



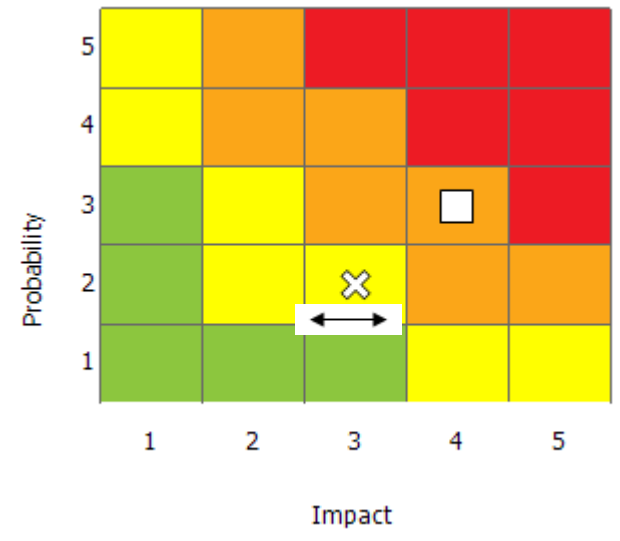
Corporate Risk Register

KEY:

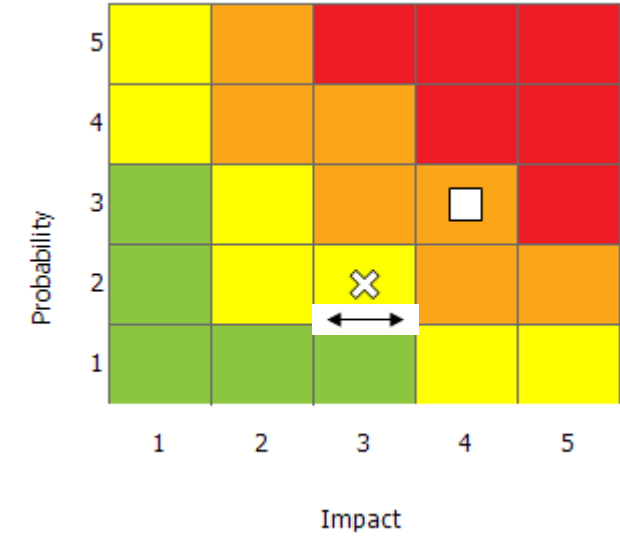
[] =Inherent Risk (Risk before any action is taken)

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

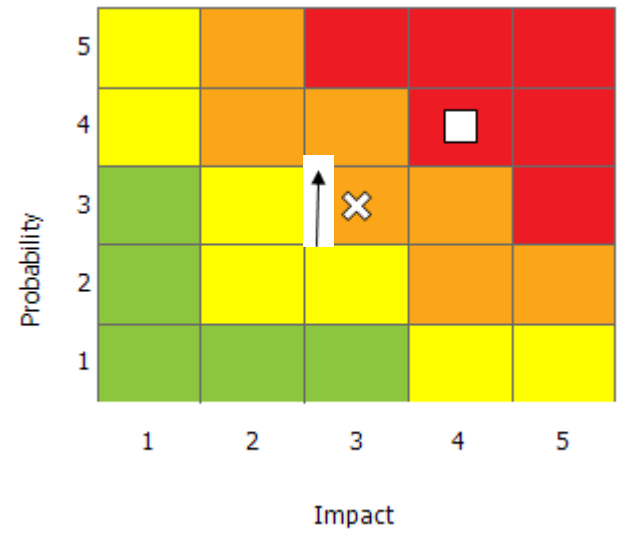
01. Health and safety
 Owner: Vicky Paterson
 Description of Impact of Risk: Accident or incident involving staff, volunteers, visitors, members or the public resulting in serious injury or death at an SDNPA facility or event. Breach of statutory duties, litigation and cost against the authority.
 Mitigations: 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. additional health and safety related training being provided via e-learning - fire safety course rolled out as mandatory training
 Updates: A H&S audit will be undertaken in early 2018 to inform future provision of H&S contract and advice.



