



Horsham
District
Council

Horsham District Local Plan Examination

Response to Action Point 11

Matter 1, Issue 2 - Legal and Procedural Requirements- Whether the Council has complied with other relevant procedural and legal requirements?

Matter 3, Issue 2 - Climate Change and Water - Whether the approach to water neutrality and flooding is justified, effective, consistent with national policy and positively prepared?

HDC35

December 2024

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Action Point 11: SNOWS Risks, Issues & Opportunities Register.

1. The Risks, Issues & Opportunities (RIO) Register for the local authority-led Sussex North Offsetting Water Scheme has been submitted for addition to the Examination Library.
2. As well as the Sussex North authorities, we consulted Natural England, the Environment Agency, Southern Water, Defra, and MHCLG to add additional RIOs.
3. The RIO Register was first drafted (v0.1) on 2 February 2023. It was internally published (v1.0) on 11 September 2023. The version of the register provided for the Examination Library is v9.1, dated 19 September 2024. The 'version control' tab is hidden but accessible on the register, should the Inspector wish to review version control changes.
4. The RIO management strategy is set out in **Appendix A**. This is taken directly from the SNOWS Risk, Issue & Opportunity Strategy (internally published; v2.0; dated: 12 March 2024). The full version of the strategy can be provided upon request.

Appendix 1 – SNOWS Risk, Issue & Opportunity Strategy

RIO management strategy

Once RIOs have been analysed, the management actions need to be agreed with the PM, potentially WNLOG, and ultimately the RIO owner.

RIO update meetings (for local authority owners)

Monthly update meetings for RIO owners assigned as local authorities will be scheduled for the last week of every month, so that the PM and RIO owners can discuss any new, updated, or closed RIOs. RIO owners should aim to update the details of their RIOs on the RIO register in advance of these meetings.

The outcome of these meetings will be used to update WNLOG meetings, and Exec Board meetings as required. If RIO owners are unable to attend the meetings, they should update the RIO register with the latest updates and provide any critical information to the PM to raise at the RIO update meeting and/or WNLOG meeting.

Governance meetings

For RIO owners assigned as governance groups, RIOs will be discussed at the monthly governance meeting as a standing agenda item, led by the PM. Governance group representatives should aim to update the details of their RIOs on the RIO register in advance of these meetings, if they have any information to add or update.

The outcome of these meetings will be used to update WNLOG meetings, and Exec Board meetings as required.

The following steps are to be taken to manage, escalate and close RIOs:

Risks

Risks will be predominantly managed (owned) by the PM with support from OIG and WNLOG. The risk response/s should be discussed and, as far as possible, agreed with WNLOG. The risk owner must agree to take the risk on at the time it is being assigned - they should not be assigned the risk *in absentia*. Where proposed risk response/s are likely to have significant schedule, cost or quality impacts on the project or scheme, these should be discussed with WNLOG and the Exec Board as necessary.

Risks can be responded to in the following ways:

1. Change the project scope to **avoid** the risk.
2. Planning a **proactive response**, which can include planned fallback option/s, reducing the probability of the risk occurring, reducing the impact of the risk if it does occur, sharing the risk contractually with others, pooling risk amongst partners or insuring against risk.
3. Planning a **reactive response** to be implemented only if the risk actually occurs.
4. **Accept** the risk, which can be appropriate if the probability and/or impact are very low.

Updates on **amber** or **red** risks (after mitigation), and **red** risks (before mitigation), will be reported monthly to WNLOG for attention. Any new and closed risks will also be reported (whatever their status).

A decision will be made at WNLOG for which risks, if any, will be reported to the Exec Board for attention.

When risks have been successfully mitigated, been accepted (i.e. without taking active steps to mitigate), have escalated into issues, or the risk has otherwise passed, they should be marked as 'closed' by the risk

owner. The risk owner should notify the PM of the closure immediately and update OIG/WNLOG at the earliest opportunity. The risk owner should reflect on how the risk was managed and include closure notes in the 'comments' box on the register; lessons learned should be shared with OIG (and other governance groups as required) and recorded in the lessons learned log.

