

Report to	<b>Policy and Resources Committee</b>
Date	<b>21 November 2017</b>
By	<b>Head of Governance</b>
Title of Report	<b>Corporate Risk Register</b>

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

**1) Note the Corporate Risk Register as at November 2017**

**1. Summary and Background**

- 1.1 The Policy and Resources Committee has terms of reference which include "... to ensure the robustness of risk management and performance management arrangements; and to agree the Internal Audit Plan and Annual Report and receive progress and other relevant internal audit reports."
- 1.2 Corporate Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved. It includes the systems and processes, and cultures and values, by which public bodies are directed and controlled and through which they account to and engage with their partners, communities and citizens.
- 1.3 Risk management is a key aspect of corporate governance and is one of the 7 principles in the 'Delivering Good Governance in Local Government Framework (2016)' developed by CIPFA and SOLACE<sup>1</sup> to help public bodies make open, transparent and better informed decisions that take full account of risk and opportunities.
- 1.4 The Corporate Risk Register is to be reported to each meeting of the Committee. From June 2016 the corporate risk register has been monitored by the organisation's Operational Management Team on a monthly basis and issues escalated to SMT as required.

**2. The Corporate Risk Register**

- 2.1 **Appendix 2** shows the risk register in a graphical way which allows Members to see, at a glance, the likelihood and impact of risks.
- 2.2 Changes to the risks included on the register are set out in the register at **Appendix 2**.
- 2.3 Significant changes are set out below for Members' information:
  - Risk 8&15 have been removed from the register and replaced with a new risk (risk 20). This new risk, titled "Business Continuity Planning and Organisational Resilience" brings together the issues and mitigations identified by the previous two risks and is connected to risk 16 (staffing). A recent Audit of the organisations Business Continuity Planning arrangements gave substantial assurance and this is reflected in the revised scoring for this risk.
  - Risk 2 has been updated to reflect the discussions held at the Member budget workshop, particularly in relation to scenario planning for possible changes to the DEFRA settlement. The scores for this risk remain unaltered at this time but will be kept under review as the budget process is undertaken.

<sup>1</sup> Chartered Institute of Public Finance & Accountancy and Society of Local Authority Chief Executives & Senior Managers

- Risk 9 has been updated to include the creation of the PMP review Task and Finish Group as a mitigation to this risk. The scores for this risk remain unaltered.
- Risk 18 has been updated to include the employment of additional project resource in the mitigations of this risk. The scores for this risk remain unaltered.

2.4 Updates to mitigations and actions, where identified, across all risks are documented in **Appendix 2** to this report.

### 3. Conclusion

3.1 Members are asked to consider and note the risk register.

3.2 The Committee will receive a further update of the risk register at its next meeting.

### 4. Other Implications

Implication	Yes/No
Will further decisions be required by another committee/full authority?	No
Does the proposal raise any Resource implications?	There are no additional resource requirements arising directly from this report. Any additional resources required for the delivery of identified mitigations will be subject to the Authority's usual decision making requirements.
How does the proposal represent Value for Money?	Effective risk management contributes to the efficient running of the organisation.
Are there any Social Value implications arising from the proposal?	No
Has due regard been taken of the South Downs National Park Authority's equality duty as contained within the Equality Act 2010?	There are no equalities implications arising from this report. Actions and mitigations are subject to an EQIA where this is appropriate.
Are there any Human Rights implications arising from the proposal?	There are no implications arising from this report.
Are there any Crime & Disorder implications arising from the proposal?	There are no implications arising from this report.
Are there any Health & Safety implications arising from the proposal?	There are no implications arising from this report.
Are there any Sustainability implications based on the 5 principles set out in the SDNPA Sustainability Strategy?	Effective risk management contributes to the principle of promoting good governance

### 5. Risks Associated with the Proposed Decision

5.1 There are no direct risks arising from this report. The report outlines the current major risks facing the Authority and how they will be mitigated.

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Appendices: 1. Explanatory Information  
2. Corporate Risk Register

SDNPA Consultees: Chief Executive Officer, Director of Countryside Policy & Management ,  
Director of Planning, Chief Finance Officer, Monitoring Officer

Background Documents: Previous Committee reports

**Explanatory Information for Risk Register:**

<b>Description</b>	<b>Likelihood of Occurrence</b>
<b>Almost Certain (5)</b>	The event is expected to occur in most circumstances.
<b>Likely (4)</b>	There is a strong possibility the event will occur.
<b>Possible (3)</b>	The event might occur at some time
<b>Unlikely (2)</b>	Not expected, but a slight possibility
<b>Rare (1)</b>	Highly unlikely. It could happen but probably never will

<b>Category</b>	<b>Example Descriptor of Impact</b>
<b>Insignificant (1)</b>	Basic first aid required, less than £100 financial impact, reputation remains intact.
<b>Minor (2)</b>	Short term injury to 1 or 2 people, minor localised disruption lasting less than 24 hours, between £100-£1000, minimal reputation impact.
<b>Moderate (3)</b>	Semi-permanent disability, affects between 3-50 people, high potential for complaints, financial burden between £1,000 and £10,000, litigation possible.
<b>Major (4)</b>	Causing death serious injury or permanent disability. Service closure for up to 1 week, significant financial burden, national adverse publicity, litigation expected.
<b>Catastrophic (5)</b>	Multiple deaths, Financial burden over £100,000, international adverse publicity, widespread displacement of people (over 500), complaints and litigation certain.

**SDNPA Risk Appetite Statement:**

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.