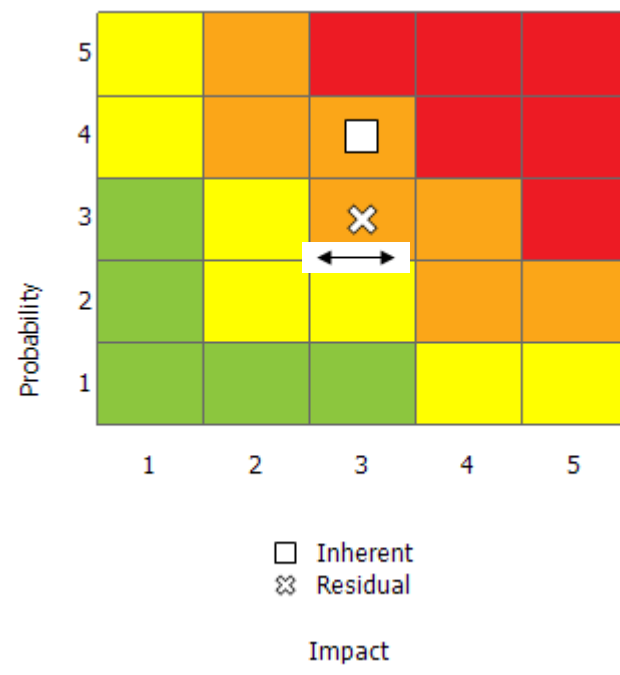
03. CIL
 Owner: Tim Slaney
 Description of Impact of Risk: Insufficient resources, systems and procedures are in place to effectively collect, distribute and monitor CIL funds. Results in a failure to deliver projects contained with the IDP due to insufficient funds collected. Poor management of the 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.
 Mitigations: 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.
 Updates: Work to develop appropriate processes for the allocation and distribution of CIL is underway.



02. Finance and budgets
 Owner: Trevor Beattie
 Description of Impact of Risk: 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
 Mitigations: 1. Monthly budget monitoring undertaken by managers and OMT, enables identification of areas of potential overspend and compensating savings 2. Effective work prioritisation process 3. Rebalancing resources and priorities monitored through the corporate plan 4. Joint LP and NPMP timeline produced 5. Income Generation project 6. Effective planning and approach to the Budget setting process and organisational restructure in 2016/17. 7. Budget announcements and four year settlement from Defra. 8. 2017/18 budget setting process to consider scenarios including potential removal of four year settlement 9. value based budget exercise in 2018/19 planned. Mitigations updated in light of ongoing budget planning



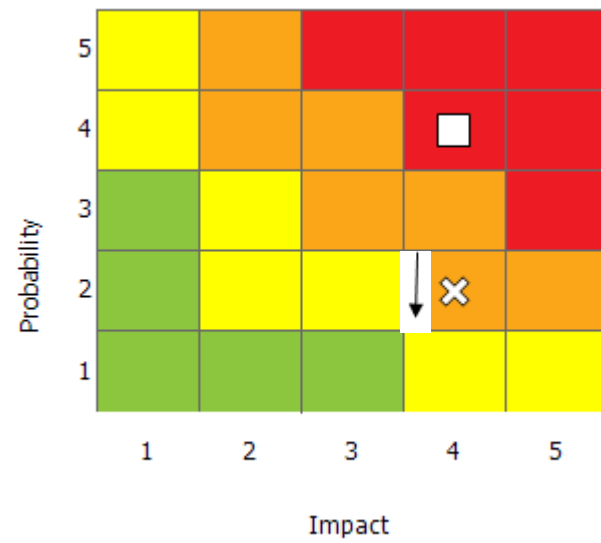
06. Local Plan
 Owner: Tim Slaney
 Description of Impact of Risk: Failure to produce Local Plan within reasonable timeframe and with robust evidence makes the National Park Authority vulnerable to appeals of planning decisions. Issues arising from the Habitats regulation Assessment (HRA) relating to Nitrogen deposition following quashing of policies SP1 and SP2 Lewes Joint Core Strategy in so far as they relate to the National Park in March 2017 may impact upon evidence base and timescales
 Mitigations: 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 commissioned to address HRA issue. Working closely with AECOM and DCLG on this matter
 Updates: Consultation draft of plan approved by NPA in July 2017. Local Authority sessions on the Local Plan being delivered. HRA evidence received.



