



Regional Planning and Transportation Division

**Business Plan and Risk Register
2005-06**

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1. Introduction

1.1 This document

- Outlines Regional Planning and Transportation Division's structure, main responsibilities and key priorities for the 2005/06 financial year and beyond.
- It demonstrates how the work and activities of the Division contribute to the Government's Priorities and Budget 2005/08.
- Confirms how the Division will help the Department achieve its overall aim through its contribution to achieving the Department's strategic policy objectives consistent with the Department's Vision and Values.

Aim

The overall aim of the Department is "to improve the quality of life for everyone in Northern Ireland by maintaining and enhancing a range of essential infrastructure services and by shaping the region's long-term strategic development".

Vision

"To improve continuously how it serves its customers and the taxpayer."

Values

A number of core values underpin the culture within which the Department works to fulfil its mission. These are:

- Integrity, impartiality and honesty;
- Seek continuously to improve the quality of the services we provide;
- Promote equality of opportunity in all that we do;
- Value our employees;
- Be open and in touch with our customers;
- Work with and learn from others;
- Earn respect and trust in all that we do;
- Foster a "can do" approach; and
- Respect and support each other.

Structure of the Department

- ## 1.2
- The Department for Regional Development comprises two Core Groups (Resources and Management Services and Strategic Planning and Transport) managed by deputy secretaries and two Executive Agencies (Roads Service and Water Service) managed by Chief Executives.

- 1.3 Regional Planning and Transportation Division is part of the Strategic Planning and Transport core group, which has responsibility for regional development and transport planning, transportation strategies and policies.

2. Business Planning Context

- 2.1 On 20th December 2004 Government published its priorities and spending plans in Northern Ireland for 2005-08. The document explained the policy context, the budgetary allocations and the key commitments being made by Government for those areas that during this period of suspension fall within the remit of the Secretary of State. The main outcomes to be achieved are set out in the Public Service Agreements (PSAs) for each of the Northern Ireland departments. These PSAs set out what departments are seeking to deliver for the citizen, focusing on improvements that will be made to public services.

Public Service Agreements

- 2.2 PSAs are supported by published Departmental Business Plans, which set out in greater detail the actions that departments will take to ensure delivery of their PSA targets and the associated performance targets for this work.
- 2.3 The Department for Regional Development has 2 key priorities
- (A) Supporting the economy by maintaining and developing safe transportation networks, promoting airport and harbour services, shaping the long-term development of the region and providing other services to the public and other Departments; and
 - (B) Contributing to the health and well being of the community and the protection of the environment through the provision of modern, high quality water and sewerage services, at the lowest possible cost.
- 2.4 Regional Planning and Transportation Division, together with Ports and Public Transport Division and Roads Service have responsibility for the delivery of (A).

Corporate and Business Plan 2005- 08

- 2.5 The Department's Corporate and Business Plan 2005-08 indicates how the Department proposes to achieve its Public Service Agreement targets. It does this by detailing the services to be delivered with the associated performance targets for these activities and budgets. It also includes information on the Department's plans to improve its policy effectiveness and help deliver its targets through its approach to customer service and performance improvement.
- 2.6 The Department's objectives and targets for Regional Planning and Transportation Division for 2005/06 are included in Sections 5-8 of this Business Plan.

Accountability and Internal Control

- 2.7 The Permanent Secretary of the Department, as Accounting Officer, is responsible for maintaining a sound system of internal control that supports the achievement of departmental policies, aims and objectives set by the Minister, whilst safeguarding the public funds and departmental assets in accordance with the responsibilities set out in Government Accounting (NI). The Chief Executives in Water Service and in Roads Service have been designated as Agency Accounting Officers.
- 2.8 The Department has developed its corporate governance arrangements to achieve compliance with HM Treasury requirements. The system of internal control in DRD is based on an on-going process, which identifies the principal risks associated with the achievement of departmental policies, aims and objectives. It evaluates the nature and extent of those risks and manages them efficiently, effectively and economically.
- 2.9 Regional Planning and Transportation Division produce and maintain a Risk Register, which identifies the principal risks associated with the achievement of divisional aims and objectives. The key risks identified by RPTD are Section 10 of this document. Key risks and current controls associated with those risks are also referenced in Sections 5 to 9 of this document.
- 2.10 In preparing the Statements on Internal Control and reviewing the effectiveness of the system of internal control, the Accounting Officer will seek to place reliance on information and assurances provided by executive management, internal audit and, where appropriate, other sources.

Equality of Opportunity, Targeting Social Need and Human Rights

- 2.11 The work of the Division is underpinned by arrangements to promote equality of opportunity and good relations and to take account of New Targeting Social Need and Human Rights issues.
- 2.12 The Department has an obligation under Section 75 of the Northern Ireland Act 1998, to promote equality of opportunity and good relations. RPTD undertakes Equality Impact Assessments (EQIAs) in accordance with the Department's five-year Equality Scheme. EQIAs will be carried out this business-planning period on the focused assessment of the RDS and three Planning Policy Statements (PPS 5 'Retailing, Town Centres and Commercial Leisure Developments, PPS 20 'Coastal Development and PPS 14 'Housing in the Countryside'). In addition, all new policies developed by RPTD are screened with equality impact assessments carried out, where appropriate.
- 2.13 New TSN which is currently under review is the Government's main policy for tackling poverty and social exclusion. The Division has identified several initiatives for inclusion in the Department's New TSN Action Plan. Quarterly reports of

progress are made to the Minister and the Department contributes to an Annual Report published by OFMDFM.

- 2.14 The Division also takes steps to ensure that the human rights implications of all policies have been assessed to ensure that proposals are compatible with the requirements of the Human Rights Act 1998.

