

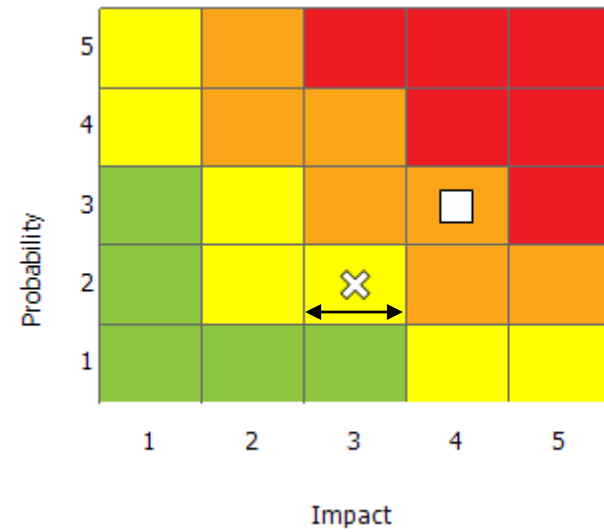
Corporate Risk Register

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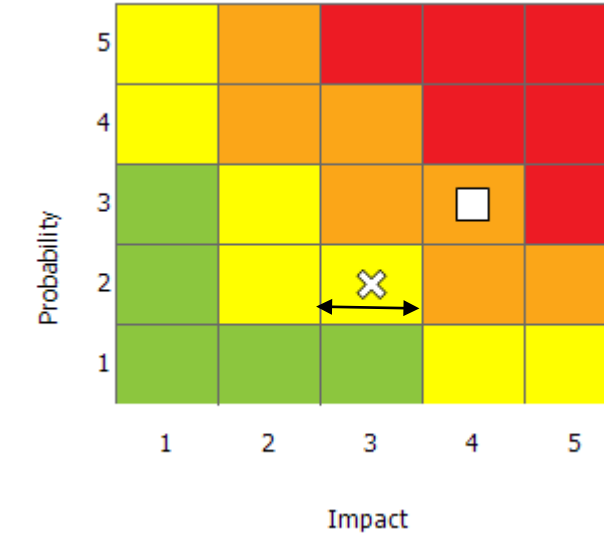
[] = Inherent Risk (Risk before any action is taken)

X = Residual Risk (Risk after mitigations put in place)

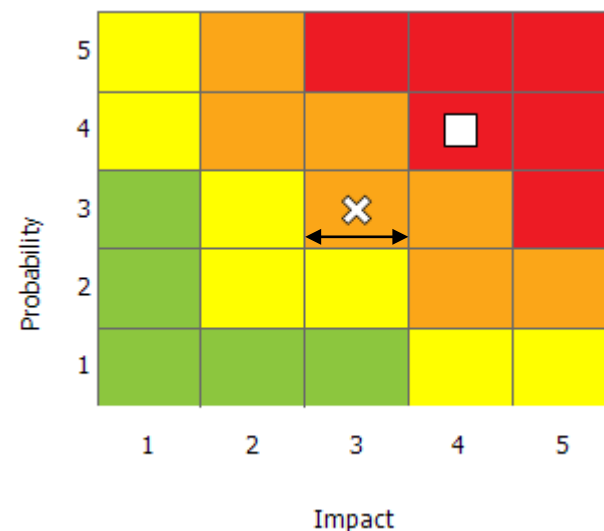
01. Health and safety
 Owner: Vicky Paterson
 Description: Accident or incident involving staff, volunteers, visitors, members or the Public resulting in serious injury or death at an SDNPA facility or event. Breach of statutory duties, litigation and cost against the authority.
 of Impact of Risk: 1. 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 in place 6. All area offices regularly audited by the consultant. 7. Annual report to Governance Committee with recommendations 8. Members and SMT trained and briefed on H&S responsibilities 9. All risk assessments reviewed and updated
 Mitigations: none
 Updates: none



