

Appendix 3: Local Development Framework Risk Management Log

	Area of Uncertainty/Risk	Effect	Likelihood	Impact	Total Risk Score	Response / countermeasures
1	Secretary of State directs revision/change of LDS	<ul style="list-style-type: none"> Approval of LDS delayed. Causes slippage in overall LDF programme 	3	3	9 (low)	<ul style="list-style-type: none"> Close liaison with Government Office on emerging LDS
2	Constrained Council financial resources – insufficient budgetary provision to finance LDF project Rising Inspectorate fees are also noted	<ul style="list-style-type: none"> Work cannot be progressed Objectives on quality compromised 	2	4	8 (low)	<ul style="list-style-type: none"> A strong a case for setting an appropriate budget to deliver LDF and costs/budget kept under review. Use of HPDG for Service improvements. Expand partnership working to draw upon the skills and resources within other organisations Review LDS timetables where necessary
3	Lack of in-house skills for specialised areas of policy work/background studies	<ul style="list-style-type: none"> Slow progress causing a slippage in programme Evidence base challenged or undermined Quality compromised 	3	3	9 (low)	<ul style="list-style-type: none"> Obtain training for areas where expertise is lacking. Review the adequacy of staffing as part of annual service reviews. Expand partnership working In some cases it will be more efficient to engage consultants where specialist skills are required to short timescales and in-house development is unrealistic.
4.	Project Team required to do other unforeseen work	<ul style="list-style-type: none"> Diverts Team from LDF causing a slippage in 	2	2	4 (very low)	<ul style="list-style-type: none"> Make LDF a Corporate Priority Identify key staff to be 'shielded' from other work

		programme.				<ul style="list-style-type: none"> • Increase size of team
5.	Staff turnover and recruitment difficulties – Significant staff turnover would be expected over the LDS period and this could have a considerable impact.	<ul style="list-style-type: none"> • Reduced capacity causing slippage in programme or failure to prepare DPDs 	3	3	9 (low)	<ul style="list-style-type: none"> • Take prompt action to fill vacancies with staff with the required skills • Pay recruitment/ retention incentives • Where recruitment difficulties are encountered, consider interim arrangements such as temporary appointments, buying in consultants or secondment of staff.
6.	Staff absence e.g. long term sickness, maternity leave.	<ul style="list-style-type: none"> • Reduced capacity causing slippage in programme or failure to prepare DPDs 	3	2	6 (low)	<ul style="list-style-type: none"> • Consider interim arrangements such as temporary appointments, buying in agency staff or secondment of staff. • The adequacy of staffing levels will be evaluated through the monitoring of the preparation of the LDF.
7.	Joint working with other internal departments and / or external authorities causes delay	<ul style="list-style-type: none"> • Causes a slippage in programme 	3	4	12 (medium)	<ul style="list-style-type: none"> • Ensure that timescales for DPDs realistically reflect partner authorities ability to contribute to joint working • Ensure commitment to milestone dates and resource allocation is obtained from relevant parties in advance • Consider involvement mechanisms carefully, seeking to ensure stakeholders feel engagement is worthwhile. • Consider ways to help improve the ability of local stakeholders to get involved and where possible will look to achieve efficiencies by linking with

						Community Strategy processes for example.
8.	Volume of work greater than anticipated e.g. higher level of representations than expected	<ul style="list-style-type: none"> Causes slippage in programme. 	3	3	9 (low)	<ul style="list-style-type: none"> Ensure timetable is realistic but has some flexibility built in Monitor progress against LDS Consider additional resources
9	Planning Inspectorate unable to meet the timescale for examination and/or reporting	<ul style="list-style-type: none"> Examination and/or report is delayed Key milestones in programme not met 	3	3	9 (low)	<ul style="list-style-type: none"> Once the LDS is in place there is a Service Level Agreement with the Inspectorate regarding the proposed public examination dates in this Scheme. Close liaison with the Planning Inspectorate to ensure early warning of any problems (e.g. consultation on LDS)
10	Progress of RSS partial review – Although it is noted that the overall principles of RSS are unlikely to change, new local housing target figures, for example, will be set and the Core Strategy and Site Allocations DPDs will be expected to show conformity.	<ul style="list-style-type: none"> Additional work to comply with new policies or guidance causing slippage in programme 	4	3	12 (medium)	<ul style="list-style-type: none"> This concern is outside the Council's control. Where significant delays are encountered with RSS the Council will seek to build necessary flexibility into the Strategy.
11	Political delays – all key LDF preparation steps involve Member decisions. Reports also need to be prepared around a month before the date of decision.		3	2	6 (low)	<ul style="list-style-type: none"> lead-in-time to member decisions has been allowed for in all document timetables in this LDS Members involved in the LDF preparation process in order to provide ownership, leadership and commitment to future implementation