Freedom of Information

- 2.15 The Freedom of Information Act 2000 came into full effect from 1 January 2005. Regional Planning and Transportation Division is ready to meet the requirements of the Freedom of Information Act 2000 and other information access legislation including the Data Protection Act 1998 and Environmental Information Regulations. In accordance with the Freedom of Information Act, Regional Planning and Transportation Division are covered by the Department's Publication Scheme, which was approved by the Information Commissioner's Office on 15th November 2002.

Environmental Assessment of Plans and Programmes

- 2.16 The department has an obligation under The Environmental Assessment of Plans & Programmes (Northern Ireland Regulations 2004) to carry out an environmental assessment of certain plans and programmes, dependant upon certain criteria.
- 2.17 This Regulation implements for Northern Ireland Directive 2001/42/EC of the European Parliament & Council. It introduces a statutory process of preparing an environmental report on the expected impact of emerging planning strategies or policy statements on the environment, assessing alternatives, monitoring outcomes and setting out how action will be taken to mitigate unexpected adverse impacts.
- 2.18 Regional Planning & Transportation Division will adopt a criteria based approach to environmental assessment. However it is expected that Environmental Assessment will be required for any adjustments to the RDS following the first 5-year (Focussed Assessment) Review and also for emerging Planning Policy Statements.

3. Regional Strategies

Regional Development Strategy (RDS)

- 3.1 The Regional Development Strategy (RDS), formulated in September 2001, provides an overarching framework for competitive and sustainable development in Northern Ireland. The RDS was prepared in close consultation with other departments as well as with business, social and voluntary sector bodies and

organisations. Under Ministerial direction, the Department will continue to work with other Departments, councils and other key groups at a sub-regional level to promote a co-ordinated approach to delivery of the strategy.

- 3.2 All Government Departments have a statutory obligation to have regard to the RDS when exercising a function in relation to development. The implementation of the RDS is overseen by an Inter-Departmental Steering Group, which is chaired by the Minister for Regional Development. The IDSG meets 4 times a year. RPTD represents DRD on the Steering Group and provides Secretariat support.
- 3.3 IDSG has set up a Working Group to develop appropriate monitoring procedures. Targets and indicators have been agreed to enable progress to be measured in implementing the strategy and a paper detailing the implementation, monitoring and evaluation of the RDS was agreed with the Regional Development Committee before suspension of the devolved administration. RPTD publishes a biennial progress report and an annual Monitoring report on the implementation of the RDS.
- 3.4 Under the Planning (Amendment) (Northern Ireland) Order 2003, Regional Planning and Transportation Division has an obligation to determine if emerging development plans produced by DOE Planning Service are in general conformity with the RDS. For each Development Plan RPTD will issue a statement as to whether that requirement has been met at draft plan stage and prior to adoption.
- 3.5 Planning Policy Statements set out the policies of the Government on particular aspects of land-use planning both at a strategic and operational level. Their contents will be taken into account by the Department of the Environment in preparing development plans and are also material to decisions on individual planning applications and appeals. In addition, the strategic land-use planning guidance contained in the RDS, translated into the more detailed Planning Policy Statements, will directly influence the content of the Transport Plans. RPTD will publish Planning Policy Statements for retailing, housing in the countryside and the coast to assist in the implementation of the RDS by the end of 2005.
- 3.6 By March 2006, Regional Planning and Transportation Division will complete a focussed assessment of the Regional Development Strategy to identify any necessary in-course adjustments to the strategy.

Regional Transportation Strategy (RTS)

- 3.7 The Northern Ireland Assembly agreed the underlying principles and strategic direction of the Regional Transportation Strategy for Northern Ireland 2002-2012 in July 2002. The RTS is a 10-year strategy, which addresses the effect of years of under investment in transportation infrastructure. It analyses the deficiencies in the current transportation system and seeks to make best use of our existing assets while pointing towards a number of enhancements to transport infrastructure and services.

- 3.8 The implementation of the Regional Transportation Strategy is overseen, monitored and reviewed by the Regional Transportation Strategy Steering Group (RTSSG), which meets quarterly. Its membership comprises senior Transportation, Roads Service and Planning officials and representatives from the Northern Ireland Holding Company (NITHC) and transport operators Translink. RPTD's Director is a member of the RTS Steering Group and the Division provides Secretariat support and prepares an annual progress report on the implementation of the RTS.
- 3.9 RPTD has responsibility for convening, organising and providing administrative support for the Integrated Transport Stakeholder Group. ITSG was set up in November 2003 to advise the Department on the implementation of the RTS. ITSG's 25 strong membership includes a broad range of transport interests from the private, public, voluntary and community sectors. ITSG will meet twice a year.
- 3.10 The RTS will be implemented mainly through 3 transport plans -
- Belfast Metropolitan Transport Plan (BMTP);
 - Regional Strategic Transport Network Transport Plan (RSTNTP); and
 - Sub-Regional Transport Plan (SRTP).
- 3.11 The Transport Plans will present detailed programmes of major schemes and transport initiatives that will support the objectives of the RTS and contribute to the RTS targets, taking full account of relevant Development Plans. In October 2002 the Head of the Strategic Planning and Transportation Group (SPTG) commissioned Roads Service to develop the RSTNTP and the SRTP (the BMTP which commenced prior to RTS was finalised on 30 November 2004.). The role of the Division is to represent the interests of the client (Strategic Planning and Transportation Group) on Steering and Working Groups set up to manage the development of Transport Plans to ensure that Plans are in keeping with the RDS and RTS.

4. Structure of Regional Planning and Transportation Division

- 4.1 RPTD was created in August 2002 by the amalgamation of two Divisions, Regional Planning Division, set up to produce, implement and review the Regional Development Strategy, and Regional Transportation Strategy Division, created to produce, implement and monitor the Regional Transportation Strategy. The formation of the new Division was an initiative introduced by the Regional Transport Strategy to ensure an integrated approach to land use and transportation planning. The RTS indicated that the Division would undertake research, initiate policy developments, monitor and review the implementation of the RDS and RTS.
- 4.2 The Division has two business areas:

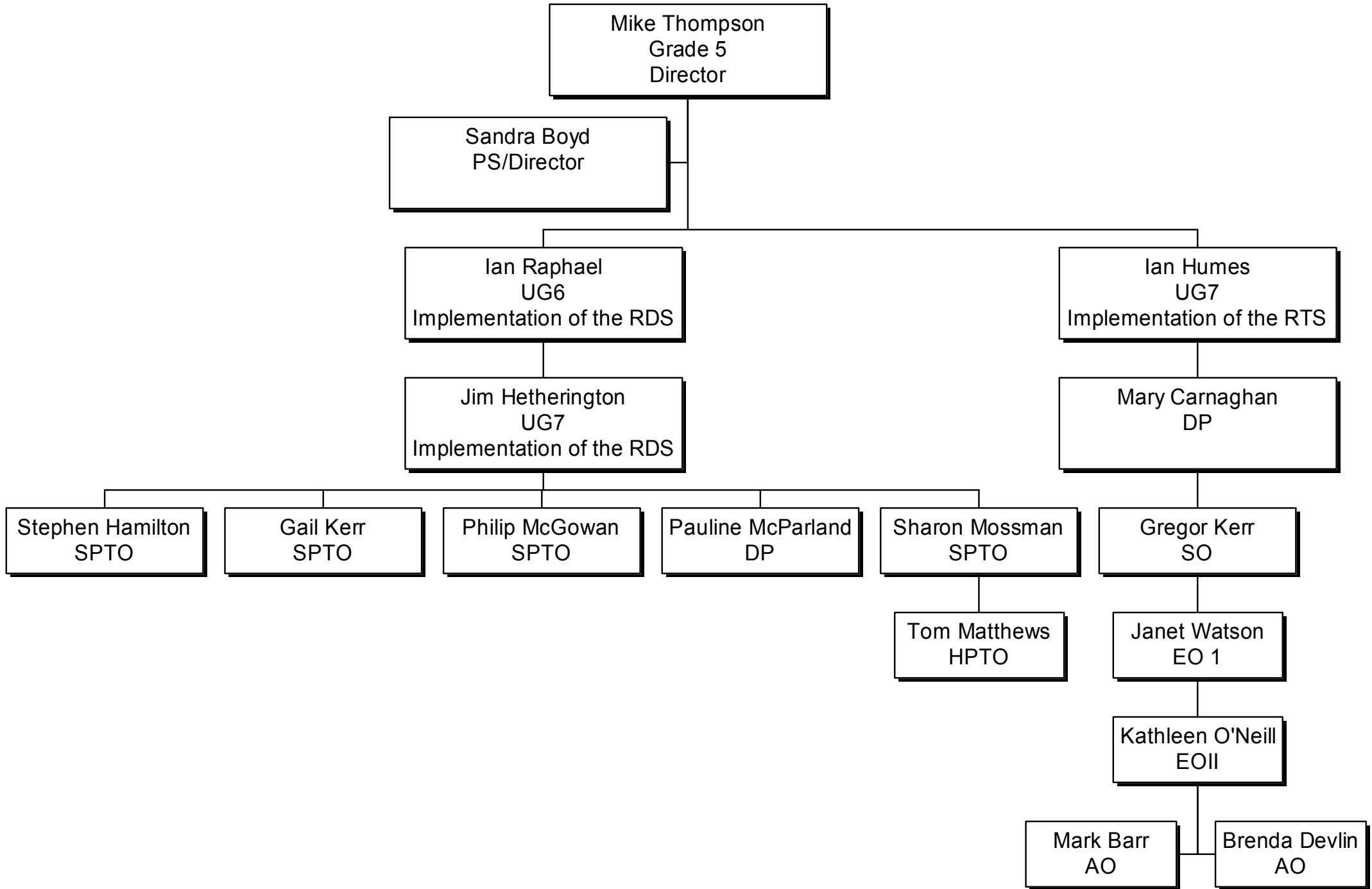
RDS Implementation, Monitoring and Review and Strategic Planning Guidance

The core activities are to monitor, provide guidance on and contribute to the implementation of the RDS, to produce Planning Policy Statements, and to provide ongoing training and advice on planning policy and to undertake the Department's statutory obligation to produce statements on the conformity of development plans.

RTS Implementation, Monitoring and Review and Corporate Services

The core activities are to monitor the implementation of the Regional Transportation Strategy, to produce an Annual Monitoring Report and report progress to the Regional Transportation Steering Group (RTSSG). The Division provides secretariat support for RTSSG and is responsible for admin support for the Integrated Transport Stakeholder Group. This business unit also co-ordinates the majority of the Division's corporate and Executive support functions and provides administrative support for other business areas.

Regional Planning and Transportation Division



5. Implementation, monitoring and review of the RDS and Strategic Planning Guidelines

Head of Business Area - Ian Raphael

- (A) *Issue statements as to whether a development plan is in general conformity with the RDS in order to achieve more sustainable patterns of development throughout Northern Ireland. [Department's Business Plan]*
- (B) *Review of the Regional Development Strategy: RPTD will carry out a focused assessment of the RDS to ensure that present actions are likely to achieve the expected long term objectives and to consider adjustments that may be needed to strategic planning guidance in the light of emerging needs. The focused assessment will be complete by March 2006. [Department's Business Plan]*
- (C) *RPTD will track progress towards achieving key targets and indicators of the monitoring and evaluation framework for the RDS, including 60% of urban housing growth within urban limits for the period up to 2010. [Department's Business Plan]*
- (D) *RPTD will convene meetings and provide effective Secretariat support for the Inter-departmental Steering Group (IDSG) and the IDSG Monitoring Working Group*
- (E) *RPTD will provide guidance to other Departments on the application of the RDS.*
- (F) *RPTD will liaise with sub-regions and neighbouring regions to ensure effective inter and intra-regional co-operation in matters of spatial planning and to extend understanding of best practice.*
- (G) *RPTD will work with key stakeholders at sub-regional level to monitor and promote the implementation of the RDS by the public and private sectors.*
- (H) *RPTD will publish 3 Planning Policy Statements to assist in the implementation of the RDS by the end of 2005. [Department's Business Plan]*
- (I) *RPTD will provide advice and guidance on strategic planning policy through briefing for the Minister, responses to correspondence cases, representation on Groups and Committees, and comment on draft policies developed by DOE Planning Service.*

5 Contents	Divisional target	Milestone	Date	Risk	Lead Official
A1	We will issue a statement within 28 days of receipt from DOE Planning Service of draft development plans and development plans prior to adoption. On the basis of the current DOE programme, we will issue 2 statements during the period covered by this business plan.	Newry & Mourne and Banbridge.	March 06	Risk 3 Risk 4	Philip McGowan
A2	Review effectiveness of protocol with DOE for the exchange of information about the development plan process.	Review effectiveness of protocol	Complete by Apr 05	Risk 2 Risk 4	Ian Raphael
B1	Carry out a focused assessment of the RDS to ensure that present actions are likely to achieve the expected long-term objectives and to consider adjustments that may be needed to strategic planning guidance in light of emerging needs.	Consult IDSG on draft Consultation Document	Apr 05	Risk 2	Ian Raphael
		Issue Consultation Document, draft EQIA and SEA	Sep 05		
		Consider comments and brief Minister on consultation and issues arising.	Dec 05		
		Draft Focussed Assessment Paper to IDSG	Dec 05		
		Agree final paper: With IDSG With Minister	Jan 06 Jan 06		
		Publish focussed assessment, final EQIA and SEA	Mar 06		
C	Publish Monitoring report on the implementation of the RDS for 2004/05 by November 2005 to indicate progress in achieving targets on social, economic and environmental matters agreed by the IDSG, which oversees the implementation of the RDS.	Internal consultation on draft report	Jul 05	Risk 1 Risk 2	Stephen Hamilton
		Clear draft report with IDSG	End Oct 05		
		Seek Ministerial approval to publish	Oct 05		
		Publish Report	Nov 05		
D1	Convene 4 meetings of IDSG on behalf of the Minister for Regional Development and provide effective Secretariat support.	Issue agreed Agenda and other papers at least 1 week in advance of the meeting	Apr 05 End Oct 05	Risk 1	Pauline McParland
		Issue minutes of IDSG within 2	Jan 06		

5 Contents	Divisional target	Milestone	Date	Risk	Lead Official
		weeks of each meeting.	Mar 06		
D2	Convene 4 meetings of IDSG Monitoring Working Group meetings and provide effective Secretariat support.	Issue agreed Agenda and other papers at least 1 week in advance of the meeting Issue minutes of IDSGMWG within 2 weeks of each meeting.	June 05 To be arranged To be arranged To be arranged		Stephen Hamilton
E1	Participate on the GIS sectoral working group for Land and Property.	Attend [frequency] meetings – not known yet			Jim Hetherington
E2	Participate on the SELs Inter-departmental Working Group	Attend monthly meetings			Mike Thompson
F1	RPTD will track progress of spatial plan development in neighbouring Regions and meet senior officials from neighbouring Regions twice yearly to share information and experience and to consider the need for shared action to keep abreast of best practice.	Meeting with DOEHLG Meeting with DOEHLG Good practice/technical exchange meeting with ROI and Welsh counterparts	Jun 05 Nov 05 Sep 05?		Mike Thompson Ian Raphael
F2	RPTD will participate in the review of the North West Europe Spatial Vision as part of the UK team of officials in the review workshops	2 yearly	Not yet known		Jim Hetherington
G1	RPTD will meet monthly with the North West Stakeholders Alliance on a participation and partnership basis to monitor and promote the implementation of the RDS in the North West.	Monthly meetings Review of progress	To be arranged Nov 05		Mike Thompson
G2	RPTD provides Joint Chair at SCS level.	Monthly meetings			Mike Thompson
G3	RPTD will meet with officials from sub-regional clusters of District Councils to monitor and promote implementation of the RDS.	Quarterly	Not yet known		Jim Hetherington
H1	PPS 5 Retailing and Town Centres by Nov 2005 To promote the viability and vitality of town and city centres	Public Consultation & draft SEA and EQIA	July-Oct 05	Risk 4	Gail Kerr

5 Contents	Divisional target	Milestone	Date	Risk	Lead Official
	whilst providing customer competition and choice.	Prepare final draft policy	Oct-Dec 05	Risk 5	
		Final Policy to Minister	Jan 05		
		Printing	Feb 05		
		Publication of Final PPS, SEA and EQIA	March 05		
H2	PPS 20 The Coast by Dec 2005 To protect and manage the coastline whilst reconciling the competing development pressures.	Agree policy with Planning Service	Timetable being revised with Planning Service	Risk 4 Risk 5	
		Public Consultation of draft PPS, draft SEA and draft EQIA			
		Preparation of final policy			
		Final Policy to Minister			
		Printing			
		Publication of Final PPS, SEA and EQIA			
H3	PPS 14 Housing in the Countryside by Dec 2005 To support a strong, sustainable, diversified and vibrant rural economy yet balancing the protection and management of the natural environment.	Preparation of draft policy, SEA and EQIA	Jan-Jun 05	Risk 4 Risk 5	Sharon Mossman
		Public Consultation of draft PPS, SEA and EQIA	Dec 05 – Feb 06		
		Preparation of final policy	March – April 06		
		Final Policy to Minister	April 06		
I	Participation on the Coastal Forum Steering Group and Inter Coastal management Zone	Attend quarterly meetings			

6. Implementation, monitoring and review of the RTS

Head of Business Unit – Ian Humes

- (A) *Co-ordinate, support and report on the implementation of the Regional Transportation Strategy;*
- (B) *RPTD will undertake a formal mid-term review of RTS. (Department’s Business Plan)*
- (C) *RPTD will participate on Steering and Working Groups set up to manage the development of Transport Plans to ensure that Plans are in keeping with the RDS and RTS.*

6 Contents	Divisional target	Milestone	Date	Risk	Lead Official
A1	Publish the Regional Transportation Strategy Annual Monitoring Report by September 2005	Initial draft to joint chairs of RTSSG	May 05	Risk 6	Mary Carnaghan
		Circulate revised draft to RTSSG	Jun 05		
		RTSSG sign off draft	Jun 05		
		Final draft to Minister	July 05		
		Publish report	Sep 05		
A2	Facilitate 2 meetings of the Integrated Transport Stakeholders Group during the period of this Business Plan to ensure that the views of key stakeholders are considered in the implementation of the RTS.	Meeting dates agreed	14/06/05 To be decided.	Risk 5 Risk 6	Mary Carnaghan
		Admin arrangements completed	10 weeks prior to meeting		
		Agenda agreed	6 weeks prior to meeting		
		Presentations finalised	1 week prior to meeting		
		Issue minutes within 3 weeks of meetings.			

6 Contents	Divisional target	Milestone	Date	Risk	Lead Official
A3	To improve the monitoring of the RTS, RPTD will work in partnership with Roads Service to identify the data to be collected by the Data Management and Modelling Unit to support the performance monitoring of the RTS.	Review meeting	Oct 05	Risk 6	Ian Humes
		Review meeting	Mar 06		
A4	Convene 4 meetings of RTSSG on behalf of the Joint Chairs and provide effective Secretariat support.	Issue agreed Agenda and other papers at least 1 week in advance of the meeting Issue minutes of RTSSG within 2 weeks of each meeting.	28 Apr 05	Risk 5 Risk 6	Mary Carnaghan
			To be set		
			To be set		
			To be set		
B1	Undertake a formal mid-term review of RTS.	Establish scope of review	Apr 05	Risk 5 Risk 6	Ian Humes
		Initiate consultation	Sep 05		
		Publish Report	Mar 06		
C1	Participate on BMTP Implementation Group?			Risk 5 Risk 6	Ian Humes
C2	Participate on the RSTN-TP Steering Group	Attend monthly meetings		Risk 5 Risk 6	Ian Humes
C3	Participate on the SRTP Steering Group	Attend quarterly meetings		Risk 5 Risk 6	Ian Humes
C4	Participate on the Transport Operations Group	Attend quarterly meetings		Risk 5 Risk 6	Ian Humes
					Ian Raphael

7. Corporate Services

Head of Business Unit – Ian Humes

As a Core Division of DRD, RPTD carries out a range of corporate functions, which contribute to the efficient functioning of both the Division and the department.

- (A) Ministerial Support. RPTD will prepare draft invitations, correspondence and submissions for the Minister's consideration.**
- (B) RPTD will prepare financial summaries and recommendations to allow the management team to obtain adequate provision for the assessed needs of the Division in Budget and Monitoring Rounds.**
- (C) RPTD will ensure all invoices for goods and services are paid promptly.**
- (D) RPTD will ensure the working environment supports a culture of continuous improvement, maintains public service values, establishes clear accountability and effective control, provides value for money and ensures equality of opportunity and treatment in all activities and that appropriate training and development to support the achievement of business and individual objectives are identified and secured and appropriate arrangements are in place within the Division.**
- (E) RPTD will complete quarterly Programme for Government and other monitoring reports as required by Strategic Planning Branch and Central Management Branch and will participate on groups established to co-ordinate departmental business activities.**

7 Contents	Divisional target	Milestone	Date	Risk	Lead Official
A1	Returns and submissions to be made within Private Office timescales	Prepare a weekly work schedule to track progress against deadlines			Kathleen O'Neil
B1	RPTD will prepare a monthly financial profile	Copy to Grade 5	Meet FPB deadline		Mary Carnaghan
B2	Quarterly return to Strategic Planning Branch within Departmental deadlines	Draft to Grade 5 five days before deadline.	Meet SPB deadline		Mary Carnaghan
B3	Preparation of annual estimates (bids) within Departmental deadlines	Draft to Grade 5 five days before deadline.	Meet Finance deadline		Mary Carnaghan

7 Contents	Divisional target	Milestone	Date	Risk	Lead Official
C	RPTD will ensure that all invoices for services and goods are paid promptly	To be paid within 30 days of receipt			Kathleen O'Neill
D1	Ensure annual reports, forward job plans and personal development plans are completed.	Within Personnel timetables.			Mike Thompson Ian Raphael Des Stephens Ian Humes John Cummins Jim Hetherington
D2	Ensure all staff receives comprehensive team briefing following publication of Departmental core brief.	Team brief to be held within one week of publication of the core brief.			Mike Thompson
D3	RPTD will produce a draft annual business plan for 2006/07 by Feb 06	Develop draft Departmental Business Plan commitments and targets	Jan 06		Ian Humes Mary Carnaghan
		Produce draft Business Plan	Feb 2006		
		Seek agreement from Grade 5 to Business Plan	Feb 2006		
E1	RPTD will undertake an annual Risk Analysis of its business activities in tandem with its business planning process	Review Risk register	Sep 05		Ian Humes Mary Carnaghan
		Produce draft Risk Register	Feb 06		
		Finalise Risk Register	Mar 06		
E2	To provide timely support to the Division, taking regard for any relevant Departmental timescales.	Prepare a weekly work schedule to track progress against deadlines			Kathleen O'Neill
E3	Participate on the Equality Working Group	Attend quarterly meetings			Des Stephens
E4	Participate on the Section 75 Group	Attend 2 meetings a year			Des Stephens
E5	Participate on the DRD communications Steering Group	Attend quarterly meetings			Mike Thompson

8. Representation of the Department

The Division represents the Department on a number of inter-departmental and cross-sectoral groups.

Contents

Group	Frequency	Official(s)
Neighbourhood Renewal Inter-Departmental Group	Attend quarterly meetings	Mike Thompson
Northern Ireland Regional Partnership Board	Attend quarterly meetings	Mike Thompson
Employability Taskforce	Attend 2 meetings a year	Mike Thompson
Omagh Taskforce	Attend monthly meetings	Mike Thompson, Ian Humes
West Belfast and Greater Shankill Integrated Development Strategy	Attend 2 meetings a year	Mike Thompson
Protestant Disadvantaged Task Force	Attend quarterly meetings	Mike Thompson

9. Risk Register 2005/06

Introduction

- 9.1 DAO (DFP) 5/01 introduced a requirement for Accounting Officers to sign a "Statement on Internal Control" (SIC) which is published with the Accounts each year. The SIC provides an assurance that the control systems underpinning all activities within the Department are effective. A key element to providing such an assurance is the requirement for managers to routinely conduct risk assessment and management reviews at both a corporate level and at an operational level (i.e. respective business areas).
- 9.2 DAO (DFP) 25/03 reinforces the need to maintain and develop the risk management and review processes to ensure their continuing effectiveness through further embedding of the processes. RPTD has sought so to do by making its Risk Register an integral part of its Business Plan for 2005-06. It has improved the Risk Register by associating "current controls" and "actions to improve control" with "potential route causes". "Current controls" and "actions to improve control" are cross-referred to business plan activities. Business plan activities are similarly cross-referred to the relevant risk.
- 9.3 This Divisional Risk Register, coupled with the end year assurance statement will support the Accounting Officer in signing the Statement on Internal Control (SIC) for 2005-06. It has been prepared on the basis of an assessment of the risks impacting on the achievement of the Division's objectives for 2005-06, as set out in the Budget, the Public Service Agreement (PSA), the Departmental and Division's Business Plans and comprises the following:
- An evaluation of the Key Divisional Risks in terms of "Likelihood" of occurrence and "Impact" in the event of occurrence;
 - The controls in place to manage the risks identified;
 - An evaluation of the "Risk Appetite" i.e. the adequacy of the control to manage the risk and the Departments ability to absorb any gap in control, or the additional action required to improve control and the criticality of the additional action; and
 - The designated officer responsible for managing and reporting on the control of the identified risk.
- 9.4 This Register will form part of the Department's Composite Risk Register and will support the review of the Departmental Risk Register by the Departmental Risk Management Committee (DRMC).
- 9.5 The Register is a working document and may change during the course of the year in response to changing political, social or economic circumstances.

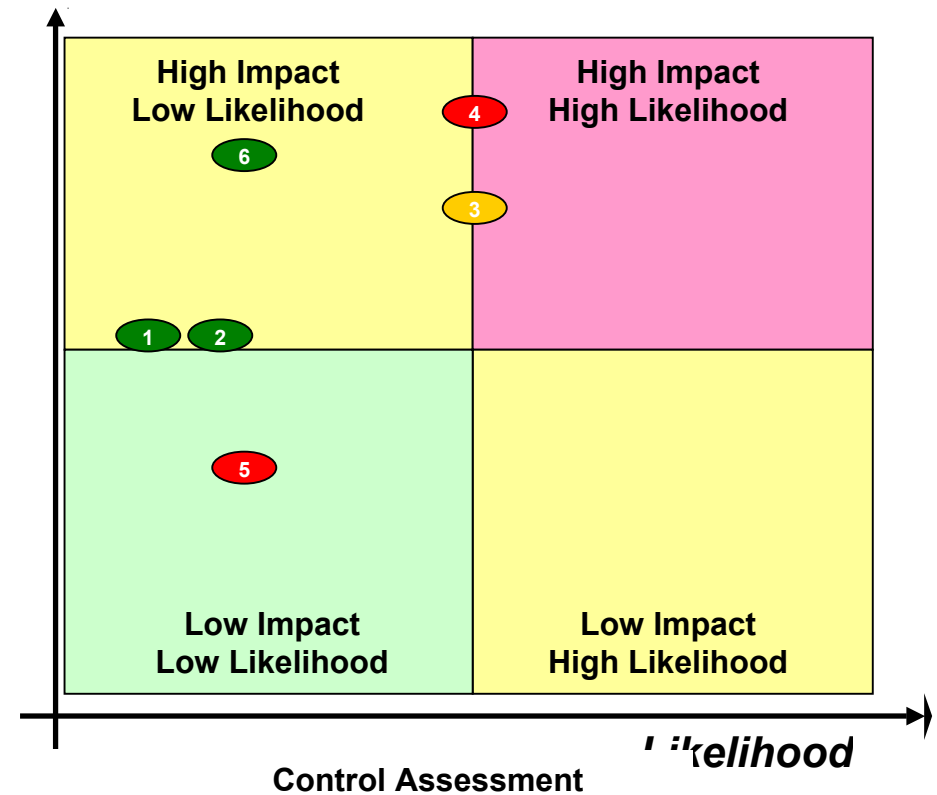
Key Risks Summary




Contents

Departmental Objective A

- Risk 1** - Departments' strategies do not conform with the key objectives of the RDS
- Risk 2** - Progress against strategy is not correctly assessed.
- Risk 3** - Non-achievement of Brown Field target.
- Risk 4** - Development Plans do not meet their statutory requirement to be in general conformity with the RDS (as required by the Planning (Amendment) (NI) Order 2003
- Risk 5** - Non-achievement of RDS in relation to transportation, retail, countryside and coasts.
- Risk 6** - Fail to adequately monitor the implementation of the RTS

Impact



	Risk Managed
	Risk Partially Managed
	Risk Not Adequately Managed

Risk 1	Risk Assessment	
Departments' strategies do not conform with the key objectives of the RDS	Impact	Medium
	Likelihood	Low
	Risk Category	Legal / Regulatory
	Controls Adequate	Y
Risk Owner	Acceptable Gap	N/A
Ian Raphael	Specific Objectives	Objective A

Potential Route Causes	Current Controls	Control Improvements
1. Lack of awareness of strategy	1, 2, 4, 5, 6	
2. Lack of co-ordination	1, 3	
3. Departments do not have to demonstrate their conformity	6	
4. External influences on Departments	5	

Current Controls	BP ref
1. Inter Departmental Steering Group (IDSG): RPTD convenes this group 4 times annually. The Minister for Regional Development chairs IDSG and departments are represented at SCS level. The role of IDSG is to oversee the implementation of the RDS.	5 (D1)
2. Strategic Planning (NI) Order 1999 requires NI and UK departments in exercising any functions in relation to development to have regard to the RDS	N/A
3. IDSG Monitoring Working Group (IDSGMWG) set up to develop appropriate monitoring procedures and agree targets and indicators to enable progress to be measured	5 (D2)
4. The Priorities and Budget 2005-08 refers to the role of the RDS and the obligations of departments	N/A
5. RPTD will provide guidance to other Departments on the application of the RDS and will participate, as appropriate on project groups and other committees to represent RDS interests.	5 (E1, E2) 6 (B)
6. RPTD produces and Annual Monitoring Report on the implementation of the RDS in collaboration with other departments and non-departmental public bodies.	5 (C)

Actions to improve control	Critically	Responsibility	Date	BP ref

Risk 2	Risk Assessment	
Progress against strategy is not correctly assessed.	Impact	Medium
	Likelihood	Low
	Risk Category	Service Delivery/Activity
	Controls Adequate	Y
Risk Owner	Acceptable Gap	N/A
Ian Raphael	Specific Objectives	Objective A

Potential Route Causes	Current Controls	Control Improvements
Key targets and indicators are inappropriate	1	7
Difficulty collating appropriate data	4	
Inability to quantify existing commitments	4, 5, 6	
Reliance on 3 rd parties	2, 3, 7	8

Current Controls	BP ref
1. A paper detailing the implementation, monitoring and evaluation of the RDS was agreed with the Regional Development Committee before suspension of the devolved administration	N/A
2. Protocol with DOE Planning Service for the exchange of information about development plan process.	5 (A2)
3. Information provided by other Departments (e.g. NISRA) to enable validation of progress as part of the annual reporting process.	5 (C)
4. IDSG Monitoring Working Group (IDSGMWG) set up to develop appropriate monitoring procedures and agree targets and indicators to enable progress to be measured	5 (D2)
5. Methodology to accurately measure the annual growth of single rural dwellings in order to assess progress in meeting regional housing figures.	N/A
6. Methodology for assessing and projecting household formation in Northern Ireland to assess the accuracy of the regional housing need figure of 200,000 additional dwellings by 2015.	N/A

Actions to improve control	Critically	Responsibility	Date	BP ref
7. RPTD will carry out a focused assessment of the RDS to ensure that present actions are likely to achieve the expected long-term objectives and to consider adjustments that may be needed to strategic planning guidance in the light of emerging needs.	High	Ian Raphael	Mar 2006	5 (B1)
8. RPTD will review effectiveness of protocol with DOE for the exchange of information about the development plan process.	High	Ian Raphael	Apr 2005	5 (A2)

Risk 3	Risk Assessment	
Non-achievement of Brown Field target	Impact	Medium/High
	Likelihood	Medium
	Risk Category	Legal / Regulatory / Environmental / Political
	Controls Adequate	N
Risk Owner	Acceptable Gap	N
Des Stephens/Ian Raphael	Specific Objectives	Objective A

Potential Route Causes	Current Controls	Control Improvements
Application of policy framework	1, 5, 6	
Reliance on 3 rd parties to deliver (developers, DOE Planning Service)	2, 3, 4	
Incorrect housing figures included within the RDS	5	

Current Controls	BP ref
1. Planning Policy Statement (PPS 12) on Housing.	N/A
2. RPTD will examine emerging Development Plans and issue statements as to whether these Plans are in general conformity with the RDS (as required by the Planning (Amendment) (NI) Order 2003)	5 (A1)
3. The implementation of the RDS is overseen by an Inter-Departmental Steering Group, which is chaired by the Minister for Regional Development. The IDSG meets 4 times a year.	5 (D1)
4. IDSG Monitoring Working Group (IDSGMWG) set up to develop appropriate monitoring procedures	5 (D2)
5. Agreed methodology for assessing and projecting household formation in Northern Ireland to assess the accuracy of the regional housing need figure of 200,000 additional dwellings by 2015.	N/A
6. RPTD will track progress of spatial plan development in neighbouring Regions and meet senior officials from neighbouring Regions twice yearly to share information and experience and to consider the need for shared action to keep abreast of best practice.	5 (F1)

Actions to improve control	Critically	Responsibility	Date	BP ref

Risk 4	Risk Assessment	
Development Plans do not meet their statutory requirement to be in general conformity with the RDS (as required by the Planning (Amendment) (NI) Order 2003)	Impact	High
	Likelihood	Medium
	Risk Category	Legal / Regulatory / Environmental / Political
	Controls Adequate	N
Risk Owner	Acceptable Gap	N
Ian Raphael	Specific Objectives	Objective A

Potential Route Causes	Current Controls	Control Improvements
Absence of an up-to-date policy framework	1, 2, 3, 4	9, 10, 11
Lack of awareness of strategy	5, 6	8
Incorrect housing figures included within the RDS	7	

Current Controls	BP ref
1. The RDS provides high level strategic planning guidance	N/A
2. Rural Planning Strategy for Northern Ireland	N/A
3. Existing Planning Policy Statement on retail	N/A
4. Planning Policy Statement (PPS 12) on Housing	N/A
5. RPTD will examine emerging Development Plans and issue statements as to whether these Plans are in general conformity with the RDS (as required by the Planning (Amendment) (NI) Order 2003)	5 (A1)
6. Protocol with DOE Planning Service for the exchange of information about the development of plan process.	5 (A2)
7. Methodology for assessing and projecting household formation in Northern Ireland to assess the accuracy of the regional housing need figure of 200,000 additional dwellings by 2015.	N/A

Actions to improve control	Critically	Responsibility	Date	BP ref
8. RPTD will review effectiveness of protocol with DOE for the exchange of information about the development plan process.	Med	Ian Raphael	Apr 2005	5 (A2)
9. Publication of PPS 5 Retailing and Town Centres to promote the viability and vitality of town and city centres whilst providing customer competition and choice.	High	Gail Kerr	Nov 2005	6 (A1)
10. Publication of PPS 20 The Coast to protect and manage the coastline whilst reconciling the competing development pressures.	High	Sandra Adams	Dec 2005	6 (A2)

11. Publication of PPS 14 Housing in the Countryside to support a strong, sustainable, diversified and vibrant rural economy yet balancing the protection and management of the natural environment.	High	John Cummins	Dec 2005	6(A3)
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Risk 5	Risk Assessment	
Non-achievement of RDS in relation to transportation, retail, countryside and coasts.	Impact	Low / Medium
	Likelihood	Low / Medium
	Risk Category	Legal / Regulatory / Environmental / Political / Service Delivery/ Activity
	Controls Adequate	N
Risk Owner	Acceptable Gap	N
Ian Raphael	Specific Objectives	Objective A

Potential Route Causes	Current Controls	Control Improvements
Application of policy framework	1, 2, 3	11, 12, 13
Delay in publishing Planning Policy Statements	5	
Other departmental strategies may not conform with the RDS	4, 6, 7, 8, 10	
Transport Plans are not subject to statutory control	9	14

Current Controls	BP ref
1. Rural Planning Strategy for Northern Ireland	N/A
2. Existing Planning Policy on retail	N/A
3. Planning Policy PPS 13 Transportation and Land Use to promote the integration of transportation and land use and reduce the dependence on the private car.	N/A
4. Participation on the Coastal Forum Steering Group and Inter Coastal management Zone	6 (B)
5. Targets for the production of Planning Policy Statements are included in the Department's Service Delivery Agreement which is monitored by the Departmental Management Group	6 (A)
6. Strategic Planning (NI) Order 1999 requires NI and UK departments in exercising any functions in relation to development to have regard to the RDS	N/A
7. The implementation of the RDS is overseen by an Inter-Departmental Steering Group, which is chaired by the Minister for Regional Development. The IDSG meets 4 times a year.	5 (D1)
8. Integrated Transport Stakeholders group meet twice yearly to ensure that the views of key stakeholders are considered in the implementation of the RTS.	7 (A2)
9. The implementation of the RTS is overseen, monitored and reviewed by the Regional Transportation Strategy Steering Group (RTSSG), which meets quarterly. Its membership comprises senior Transportation, Roads Service and Planning officials and representatives from the Northern Ireland Holding Company (NITHC) and transport operators Translink.	7 (A4)
10. RPTD will provide advice and guidance on strategic planning policy through	5 (E1,

representation on Groups and Committees, and comment on draft policies developed by DOE Planning Service.	E2, 7 (C1 to C4)
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Actions to improve control	Critically	Responsibility	Date	BP ref
11. Publish PPS 5 Retailing and Town Centres – to promote the viability and vitality of town and city centres whilst providing customer competition and choice.	High	Gail Kerr	Nov 2005	6 (A1)
12. Publish PPS 20 The Coast – to protect and manage the coastline whilst reconciling the competing development pressures.	High	Sandra Adams	Dec 2005	6 (A2)
13. Publish PPS 14 Development in the Countryside - to support a strong, sustainable, diversified and vibrant rural economy yet balancing the protection and management of the natural environment	High	John Cummins	Dec 2005	6 (A3)
14. Undertake a formal mid-term review of RTS.	High	Ian Humes	Mar 2006	7 (B1)

Risk 6	Risk Assessment	
Fail to adequately monitor the implementation of RTS.	Impact	High
	Likelihood	Low
	Risk Category	Service Delivery/ Activity
	Controls Adequate	Y
Risk Owner	Acceptable Gap	N/A
Ian Humes	Specific Objectives	Objective A

Potential Route Causes	Current Controls	Control Improvements
Progress against RTS is not correctly assessed.	1, 2, 3, 4, 5	9
Key targets and indicators are inappropriate.	3, 6, 7	9, 10
Transport Plans are not subject to statutory control	1, 4, 5	9
Other Departmental strategies may not conform with RTS.	4, 5, 8	9

Current Controls	BP ref
1. Publish RTS Annual Monitoring report	7 (A1)
2. Integrated Transport Stakeholders Group meet twice yearly to ensure that the views of key stakeholders are considered in the implementation of RTS.	7 (A2)
3. RPTD will work in partnership with Roads Service to identify the data to be collected by the Data Management and Modelling Unit to support the performance of the RTS.	7 (A3)
4. Quarterly Meetings of RTSSG.	7 (A4)
5. Participate on BMTTP and RSTNTP Implementation Groups, SRTP Steering Group and Transport Operations Group.	7 (C1 to C4)
6. BMTTP targets and indicators established.	N/A
7. RSTNTP targets and indicators established.	N/A
8. Transport Planning Guidance: PPS 13 Transportation and Land Use and PPS Access and Parking	N/A

Actions to improve control	Critically	Responsibility	Date	BP ref
9. RPTD will undertake a formal mid-term review of RTS to ensure that present actions are likely to achieve the expected long-term objectives and to consider adjustments that may be needed in light of emerging needs.	High	Ian Humes	Mar 2006	7 (B1)
10. Draft SRTP targets and indicators published.	High	RS	Mar 2006	N/A