

Appendix 2: Corporate Risk Register 2014/15, Q4

|                   |               |  |   |  |
|-------------------|---------------|--|---|--|
| <b>IMPACT</b>     | <b>High</b>   | 5. Update information management strategy (no movement over year)<br><br>7. Finance incorporated into capital investment proposals ← |   | 6. Align strategic plans to skills/ capacity (no movement over year) |
|                   | <b>Medium</b> | 8. Manage external funding for delivery  | 1. Agri-environment scheme take up (no movement over year)<br><br>2. Ownership planning policies and decisions ↓<br><br>9. Property portfolio financial targets ↓ |  |
|                   | <b>Low</b>    | 4. Deliver balanced budget 15/16 ↓<br><br>10. Meet trading income targets ←  |   |  |
|                   |               | <b>Low</b>   | <b>Medium</b>   | <b>High</b>  |
| <b>LIKELIHOOD</b> |               |  |   |  |

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### **Corporate Risk Register: list of risks**

1. Lower take up of agri-environment schemes due to uncertainty with regard to the details of the CAP reform and risk of reduced funding, with considerable impact on National Park purposes (carried over from 2013/14).
2. Failure to obtain ownership of policies and decisions (carried over from 2013/14 but updated).
3. Failure to maximise the opportunities for the Peak District of the Tour de France (carried over from 2013/14). Q2: REMOVE FROM REGISTER
4. Failure to make and deliver an effective plan for achieving a structurally balanced budget for 2015/16.
5. Failure to develop updated Information Management strategy to support delivering new business plan from 2015/16.
6. Failure to align strategic plans with capacity and skills at senior level.
7. Failure to ensure robust financial analysis and financial objectives in the assessment of significant capital investment proposals.
8. Failure to effectively manage external funding to deliver on our Corporate Objectives.
9. a) Failure to realise the 2014/15 financial targets for our property portfolio.  
b) Failure to agree on financial targets for the property portfolio longer term.
10. Failure to meet trading income targets, in particular cycle hire (carried over from 2013/14 but updated).

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| Corp. Obj | Risk Description  | Existing controls   | Risk before mitigation                                 | Additional mitigating action | Risk rating with mitigating action LxI (expressed as Green, Amber or Red) |       |       |       |       |       | Timeframe of action | Lead officer | How monitor/indicator  | Quarterly update   |
|-----------|---|---|--|------------------------------|---|-------|-------|-------|-------|-------|---------------------|--------------|--|--|
|           |   |   |  |                              | Start   | Q1    | Q2    | Q3    | Q4    |       |                     |              |  |  |
| 2         | 1. Lower take up of agri-environment schemes due to uncertainty with regard to the details of CAP reform and risk of reduced funding, with considerable impact on National Park purposes. (carried over from 2013/14) | a) Protected staff resource and budget<br>b) continued one-to-one negotiations with farmers and landowners<br>c) agreed joint prioritisation of cases with NE<br>d) Availability of National Park Grant Scheme<br>e) Input to national discussions on development and delivery. | Impact: Med<br><br>Likelihood: Med<br><br><b>AMBER</b> |                              | Impact  | Med   | Med   | Med   | Med   | Med   | January 2016        | JC           | % of land in agri environment schemes (note: only available half yearly) | The risk has been effectively managed through existing controls. The new Rural Development programme has been approved by Europe. The implications are a likely reduction in availability and take up of schemes.<br><b>REMOVE FROM REGISTER AND MANAGE AT SERVICE LEVEL</b> |
|           |   |   |  |                              | Likelihood  | Med   | Med   | Med   | Med   | Med   |                     |              |  |  |
|           |   |   |  |                              | Rating  | AMBER | AMBER | AMBER | AMBER | AMBER |                     |              |  |  |

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|-------------------|--|--|--|--|---|------|------|------|------|-----|----------------------|--------------|---|--|
|                   |  |  |  |  | Start   | Q1   | Q2   | Q3   | Q4   |     |                      |              |   |  |
| 3.                | 2. Failure to obtain ownership of policies and decisions. (carried over from 2013/14 – updated risk) | a) Annual Member Planning training<br>b) Engagement with key stakeholders<br>c) Parish bulletins<br>d) Parish meetings | Impact: High<br><br>Likelihood: Medium<br><br><b>AMBER</b> | Implement actions in the Planning Action Plan<br>UPDATE Q2: Where necessary, decisions are referred to a subsequent committee for review<br>Q3: Extra planning training introduced as part of new member induction | <b>Impact</b>   | High | High | High | High | Med | March 2015           | JRS          | Annual Monitoring Report<br><br>NEW: Review of decisions contrary to officer recommendation.<br><br>UPDATE: Monitoring of appeals | Continued good performance on appeals. In Committee, officer recommendations have generally been supported and, where not, clear policy reasons for the alternative view have been given.<br><b>REMOVE FROM REGISTER AND MANAGE AT SERVICE LEVEL</b> |
| <b>Likelihood</b> | Med  | Med  | Med  | Med  | Med   |      |      |      |      |     |                      |              |   |  |
| <b>Rating</b>     | <b>AMBER</b>   | <b>AMBER</b>   | <b>AMBER</b>   | <b>AMBER</b>   | <b>AMBER</b>  |      |      |      |      |     |                      |              |   |  |