						<ul style="list-style-type: none"> It is proposed that quarterly performance against these indicators will be included in the Council's performance management framework.
12	DPD found unsound	<ul style="list-style-type: none"> DPD cannot be adopted without significant additional work 	1	5	5 (high)	<ul style="list-style-type: none"> Ensure DPDs are sound, founded on a robust evidence base with sustainability appraisal and well audited community and stakeholder engagement Keep in view best practice elsewhere. Obtain training for areas where expertise is lacking.
13	Legal Challenge – possibly arising from confusion during transition period	<ul style="list-style-type: none"> Adopted DPD quashed Additional workload 	2	4	8 (low)	<ul style="list-style-type: none"> Ensure procedures, Act, Regulations, etc, are complied with
14	Local Government Reorganisation (LGR)	<ul style="list-style-type: none"> Delay in resolving issues arising from new structures and procedures 	2	3	6 (medium)	<ul style="list-style-type: none"> Seek to maintain an LDF programme to ensure the required development plan coverage whatever the outcome.

Explanation of Risk Scoring

Likelihood (With current controls in place)

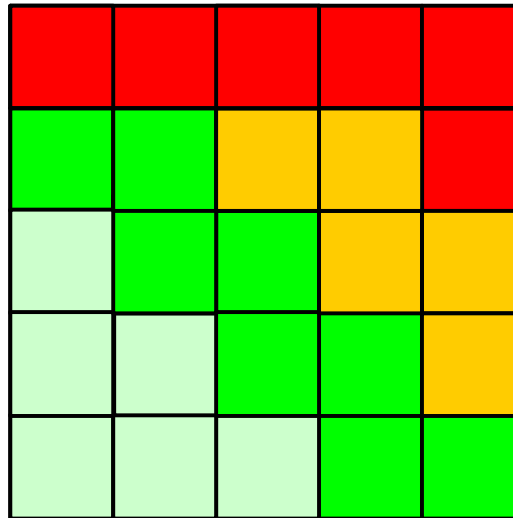
	Score		Definition
Very Low	1	Rare	May occur only in exceptional circumstances
Low	2	Possible	Risk may occur in the next 3 years
Medium	3	Likely	The risk is likely to occur more than once in the next 3 years.
High	4	Almost Certain	The risk is likely to occur this year
Very High	5	Certain	The risk has occurred and will continue to do so without action being taken

Impact (Potential impact that could occur)

	Score		Definition
Very Low	1	No Impact	No notable impact identifiable
Low	2	Minor	Affects only one group of stakeholders, with minimum impact. Organisationally localised, with position recoverable within the financial period. Eg: failure to meet minor project deadlines. No external interest.
Medium	3	Significant	Affects more than one group of stakeholders, with widespread but short-term impact. May attract the short-term attention of legislative/regulatory bodies. Eg: short-term failure of key systems, high-profile litigation.
High	4	Major	Affects more than one group of stakeholders, with widespread but short-term impact. Attracts the medium-term attention of legislative/regulatory bodies. Eg: prolonged failure of a key system, severely adverse external report (such as from Best Value inspectorate).
Very High	5	Catastrophic	Medium to long term impact on performance. Affects all groups of stakeholders, with a

			long-term impact. National impact, with the rapid intervention of legislative/regulatory bodies. Eg: total failure of key systems and services.
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The Risk Matrix



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The risk matrix which is used to help assess and prioritise risks. It has been designed to ensure that all high priority risks are given urgent attention and is so a considerable advance on what had been used previously.

All risks have countermeasures identified those in the Medium or High categories ie numbers 7, 10 and 12 will be given associated action plans.

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