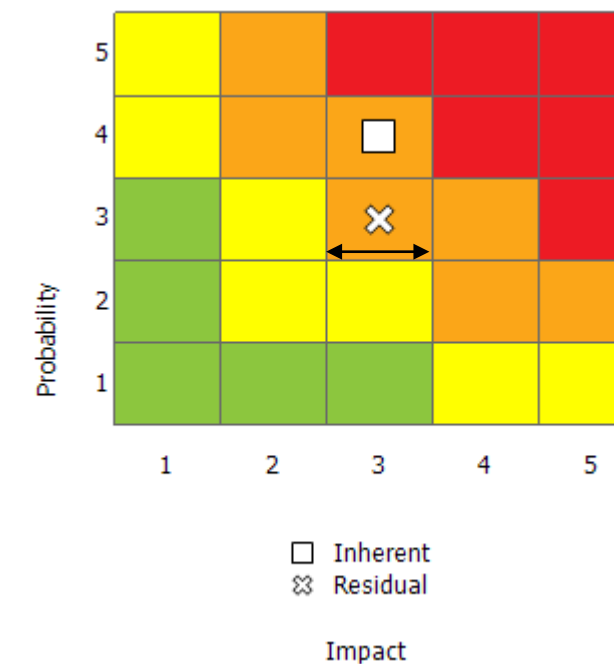
03. CIL
 Owner: Tim Slaney
 Description: Insufficient resources, systems and procedures are in place to effectively collect, distribute and monitor CIL funds. Results in a failure to deliver projects contained with the IDP due to insufficient funds collected. Poor management of the distribution of funds leads to challenge over decision making and a failure to deliver park purposes and duties. Reputational damage is suffered resulting from delays in determining applications and relationship with parishes, developers and communities negatively impacted as projects not delivered upon and community expectations fail to be met. Potential for Government to review CIL may result in further changes to requirements and regulation. Collection of CiL managed in house and responsibility for collection spread across the planning team. Major Planning Projects Officer and Development Management Offer roles have specific focus on monitoring and collection of CIL. Exacom module (Uniform) in place to calculate CIL.
 Mitigations: Work to develop appropriate processes for the allocation and distribution of CIL is underway.
 Updates: none



2. Finance and budgets
 Owner: Trevor Beattie
 Description: Budgets insufficient or budgets become insufficient due to reduction in Defra grant or in year requirement for savings; failure to match resources and workloads across the organisation; Mgt Plan suffers and SDNPA lacks capacity to support other work. Resources not available to deliver on all priorities
 of Impact of Risk: 1. Monthly budget monitoring undertaken by HoT's, enables identification of areas of potential overspend and compensating savings 2. Effective work prioritisation process 3. Rebalancing resources and priorities monitored through the business plan and corporate plan 4. Joint LP and NPMP timeline produced 5. Income Generation project 6. Budget setting process underway and organisational restructure in planning stages. 7. Budget announcements and four year settlement provide additional security
 Mitigations: Mitigations updated in light of ongoing activity. Probability score reduced in light of Defra settlement
 Updates: none

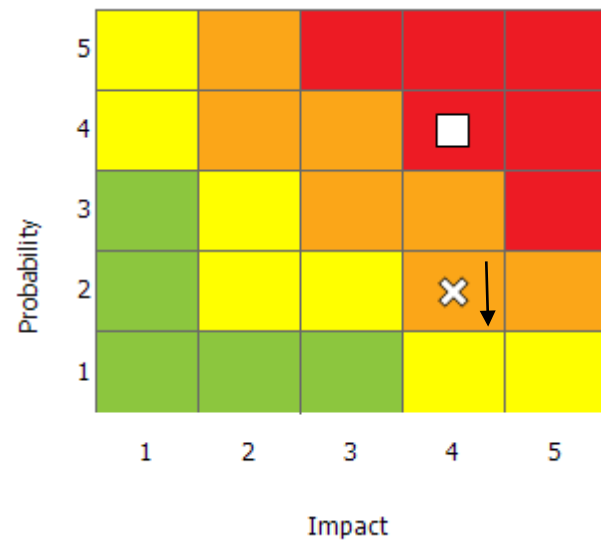


06. Local Plan
 Owner: Tim Slaney
 Description: Failure to produce Local Plan within reasonable timeframe and with quality evidence makes the National park vulnerable to appeals of planning decisions. Issues arising from Habitats Regulation Assessment relating to Nitrogen deposition following quashing of Lewes Joint Core Strategy in April 2017 may impact upon evidence base and timescales. Clear milestones established and communicated. Link with mgt plan, particularly the evidence base. Clarity of spend on the information required for the evidence base. Week by week analysis of progress against revised project plan. Further work to be commissioned to address HRA issue. Working closely with AECOM and DCLG on this matter. Recruitment of new local plan lead and senior policy planner was successful May/June 2016. New local plan timetable agreed and published June 2016. Parish workshops on emerging allocations held October 2016 and pre-submission planned for September 2017.
 Mitigations: none
 Updates: none