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|-----------|---|---------------------------|--|--|--|--------------|-----|----------------------|----|----|----------------------|--------------|--------------------------------|---|
|           |   |                           |  |  |  | Start        | Q1  | Q2                   | Q3 | Q4 |                      |              |                                |   |
| 9         | 3. Failure to maximise the opportunities for the Peak District of the Tour de France. (carried over from 2013/14) | a) Internal working group | Impact: Low<br><br>Likelihood: Med<br><br><b>GREEN</b> | a)Attendance at marketing and strategic meetings by appropriate staff<br>b)Extensive programme of activities assembled to help maximise benefits from TdF, attracting further funding from LEP etc | <b>Impact</b>  | Low          | Low | REMOVE FROM REGISTER |    |    | July 2014            | RG           | Through internal project group | <b>REMOVE FROM REGISTER AND MANAGE AT SERVICE LEVEL</b> |
|           |   |                           |  | <b>Likelihood</b>  | Med  | Med          |     |                      |    |    |                      |              |                                |   |
|           |   |                           |  | <b>Rating</b>  | <b>GREEN</b>   | <b>GREEN</b> |     |                      |    |    |                      |              |                                |   |

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|-----------|---|--|--|--|--|--------------|--------------|--------------|--------------|-----|-------------------------------|--------------|--|---|
|           |   |  |  |  |  | Start        | Q1           | Q2           | Q3           | Q4  |                               |              |  |   |
| 11        | 4. Failure to make and deliver an effective plan for achieving a structurally balanced budget for 2015/16 | a)Timetable for budget planning<br>b)Enterprise+ Board Integrated<br>c)Property Board<br>d)Updated External Funding strategy | Impact:<br>High<br><br>Likelihood:<br>High<br><br><b>RED</b> | a) Business plans being produced for key areas out of enterprise+ and integrated property work programmes<br>b) RMT discussions in May and June<br>c) member workshop 20 June<br>b) prioritisation of work | <b>Impact</b>  | High         | High         | High         | Med          | Low | By December Authority meeting | RMM          | RMT<br><br>Autumn workshops with members | Settlement was as expected.<br><b>RISK UPDATED AND GOING FORWARD TO 2015/16 RISK REGISTER</b> |
|           |   |  |  | <b>Likelihood</b>  | Med  | Med          | Low          | Low          | Low          |     |                               |              |  |   |
|           |   |  |  | <b>Rating</b>  | <b>AMBER</b>   | <b>AMBER</b> | <b>AMBER</b> | <b>GREEN</b> | <b>GREEN</b> |     |                               |              |  |   |



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|-----------|---|-----------------------------------|---|--|--|-------|------|------|------|------|----------------------|--------------|---------------------------|--|
|           |   |                                   |   |  |  | Start | Q1   | Q2   | Q3   | Q4   |                      |              |                           |  |
| 11.       | 6. Failure to align strategic plans with capacity and skills at senior level. | Leadership development programme. | Impact: High<br><br>Likelihood: High<br><br>RED | Members' workshop.<br><br>Corporate Business Plan development including prioritisation.<br><br>Continued organisational development. | Impact   | High  | High | High | High | High | March 2015           | SF           | Strategic Management Team | Working with the Leadership Team to develop our focus for 2015/16. Two half day leadership sessions undertaken in March have identified 4 cornerstones for strategic planning; one scheduled for April will focus on ensuring appropriate skills and voices at a senior level.<br><b>RISK UPDATED AND GOING FORWARD TO 2015/16 RISK REGISTER</b> |
|           |   |                                   |   | Likelihood   | High   | High  | High | High | High |      |                      |              |                           |  |
|           |   |                                   |   | Rating   | RED  | RED   | RED  | RED  | RED  |      |                      |              |                           |  |



