of events<br>Publications and media work supported by project programmes<br>Continued use of SDNP/A logos and current branding guidelines for all work within the National Park with partners<br>Communications steering group set up<br>Some major elements being rolled out<br>Consultants procured and brief Produced<br>Website will be relaunched |
| Risk 066 - The objectives and activities in the NPMP are not delivered due to a lack of commitment to delivery by all partners |            | 2 | 4 | Amber  | 01-12-2012 | SDNPA seen as ineffective<br>Actions in Management Plan will not be delivered<br>SDNPA not seen to be adding value SDNPA unable to deliver the Purposes and Duty effective      | Close engagement with partners<br>Meetings with key Local Authorities to build support for the NPMP<br>Use of Aspireview system to encourage partners to actively participate in reporting on NPMP delivery<br>Active work with partners about populating the delivery framework alongside the consultation   |
| Risk 073 - Retender of scanning for planning contract  | 01/06/2013 |   |   | Closed | 01-02-2013 |   |   |
| Risk 033 - Implementation of Estates Strategy is delayed or cannot be fully implemented  | 01/06/2013 |   |   | Closed | 01-03-2012 |   |   |
| Risk 069 - Re-tendering GIS contract for 2013-16   | 01-07-2013 |   |   | Closed | 01-01-2013 |   |   |
| Risk 072 - Evidence base not proportionate to the needs of the organisation  | 01-06-2013 |   |   | Closed | 04-02-2013 |   |   |