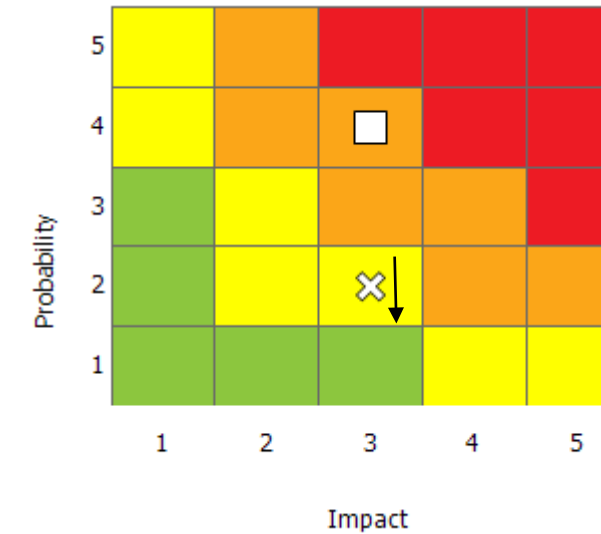


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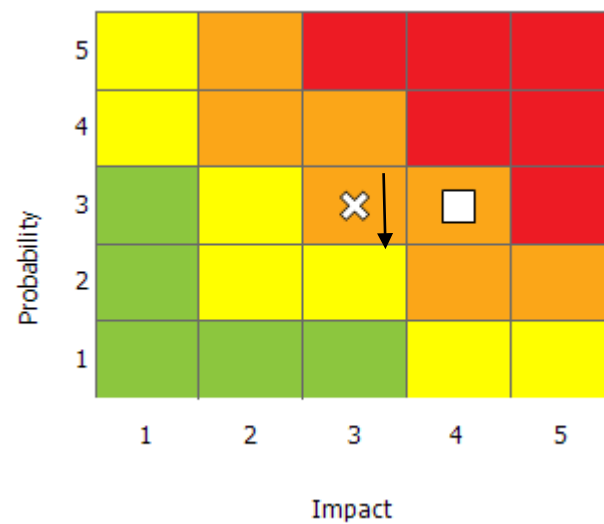
07. Development Management
 Owner: Tim Slaney
 Description of Impact of Risk: Lack of capacity to manage development management function effectively results in unwanted developments not enforced against, lack of consistency, delayed decision making or an increase in planning appeals/inquiries. Significant additional costs to the Authority incurred and reputational damage and loss of confidence in the planning functions of the authority.
 Mitigations: DM team now at nearly full strength only 0.6 post in Minerals and Waste remaining vacant
 Updates: Risks 7 & 11 have been merged. Score updated to reflect views of committee and reassessment of risk



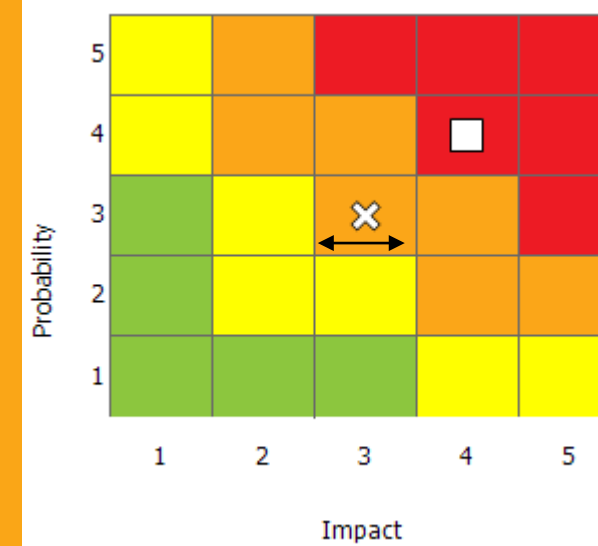
09. Partnership Management Plan
 Owner: Andrew Lee
 Description of Impact of Risk: The objectives and activities in the NPMP are not delivered due to lack of alignment with business plans of other organisations, lack of resources from partners, our resources to deliver the plan are reduced and focussed on core statutory activities
 Mitigations: 1. Close engagement with partners 2.. Meetings with key partners, in particular the South Downs Partnership to build support for the NPMP 3. Income Generation Strategy, 4. Public Affairs Strategy in development 5. ensure timing of PMP review is aligned with partners business planning 6. involve SDP in review of PMP and State of the Park report. 7 Increased project fund available due to Defra Settlement
 Updates: Probability score reduced due to budget settlement. Mitigations updated



08. Business Continuity Planning
 Owner: Robin Parr
 Description of Impact of Risk: Lack of organisational business Continuity planning may prevent delivery of key services in the event of a major incident
 Mitigations: BCP for Key buildings in place. Business Critical functions identified and planned for. IT recovery plans in place. Key staff roles identified in BCP and communicated. 6 monthly review and annual testing of the plan in place
 Updates: First test of plan undertaken in Feb 2017 and plan updated. Subsequent Review testing will take place annually.