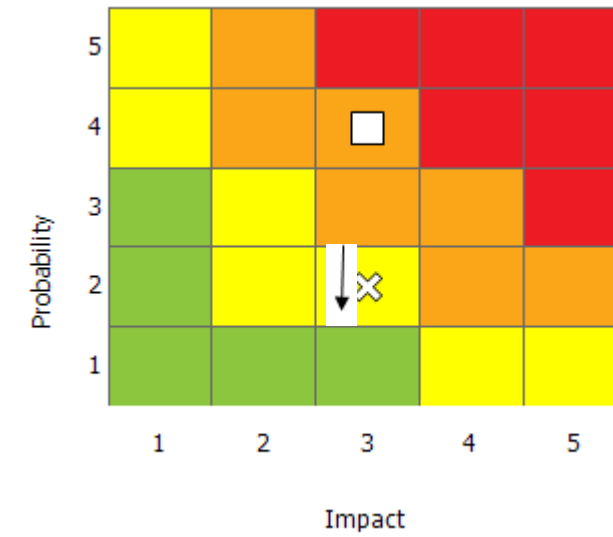
[] Inherent
 [X] Residual
 Impact

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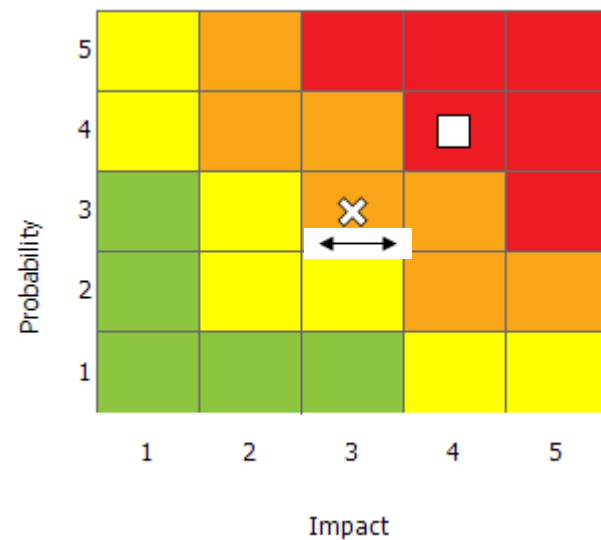
07. Development Management
 Owner: Tim Slaney
 Description of Impact of Risk: Lack of capacity to manage development management function effectively results in unwanted developments not enforced against , lack of consistency , delayed decision making or an increase in planning appeals/inquiries. Significant 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



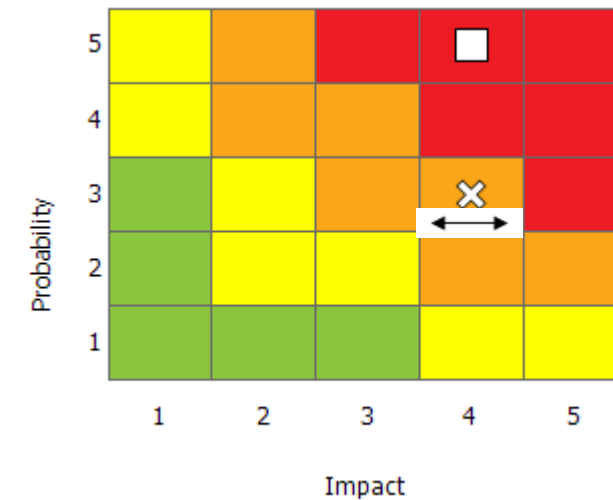
09. Partnership Management Plan
 Owner: Andrew Lee
 Description of Impact of Risk: The objectives and activities in the NPMP are not delivered due to lack of alignment with business plans of other organisations, lack of resources from partners, our resources to deliver the plan are reduced and focussed 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 . timing of PMP review is aligned with partners business planning 6. involve SDP in review of PMP and State of the Park report. Increased project fund available due to Defra Settlement. Task and Finish Group established to take forward PMP review and prioritisation exercise and report to committee/NPA. Budget scenarios being developed
 Updates: Mitigations updated



12. Awareness and Favourability
 Probability: 4
 Impact: 3
 Description of Impact of Risk: 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
 Mitigations: 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. Risks arising from Brexit identified and under continual review. Mitigations in place - partnership approach to addressing risks developed