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|-----------|---|------------------------------|--|---|--|--------|--------|--------|--------|-------|---------------------|--------------|-----------------------|--|
|           |   |                              |  |   |  | Start  | Q1     | Q2     | Q3     | Q4    |                     |              |                       |  |
| 11        | 7. Failure to ensure robust financial analysis and financial objectives in the assessment of significant capital investment proposals | RMT<br><br>Committee reports | Impact<br>HIGH<br><br>Likelihood<br>MED<br><br>AMBER | a)Appropriate decision making appraisals;<br>b)appropriate business cases;<br>c)contingencies and sensitivity analysis;<br>d)in depth testing of income assumptions | Impact   | High   | High   | High   | High   | High  | March 2015          | RMM          | RMT                   | Not yet considered a significant capital investment proposal for a higher risk case.<br><b>TAKE FORWARD TO 2015/16</b> |
|           |   |                              |  |   | Likelihood   | Medium | Medium | Medium | Medium | Low   |                     |              |                       |  |
|           |   |                              |  |   | Rating   | AMBER  | AMBER  | AMBER  | AMBER  | AMBER |                     |              |                       |  |

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|-----------|--|---|---|---|--|-------|-------|-------|-------|-----|---------------------|--------------|-----------------------|--|
|           |  |   |   |   | Start  | Q1    | Q2    | Q3    | Q4    |     |                     |              |                       |  |
| 12.       | 8. Failure to effectively manage external funding to deliver on our Corporate Objectives | Accountability and resources have been identified. Experienced staff. | Impact: High<br><br>Likelihood: Medium<br><br>AMBER | External funding framework and protocol in place. Alignment to Corporate Business Plan. | Impact   | Med   | Med   | Med   | Med   | Med | March 2015          | RG           | RMT/SMT               | Our approach to external funding (strategy) will be considered at RMT in April and will be embedded in a wider fundraising programme during 2015/16. <b>REMOVE FROM REGISTER AND MANAGE AT SERVICE LEVEL</b> |
|           |  |   |   | Likelihood  | Med  | Med   | Med   | Low   | Low   |     |                     |              |                       |  |
|           |  |   |   | Rating  | AMBER  | AMBER | AMBER | GREEN | GREEN |     |                     |              |                       |  |

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|-----------|---|--|---|--|--|-------|------|------|-------|-------|---------------------|--------------|---------------------------|--|
|           |   |  |   |  |  | Start | Q1   | Q2   | Q3    | Q4    |                     |              |                           |  |
| 12        | 9a. Failure to realise the 2014/15 financial targets for our property portfolio.<br><br>9b. Failure to agree on financial targets for the property portfolio longer term. | Integrated Property Board set up to manage internally. | Impact: High<br><br>Likelihood: High<br><br>RED | Business plans being developed in key areas. | Impact   | High  | High | High | Med   | Med   | Mar 2015            | RG           | Integrated Property Board | a) Property cost analysis was taken to ARP in March, providing an understanding of financial targets across properties, as the basis for future monitoring.<br>b) ARP requested regular monitoring – performance against our Asset Management programme will be reported 1/4ly as part of our regular schedule of performance reporting.<br><b>RISK UPDATED AND GOING FORWARD TO 2015/16 RISK REGISTER</b> |
|           |   |  |   |  | Likelihood   | Med   | High | High | High  | Med   |                     |              |                           |  |
|           |   |  |   |  | Rating   | AMBER | RED  | RED  | AMBER | AMBER |                     |              |                           |  |

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|-------------------|--|--|--|--|--|-----|-----|-----|-----|-----|---------------------|--------------|--|---|
|                   |  |  |  |  | Start  | Q1  | Q2  | Q3  | Q4  |     |                     |              |  |   |
| 12                | 10. Failure to meet trading income targets, in particular cycle hire carried over from 2013/14 – updated risk) | a) Service plans in place<br>b) Weekly monitoring by managers<br>c) monthly monitoring by manager with Assistant Director<br>d) action plan agreed by ARP for cycle hire<br>e) Budget Monitoring Group | Impact: Medium<br><br>Likelihood: Medium<br><br><b>AMBER</b> | Reports requested from managers in key areas | <b>Impact</b>  | Med | Med | Med | Low | Low | March 2015          | MB           | Weekly and monthly monitoring by managers<br><br>Budget monitoring Group | Our performance has exceeded overall targets set.<br><br><b>RISK UPDATED AND GOING FORWARD TO 2015/16 RISK REGISTER</b> |
| <b>Likelihood</b> | Medium   | Medium   | Medium   | Medium                                       | Low  |     |     |     |     |     |                     |              |  |   |
| <b>Rating</b>     | <b>AMBER</b>   | <b>AMBER</b>   | <b>AMBER</b>   | <b>GREEN</b>                                 | <b>GREEN</b>   |     |     |     |     |     |                     |              |  |   |