

**Agenda Item 15**  
**Report PR20/21-45**

Report to	<b>Policy &amp; Resources Committee</b>
Date	<b>29 April 2021</b>
By	<b>Head of Governance &amp; Support Services</b>
Title of Report <b>(Note)</b>	<b>Corporate Risk Register</b>

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

**1) Note the Corporate Risk Register as at April 2021**

**1. Introduction**

- 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 The Corporate Risk Register is reported to each meeting of the Committee. The register is regularly monitored by the organisation's Operational Management Team and issues escalated to Senior Management Team (SMT) as required.
- 1.3 At its meeting in September 2019 the Committee approved a new Risk Management Policy and Guidance document which has since been communicated across the Authority.

**2. Policy Context.**

- 2.1 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.
- 2.2 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.

**3. Issues for consideration**

- 3.1 **Appendix 2** shows the risk register in a graphical way which allows Members to see, at a glance, the likelihood and impact of risks. Explanatory information is provided at **Appendix I** to this report.
- 3.2 As previously advised the Corporate Risk Register has been reviewed in light of a refresh of the Countryside and Policy Management Directorate Risk Register and it is felt that the significant risks identified, are already sufficiently reflected across the Risk Registers and therefore no changes are required as a result of this refresh . .

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

- 3.3 **Risk 17 (previously Brexit transition now Legislative Impact post Brexit)** has been reviewed and amended to focus upon the new legislative framework post Brexit and its possible implications for the NPA to be able to deliver its priorities and programme. This risk has been rescored to reflect the new nature of this risk.
- 3.4 **Risk 2 (Finance and Budgets)** has been updated and rescored to take into account the recent flat cash settlement received from Defra. This risk is now red and will be closely monitored by SMT to ensure the mitigations previously identified are still relevant and to identify any additional mitigations to help address this risk.
- 3.5 **Risks 18 and 24 (Project management - Internal and Major Infrastructure projects)** has been moved to the relevant Directorate Risk Registers as these have been scored sufficiently low for a period of time to allow them to be monitored at a more operational level.
- 3.6 The creation of the South Downs Partnership has been added to the mitigations for **Risk 21 (Projects - External facing)** as a significant mitigation against this risk.
- 3.7 A new **Risk 25 (Government Response to Landscape Review)** has been added to the register to reflect the expected ministerial announcement on the Government's response to Glover and possible creation of a National Landscape Service. This risk will be reviewed and updated following the announcement – which is expected in May. This risk has been scored as red and will be closely monitored by SMT to ensure the mitigations identified are still relevant and to identify any additional mitigations to help address this risk.
- 3.8 Updates to mitigations and actions, where identified, across all risks are documented in **Appendix 2** to this report.
- 4. Options & cost implications**
- 4.1 Members are asked to comment upon and note the Corporate Risk Register.
- 4.2 Management of risk is a key aspect of the organisation's governance and is undertaken within existing corporate budgets.
- 5. Next steps**
- 5.1 Further updates on the Corporate Risk Register will be brought to future meetings of the Committee.
- 6. 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 Equalities Impact Assessment 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 Data Protection implications?	There are none
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

## **7. Risks Associated with the Proposed Decision**

- 7.1 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.

### **ROBIN PARR**

**Head of Governance**

**South Downs National Park Authority**

Contact Officer: Robin Parr, Head of Governance

Tel: 01730 819207

email: [robin.parr@southdowns.gov.uk](mailto:robin.parr@southdowns.gov.uk)

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 limited 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. The Authority accepts that risk is ever present and is generally only willing to accept low levels of risk as part of its day to day business and in relation to its reputation. The Authority will normally only consider options where the level of risk can be managed to a low degree. However, the Authority may be willing to consider a higher level risk where it has the opportunity to be innovative in relation to its service delivery.