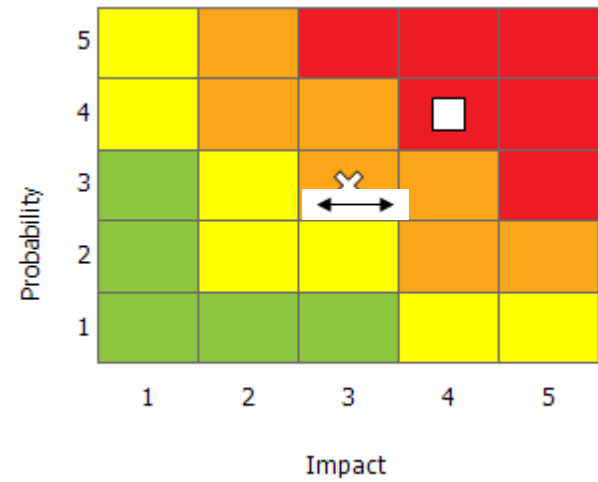


13. Partner expectations
 Owner: Andrew Lee
 Description of Impact of Risk: Expectations on the Authority are unrealistic as public sector and other partners reduce activity and/or cut back resources in the National Park. Which results in a reduction in capacity to deliver PMP outcomes. PMP under review. Review process has built in partner engagement Strong continuous dialogue with relevant partners, clarity around our legal obligations and requirements, ongoing communications work around managing public expectations. Involving partners in the review of the PMP, particularly as we move into Brexit negotiations. Natural England to align its South Downs work programme with the PMP Encourage private investment into the National Park eg: PES and carbon trading. Advance preparations to address risks arising from Brexit including Future of farming work and liaison with partners and central government See also mitigations for the Brexit risk.
 Mitigations: Mitigations updated. Five-year delivery plans for eight areas of work being developed with Walking & Cycling, Landscape & Biodiversity front runners. Dialogue with CEOs of Water Companies about increasing investment into NP catchments and chalk aquifer. Working with NGO "Lawton Group" to encourage closer joint working between five national
 Updates: Mitigations updated

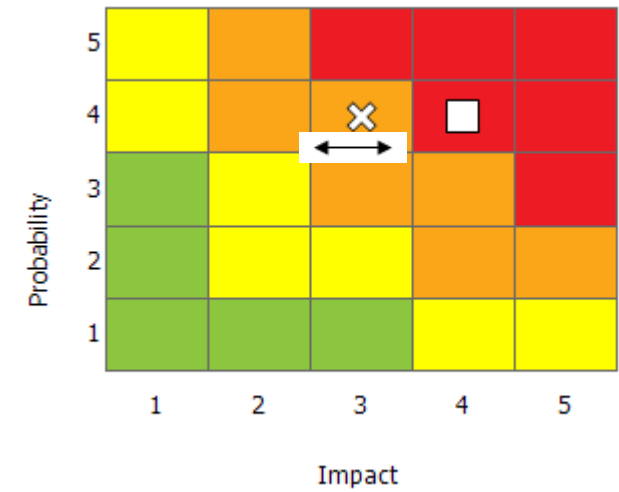


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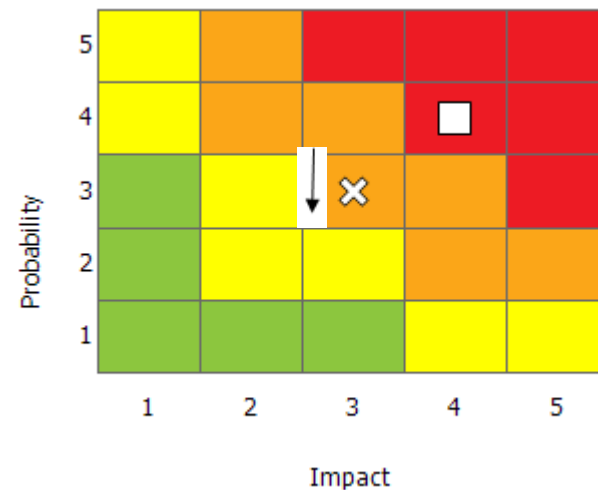
16. Staffing
 Owner: Trevor Beattie
 Description of Impact of Risk: Inability to attract/retain key staff impacts upon the organisation's service delivery. High staff turnover results in inefficiency across the organisation
 Mitigations: New pay structure and terms and conditions post restructure, Training 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)
 Updates: Staff Survey planned for 2018



