

□ = Inherent risk ( Risk before any action is taken)

✕ = Residual Risk ( Risk after mitigations in place)

## Corporate Risk Register

### 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 operating and receiving regular accident reporting. 5. Health and Safety policy in place. 6. All area offices regularly audited. 7. Annual report to P&R Committee with recommendations. 8. Members and SMT trained and briefed on H&S responsibilities. 9. All risk assessments reviewed and updated. 10. Additional health and safety related training provided via e-learning—fire safety and health and safety delivered as mandatory courses. 11. IOSH training completed by all H&S reps. 12. Lone working policy agreed by OMT.

**Updates** The key recommendation from an external H&S audit carried out in 2018 was to increase our internal H&S resource. We now have a part-time NEBOSH trained H&S Advisor working within the HR team and alongside the external H&S consultant.

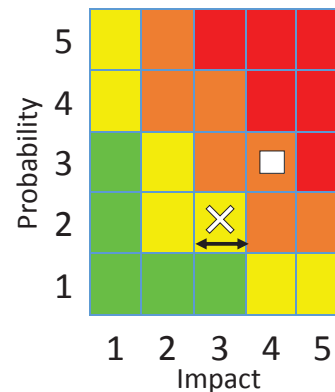
### 02. Finance and budgets

**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; Management plan suffers and SDNPA lacks capacity to support other work. Resources not available to deliver on all priorities.

**Mitigations:** 1. Sufficient flexibility within revenue budget to enable shortfall to be at least partly managed. 2. Sufficient reserves to enable residual shortfall to be managed in short term whilst budget adjusted. 3. Income Generation activity underway (see risk 22) to provide potential to raise income to meet shortfall. 4. Effective planning and approach to the Budget setting process. 5. Monthly budget monitoring undertaken by managers and OMT, enables identification of areas of potential overspend and compensating savings.

**Updates :** 2019/20 budget agreed in March 2019. Out turn position including positive budget variation presented to P&R in June, along with carry forward requests and allocations to reserves.



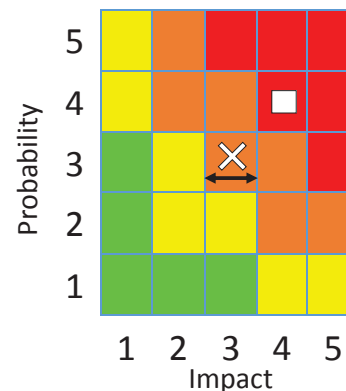
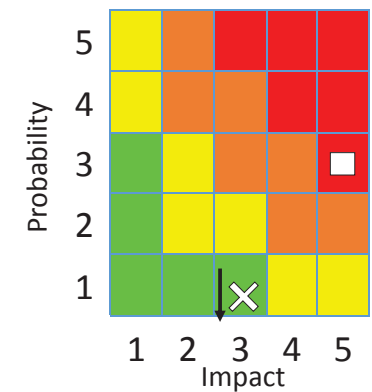
### 06. Local Plan

**Owner:** Tim Slaney

**Description of impact of risk:** 1. Inspector finds plan is not sound or legally compliant—this would result in the process to develop the plan needing to be restarted, new evidence collected. 2. Inspector makes major modifications to the plan which are unacceptable to Members, and members not adopting the plan. 3. The plan is subject to a successful judicial review that results in the partial or total quashing of the plan.

**Mitigations:** Statements of common ground with objectors developed. Meetings with Wealden DC and other affected authorities to progress issues in relation to Ashdown forest. Advice procured and QC instructed to speak at examination. Positive and constructive engagement with PINS to manage the process. Positive performance and feedback at inquiry.

**Updates:** updated probability score in light of inspector comments. Local Plan is expected to be presented to NPA in July for final approval.



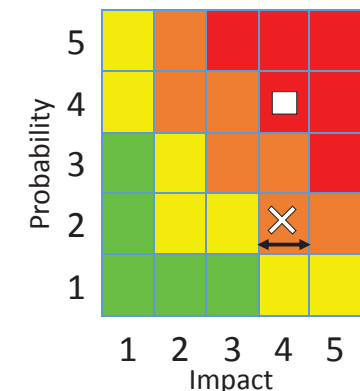
### 07. Development Management

**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 reputation damage and loss of confidence in the planning functions of the Authority.

**Mitigations:** 1. recruitment and retention practices. 2. Staff pay and benefits scheme. 3. Planning reserve in place. 4. training provided to host authority's. 5. s101 agreements in place.