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

⊗ = Residual Risk ( Risk after mitigations in place)

## Corporate Risk Register

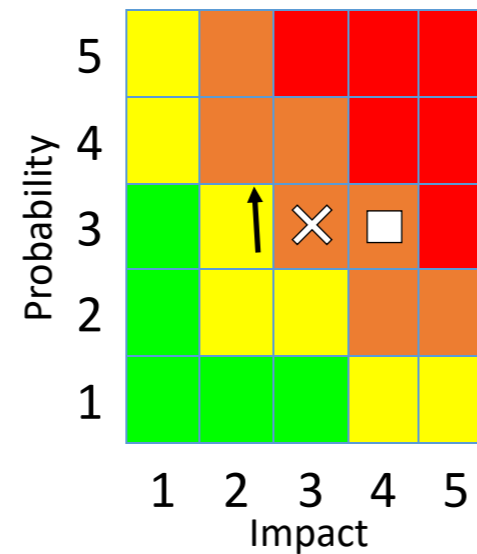
### 01. Health and safety

**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. Impacts of Covid Pandemic.

**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. 13 internal health safety advisor in place to support existing contact. Risk registers and new procedure in place to support arrangements to recover from pandemic

**Updates:** risk assessments and new procedures developed for Covid pandemic. Staff welfare survey undertaken and results presented to management for action to develop post Covid recovery action plan. Mental health added to risk 16



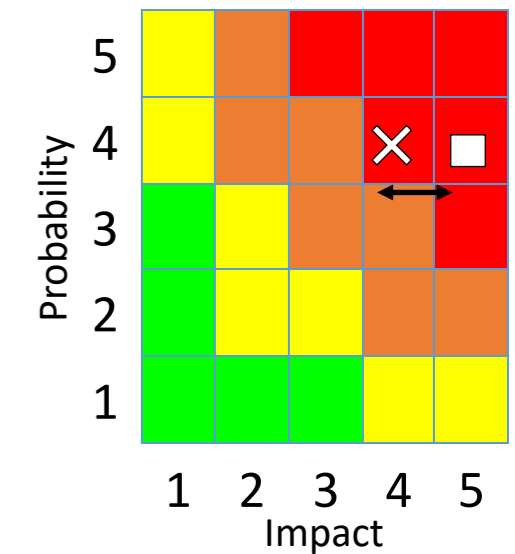
### 25. Government response to Landscape Review

**Owner:** Trevor Beattie

**Description of impact of risk:** A lack of clarity in the expected Ministerial Statement on the response to the Landscape review and including the potential establishment of a National Landscape service causes uncertainty in the operation and delivery of the Authority's outcomes.

**Mitigations:** 1. Close Working with Defra Officials to inform decision making within Government. 2 Development of a joint approach through National Parks England 3. Close association with AONBs nationally and locally to share analysis and impact 4. Delivery of glover outcomes built into existing work programmes,

**Updates:** new risk added April 2021



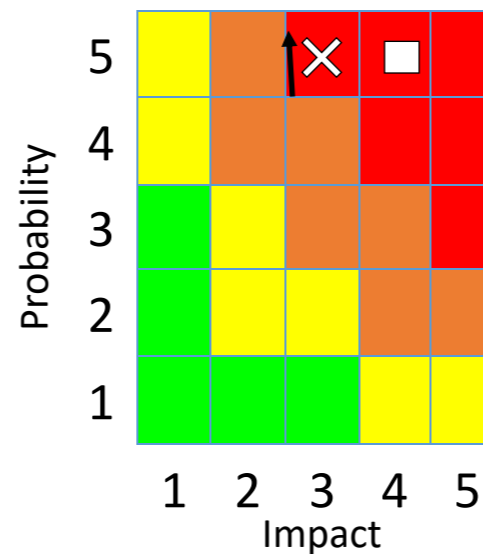
### 02. Finance and budgets

**Owner:** Trevor Beattie

**Description of impact of risk:** Budgets insufficient or budgets become insufficient due to a failure of the Defra grant to increase in real terms 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 and sufficient reserves to enable residual shortfall to be managed in short term whilst Medium Term budget adjusted .. Income Generation activity underway (see risk 22) to provide potential to raise income . Effective and early planning through member workshops to redefine MTFP process and approach to Budget setting . Monthly budget monitoring undertaken by managers and OMT, enables identification of areas of potential overspend and compensating savings. Work underway to encourage private investment into the National Park e.g.: Payment for Eco System Services and carbon trading

**Updates :** 21/22 budget approved by NPA in March . 1 year Flat cash settlement from Govt . Grant settlement letter explains NPA expected to do more with reduction in real term resourcing



### 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 6 . Planning performance data reported to P&R committee and appeals info reported to Planning Committee 7. Use of planning consultants as appropriate

**Updates:** Current vacancies and turn over stable at a manageable level