17. Brexit Transition
 Owner: Andrew Lee
 Description of Impact of Risk: Defra funding for SDNPA and National Park family under pressure as department takes on multiple priorities to develop post-CAP support package and repatriate complex basket of EU environment legislation. Level of protection for sites within NP weakened. Land managers suffer loss of income from CAP Pillar 1 leading to undesirable changes in landscape management and increased pressure on our planning function due to rush to diversify income.
 Mitigations: Creation of Members' Group on European Exit and officer led group on Future of Farming, each mirroring NPE structures. Brexit fund allocated in SDNPA budget. Close liaison between NPE and Defra Ministers and officials, Natural England etc and NPE position statement lodged with Defra pre-election. Strong joint working between SDNPA and agencies, landowners, environmental NGOs, NFU and CLA in area.
 Updates: NPE meeting Defra Officials and Secretary of State for further discussions .

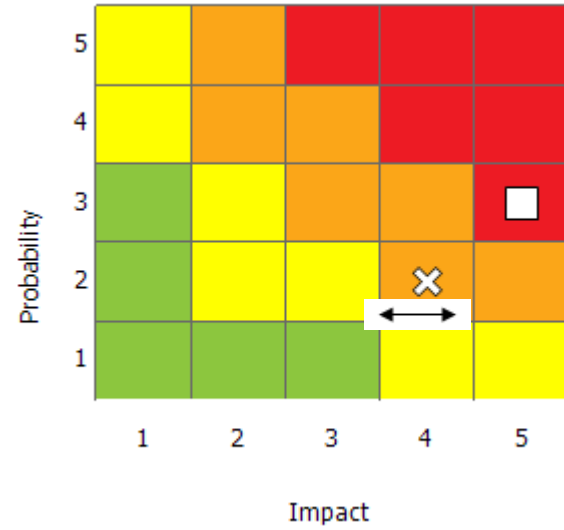


18. Projects
 Owner: Andrew Lee
 Description of Impact of Risk: Project resources not optimised and opportunities to undertake projects are missed. Insufficient skills and capacity in the organisation to effectively develop, manage and deliver high quality projects. Opportunities to develop and deliver 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. Additional project management resource recruited.
 Updates: mitigations updated to reflect additional resource being recruited.



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19. Pensions Fund
Owner: Alan Brough
Description of Impact of Risk: The Pension fund deficit increases to an extent that significant additional contributions from the revenue budget are required. This diverts spending away from delivery of NP purposes and corporate priorities and has the potential to destabilise the financial position of the authority. Staff structure is negatively impacted as the cost of employment increases, resulting in fewer staff to deliver outcomes.
 3 year actuarial assessments are undertaken and reported through fund managers (WSCC). Relatively early warning of predicted growing or unsustainable pension deficits would therefore be available and would provide time for effective financial planning and risk management at both local and national levels depending on causes, severity and national prevalence. The Pensions scheme is managed regulated nationally through LGPS with ability to unilaterally amend contributions and benefits paid though the scheme through legislation. Locally, the West Sussex scheme is merging with other schemes to reduce administrative costs and improve resilience to market fluctuations. Gov't ability to legislate to close or replace the scheme in extreme circumstances but this would be likely to invite legal and/or other challenge. Annual reporting to P&R committee. Also see mitigations related to other financial risks included in the register
Mitigations:
Updates: new risk added following discussion at P&R committee July 17



20. Business Continuity Planning and Organisational Resilience
Owner: Trevor Beattie
Description of Impact of Risk: Lack of organisational business continuity planning and organisational resilience may prevent delivery of key services in the event of a major incident, or as a result of the loss of key staff.
 BCP for Key buildings in place. Business Critical functions identified and planned for.
 IT Disaster Recovery plans in place and tested annually. Key staff roles identified in BCP and communicated. 6 monthly review and annual testing of the plan in place Potential single points of failure in organisation identified and mitigations in place including documenting of key processes
Mitigations: Specific implications of IT provision addressed through day to day IT support functions being provided via outsourced contracts meaning that user support would not be immediately impacted by the departure or absence of the IT Strategy Manager. IT network and key systems delivered externally via contracts. Network Resilience and continuity issues have also been addressed via the IT contracts.
 Linked to mitigations of risk 16 related to staffing.
Updates: New risk added after discussion at OMT 09 October 2017. Eastern area office at Stanmer APRk now condemned as unfit for use, alternatives being identified.