**Updates:** Local plan training being delivered.



## Corporate Risk Register

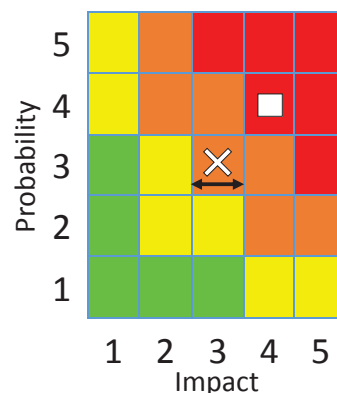
### 16. Staffing

**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 restructuring, 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 action plan being delivered



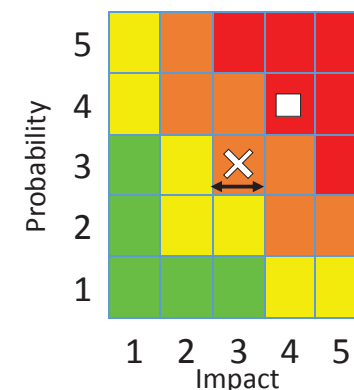
### 18. Projects

**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. Project Manager is now in post and is undertaking a review of process and guidance and will recommend improvements where needed.

**Updates:** New system training being rolled out to staff and members



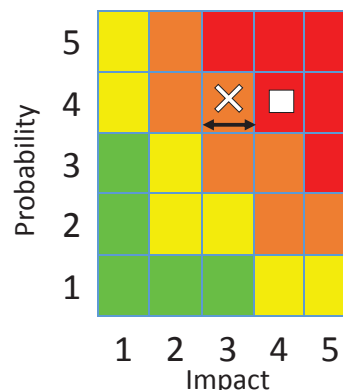
### 17. Brexit Transition

**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:** Future of farming pilot scheme work underway



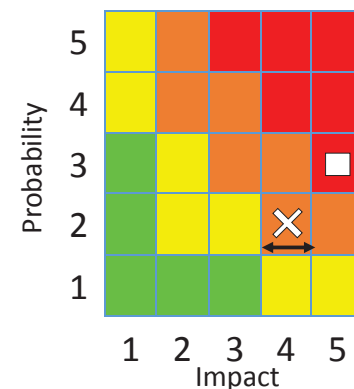
### 19. Pensions Fund

**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.

**Mitigations:** 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 through 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.

**Updates:** None



## Corporate Risk Register

### 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.

**Mitigations:** BCP in place. Business Critical functions identified and planned for. BCP reviewed and tested annual. IT Disaster Recovery plans in place and tested annual. 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. 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** Review of BCP undertaken and plan updated .

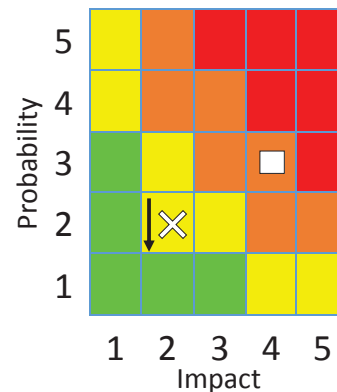
### 21. Delivery and Reputation .

**Owner:** Andrew Lee

**Description of impact of risk:** failure to deliver key projects or NPMP outcomes and objectives due lack of resources, unrealistic expectations or alignment with partner business plans results in SDNPA reputation and influence with decision makers, partners and other stakeholders being negatively impacted.

**Mitigations:** 1 Close engagement and strong continuous dialogue with partners on ongoing basis, including meetings with the SDP to build support for NPMP2.Income generation activity 3. Public affairs strategy and proactive comms managing public expectations to ,4. Clarity around our legal obligations and requirements, 5. Member task and finish group established to lead NPMP review, includes partners and wider engagement6. Robust project processes in place including enhanced project resources. 7. Review of project governance underway. Project evaluation and lessons learnt reported to committee 8. Potential Brexit transition implications identified as specific risk and task and finish group established to monitor potential impacts on the SDNPA esp future of farming9. Increased project fund due to Defra 4 year settlement 10.Engagement with Lawton Group to encourage closer working between national NGO's operating within the NP 11. Work underway to encourage private investment into the National Park e.g.: Payment for Eco System Services and carbon trading 12. 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 13. Natural England to align its South Downs work programme with the PMP

**Updates:** High-level meetings with CEO's of key partners taken place, new PMP initiatives with NE (Kingley Vale) FC( extension of woodland advice) , wsc (verge management ) and HCC



### 22. Income Generation

**Owner:** Trevor Beattie

**Description of impact of risk:** Insufficient income generation opportunities are identified to generate significant income to support NPA budgets. Insufficient skills /experience "in house" to exploit potential income generating opportunities. Challenge to commercial activity results in additional costs or reputational damage to the Authority.

**Mitigations:** 1. Governance framework for consideration of SDNPA powers in relation to commercial/income generation activity developed. 2. EITFG terms of reference amended to provide a role in reviewing income generation/commercialisation opportunities. 3. Independent consultants commissioned to identify opportunities within the National Park and outline initial business cases . 4. Sufficient reserves held to enable recruitment of staff with necessary skill set if required.

**Updates:** NPA supported decision to acquire seven sisters country park ( June 2019 ). Role of EITFG being considered in June 2019 and a paper will be presented to P&R in July