The following information needs to be updated in the risk register:

- Description of the response/s to be taken to mitigate the risk
- Risk owner, which should be a named individual, not a group
- Probability of risk occurring (1-10) after mitigation, where 1 is very unlikely and 10 is almost certain – depending on the score the cell will turn either: green (1-2), yellow (3-5), amber (6-8) or red (9-10)
- Impact of risk (1-10) after mitigation, where 1 is barely noticeable impact and 10 is major impact – depending on the score the cell will turn either: green (1-2), yellow (3-5), amber (6-8) or red (9-10)
- Total risk score after mitigation (auto-calculated) – depending on the overall score the cell will turn either: green (2-4), yellow (5-10), amber (11-16) or red (17-20)
- Current status of risk (drop-down menu: open, on hold or closed)
- Date updated
- Comments

Issues

Issues will likely need to be managed (owned) by an individual in WNLOG or the Exec Board, but these groups may agree to delegate this responsibility back to the PM, another member of OIG, a local authority, or a governance group. Initial issue response/s should be proposed through discussions with OIG, which will then be shared with WNLOG, the Exec Board and the ultimate issue owner. The issue owner must agree to take the issue on at the time it is being assigned - they should not be assigned the risk *in absentia*.

Updates on **all issues** will be reported monthly to WNLOG and to the Exec Board for attention/action.

When an issue has been successfully resolved or has otherwise passed, it should be marked as 'closed' by the issue owner. The issue owner should notify the PM of the closure immediately. The PM will update OIG, WNLOG and the Exec Board at the earliest opportunity, or may delegate this task to the issue owner. The issue owner should reflect on how the issue emerged and was resolved and include closure notes in the 'comments' box on the register; lessons learned should be shared with OIG (and other governance groups as required) and recorded in the lessons learned log.

The following information needs to be updated in the issue register:

- Description of the response/s to be taken to resolve the issue
- Issue owner, which should be a named individual, not a group
- Current status of issue (drop-down menu: open, on hold or closed)
- Date updated
- Comments

Opportunities

Opportunities will be predominantly managed (owned) by the PM with support from OIG and WNLOG. The opportunity response/s should be discussed and, as far as possible, agreed with WNLOG. The opportunity owner must agree to take the management of the opportunity on at the time it is being assigned - they should not be assigned the management of the opportunity *in absentia*. Where proposed opportunity response/s are likely to have significant schedule, cost or quality impacts on the project or scheme (even if these are to be 'recouped' later), they should be discussed with WNLOG and the Exec Board as necessary.

Similar to risks, opportunities can be responded to in the following ways:

1. Change the project scope to **exploit** the opportunity.
2. Planning a **proactive response**, which can include planned fallback option/s, enhancing the probability of the opportunity occurring, enhancing the benefits if an opportunity does occur, sharing

the opportunity contractually with others, pooling opportunities amongst partners or investing in opportunities.

3. Planning a **reactive response** to be implemented only if the opportunity actually occurs.
4. Reject the opportunity, which is usually appropriate if the probability and/or benefits are very low or the cost /resource implication of exploiting the opportunity is less than the benefit.

Updates on **yellow** or **green** opportunities (after responses) will be reported monthly to WNLOG for attention. Any new and closed opportunities will also be reported (whatever their status).

A decision will be made at WNLOG for which opportunities, if any, will be reported to the Exec Board for attention.

When opportunities have been successfully exploited, been rejected (i.e. without taking active steps to exploit), or have otherwise passed, they should be marked as 'closed' by the opportunity owner. The opportunity owner should notify the PM of the closure immediately and update OIG/WNLOG at the earliest opportunity. The opportunity owner should reflect on how the opportunity was managed and the benefits gained, and include closure notes in the 'comments' box on the register; lessons learned should be shared with OIG (and other governance groups as required) and recorded in the lessons learned log.

The following information needs to be updated in the opportunity register:

- Description of the response/s to be taken to exploit the opportunity
- Opportunity owner, which should be a named individual, not a group
- Probability of opportunity occurring (1-10) after exploitation, where 1 is very unlikely and 10 is almost certain – depending on the score the cell will turn either: red (1-2), amber (3-5), yellow (6-8) or green (9-10)
- Impact of opportunity (1-10) after exploitation, where 1 is very limited benefit and 10 is major benefit – depending on the score the cell will turn either: red (1-2), amber (3-5), yellow (6-8) or green (9-10)
- Total opportunity score after exploitation (auto-calculated) – depending on the overall score the cell will turn either: red (2-4), amber (5-10), yellow (11-16) or green (17-20)
- Current status of opportunity (drop-down menu: open, on hold or closed)
- Date updated
- Comments