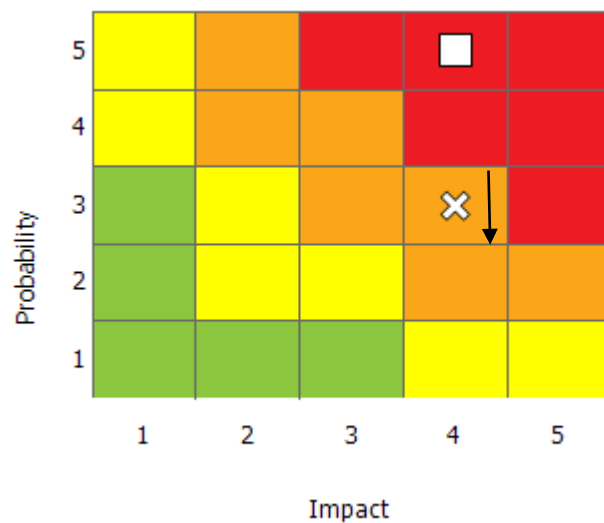


12. Awareness and Favourability
 Owner: Andrew Lee
 Description of Impact of Risk: Awareness and favourability with decision makers, partners and public is low or is significantly negatively impacted by our failure to deliver key projects/outcomes
 Mitigations: Public affairs strategy being developed, wider communications strategy, close engagement with and expectation management of partners, Project management approval process, robust project governance, reporting to P&P and Governance Committee, Project evaluation and lessons learnt process, strong financial planning, proactive communications with partners, public and members about projects. Four year settlement helps forward plan activity and provide consistency and increase project pots
 Updates: none

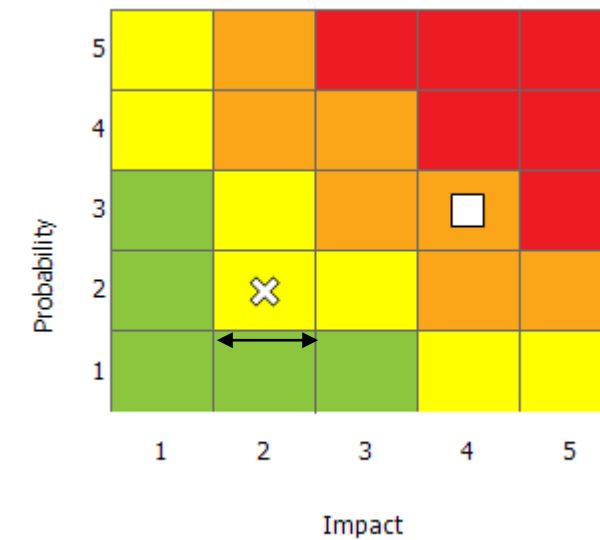


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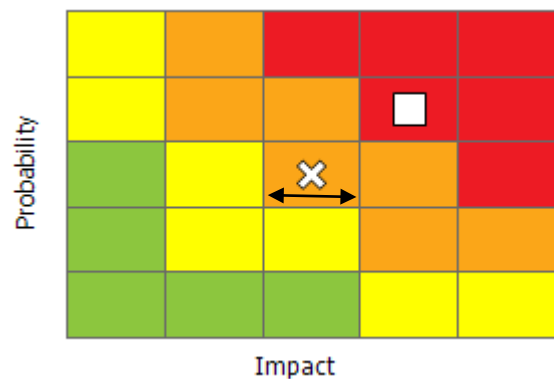
13. Partner expectations
Owner: Andrew Lee
Description of Impact of Risk: Expectations on the Authority are unrealistic as public sector and other partners reduce activity and/or cut back resources in the National Park. Which results in a reduction in capacity to deliver PMP outcomes. Strong continuous dialogue with relevant partners, clarity around our legal obligations and requirements, ongoing communications work around managing public expectations.
Mitigations: Involving partners in the review of the PMP, particularly as we move into Brexit negotiations. Encourage private investment into the National Park eg: PES and carbon trading. See also mitigations for the Brexit risk. PMP partnership workshops underway. Recent publication of 'strategies' for the South Downs published by key partners. Residual probability score revised.
Updates:



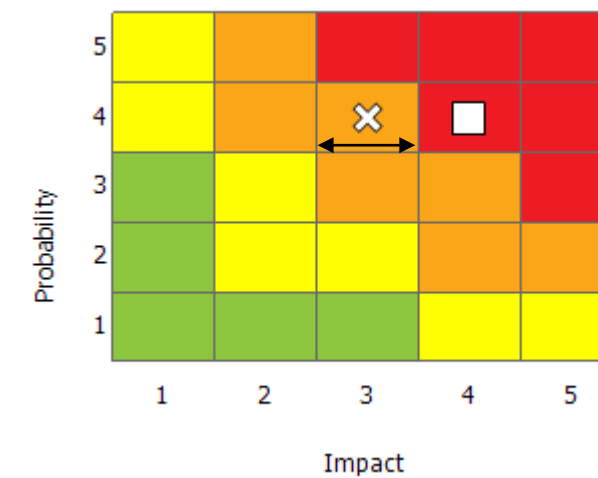
15. IT Contract
Owner: Alan Brough
Description of Impact of Risk: Single point of failure in the IT contract
 1. The role has been developed to ensure it is sustainable and turnover of staff is kept to a minimum 2. Day to day support functions are provided via contract meaning that user support would not be impacted by the departure of the IT manager post holder. 3 documentation of key processes. 4. Work in progress reporting
Mitigations:
Updates: none



16. Staffing
Owner: Trevor Beattie
Description of Impact of Risk: Inability to attract/retain key staff impacts upon the organisations service delivery. High staff turnover results in inefficiency across the organisation
 New pay structure and terms and conditions post restructure, Training and development programme, Staff survey action plan, PDR policy, Resilience and capacity review by OMT, Internal policies and procedures in place e.g. (family friendly, flexible working)
Mitigations: new structure now gone live on target.
Updates: Timetable for further recruitment set out and being adhered to.



17. Brexit Transition
Owner: Trevor Beattie
Description of Impact of Risk: Loss of DEFRA focus on National Parks and our priorities as this is overtaken by other issues. Potential cut in agreed four year budget as a result of autumn statement in late 2016. Change of legislative programme may introduce additional burdens or remove existing protections from the National Park. Relationships with landowners may be impacted by new requirements/ removal of existing programme. New sources of project funding need to be identified for large scale projects. Existing EU funded projects may be impacted in the longer term.
 1. Chief Executive, senior managers and members agreed approach focussing on continued delivery of existing work streams, being prepared to contribute when government requires our input and audit of existing EU funded projects. 2. Identification of risks for project risk registers – to be managed as part of ongoing project activity. 3. Establishment of a group of members/officers to monitor developments and ensure communication. 4. In collaboration with NPE and NPUK maintain close and positive relations with central Govt at right time to raise profile of National Parks and ensure that NPAs are a key part of the new framework for environmental policy and agricultural support. 5. Watching brief as new legislative/reform programme develops to seek opportunities for NPA input at correct time. 6. Close working relationships with NPE, NPUK and other NPAs and strong strategic alliances with key external stakeholders to develop shared response to issues and proactive new approaches at the appropriate time. 7. Close monitoring of budget spend. 8. Workshops and NPA updates at key points as information /developments emerge. 9. consideration of creation of a "Brexit fund" to assist pilot activity as part of budget process.
Mitigations:
Updates: Updates to provided to NPA and progress monitored at Chairs and SMT meetings



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18. Projects
Owner: Trevor Beattie
Description of Impact of Risk: Project resources not optimised and opportunities to undertake projects are missed. Insufficient skills and capacity in the organisation to effectively develop, manage and deliver high quality projects. Opportunities to develop and deliver projects are missed, project resources are not used as effectively as possible, projects bought forward are of insufficient quality to deliver outcomes for the National Park.
Mitigations: Performance and Projects team in place. Prioritisation and approval process in place and audited. Guidance published on intranet, direct professional and expert support during project development and evaluation lessons learnt and performance reporting to committee. Thematic Boards operating. OMT role in decision making. Role of Strat leads, Rangers and other staff to identify opportunities and support is available to turn these into projects where appropriate.
Updates:

