

REPORT OF FINANCE MANAGER

SUBJECT: RISK REGISTER

Purpose of Report

To ask Members to consider the latest risk register.

Recommendation

Members are asked to consider and comment on the risk register.

Background Documents

None

(For further information, please contact Richard Griffiths)

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PCNPA - AUTHORITY RISK REGISTER - Sept 2019

	RISK	Type	Inherent risk			Mitigation	Residual risk			Control/ monitoring	Trend this qtr	Progress Update
			Likelihood	Impact	Risk		Likelihood	Impact	Risk			
1	Short Term Risk of significant reduction of funding from WG, other public sector funders, or grant schemes	Strategic	3	3	9	Planned cost reduction, budget planning, increase local income and other external funding	2	2	4	Budget management & project financial planning	↑	Funding for next 12 months subject to change
2	Medium to Long Term Risk of significant reduction of funding from WG, other public sector funders, or grant schemes	Strategic	3	4	12	Planned cost reduction, budget planning, increase local income and other external funding	3	3	9	Budget management & project financial planning	↑	Anticipated 5% cuts for 2018/19 and 2019/20 were not implemented, thus alleviating future funding pressures .
3	Risk of failing to comply with new legislation - Future Generations Act Planning Act Environment Act etc	Strategic	3	3	9	Monitor legislation Liaise with WLGA, WAO, other NPAs, etc	3	2	6	Involved as Early Adopter, monitor progress of other authorities	↔	Corporate Plan prepared to fit with Future Generations Well-being Goals.
4	Risk of failing to comply with current legislation	Strategic	2	4	8	Policies in place, assessment by WAO, reporting to review committees	2	2	4	Performance reports to Members, monitoring legislation	↔	
5	Failure to comply with Welsh Language Standards	Strategic	2	4	8	Compliance notice sets out standards	2	2	4	Language working group progress reports to CMT	↔	
6	Not being able to delivery on the targets laid down by the Welsh Government's "Valued & Resilient" priorities for AONBs and NPs.	Strategic/ operational	2	2	4	To be determined	2	2	4	To be determined	↔	
7	Failure to meet diversity requirements in Authority Membership	Strategic	2	3	6	Three members retiring in 2019 .Two open evenings held in January 19 to attract new members	2	2	4	Report to WG	↔	
8	Risk of failing to maintain high levels of governance	Strategic	2	4	8	Member & officer training, Members' Charter, register of interests	2	2	4	No negative audit reports from WAO & internal audit or ombudsman investigations	↔	Members' development strategy approved by NPA.
9	Risk of NPA activities having a negative impact on socio-economic well-being of the area	Strategic	2	3	6	Consultation & liaison on LDP review and other new policies	2	2	4	Membership of PSB, liaison with Pembs Tourism and other groups	↔	LDP submitted to Welsh Government and Planning Inspectorate to be followed by public examination later in 2019.
10	Risk of poor partner relationships affecting joint working	Strategic	2	3	6	Many examples of joint/shared working in place. Discussions with PCC, NRW and other NPAs to review opportunities	2	2	4	Reporting to NPA and Minister	↔	Greater involvement with PSB on Future Generations and other matters.
11	Risk of long term impact from climate change	Strategic	2	4	8	Participation in the Local Service Board's climate risk assessment.	2	4	8	Monitor impact	↔	
12	Risk of disease or invasive species damaging biodiversity	Strategic	2	4	8	NPA has some impact/control outside own property thorough its Invasive Species project	2	4	8	Monitor	↔	INNS project underway in Gwaun Valley involving local community volunteers.
13	Risk of significant damage due to bad weather	Financial	2	4	8	Regular Building and Site Inspections, Tree Policy, Adaptations made to vulnerable structures, Monitoring	2	3	6	Monitor and review properties etc.	↔	Use of Authority's reserves to repair storm damaged incurred in Autumn 2018
14	Risk of flawed decision on planning matters	Reputation/ Financial	2	4	8	Codes of practice & protocols. Members Charter. Member & staff training, cooling-off period. Reserve in place to cover.	2	3	6	No. of approvals outside policy and decisions against recommendation	↔	
15	Risk of failure to allocate all SDF grants	Operational	2	3	6	Publicity, funding surgeries etc as required	2	2	4	Monitor funding and claims	↓	SLA signed with Planeld to support administration of the scheme.
16	Risk of lack of staff capacity/skills for key work	Operation	2	4	8	Training programme planned around skills needed. Buy in expertise as required.	2	2	4	Project planning and reviews to identify potential/actual problems	↔	Assessment of establishment figures show no reduction in front line staff and specialist staff
17	Risk of major incident affecting or involving NPA staff and resources	Strategic	2	2	4	Monitor special events. Response plan in place. In contact with other agencies	2	1	2	Monitoring	↔	Internal audit reviewed business continuity plans and suggest creation of a Business Continuity Group (BCC), BCC in existence.
18	Risk of loss of major NPA operational building due to fire or other damage	Operation	2	3	6	All buildings well maintained. Security & fire alarm systems in place. Annual Fire Safety Risk Assessment on all Buildings. Insurance to cover some costs	2	2	4	Annual inspections	↔	see above
19	Risk of causing significant environmental damage due to actions by NPA staff or on NPA property	Reputation	2	3	6	Risk assessments for operation and location in place, staff training.	2	2	4	Incident reporting & monitoring by H&S group and CMT.	↔	IOSH training course completed.
20	Risk of major IT failure or virus attack etc	Operation	2	4	8	Daily backup of data. Backup email server in place. Disaster recovery facilities in place on second site. Security updates installed as soon as available.	2	3	6	Monitor back up procedures and security logs.	↔	IT Manager to be appointed
21	Risk of failure of phone system	Operational	2	4	8	Maintenance contract in place and mobile phone network as backup	2	3	6	Monitor performance	↔	Continue with maintenance contract. Reviewing replacement systems and costs.
22	Risk of loss of key documents	Financial	2	2	4	Key documents in fire safe, copies made, many also electronic copies.	2	1	2	Staff training and awareness.	↔	
23	Risk of inaccurate GIS and other data for decision making	Operational	2	4	8	Software now in place to control data quality, including FME software	2	2	4	Review data standards	↔	Staff training undertaken
24	Risk of failing to deliver approved LDP on the agreed timescale	Financial	2	4	8	Guidance from WG sets out process.	2	2	4	LDP working party	↔	LDP submitted to Welsh Government and Planning Inspectorate to be followed by examination later in 2019
25	Risk of failure to maintain performance of DM service	Operational	2	4	8	New systems and procedures in place, staff training. Outsourcing used for peak workloads	2	2	4	Monitor & report performance	↓	85.4% of all planning applications determined within time periods required ytd.

26	Failure to meet affordable housing targets	Strategic	2	4	8	Affordable housing policies to be amended in LDP review	2	2	4	Monitoring	↔	Continue monitoring - number of applications approved and refused.
27	Risk of failure to improve web access and document management for DM service	Strategic	2	4	8	Difficult to implement with present planning system configuration.	2	2	4	Report to CMT	↔	It is anticipated that the Document Management system will be fully implemented by end of March 2019.
28	Risk of failure to manage conservation sites to achieve service standard	Operational	2	2	4	Sites monitored annually, management plans reviewed	2	1	2	Regular monitoring	↔	Bids for additional funding regularly submitted.
29	Risk of failure to meet service standard for RoWs	Operational	2	2	4	Annual condition inspection of Coast Path, Inland ROW and Bridge inspection using digital inspection App. Standard Operating Procedure for Bridge Inspections	2	1	2	Resource constraints have meant we now able inspect the PROW network on a 4 year cycle as oppose to the 3 year cycle.	↔	
30	Risk of failing to meet Carew Castle long term lease obligations and maintenance especially on causeway and castle stonework	Operational	2	4	8	Regular inspections and maintenance actions. 60+ years remain on lease.	2	2	4	Annual work programme. Emergency works completed quickly	↔	In 2018 the Authority agreed a 5 year maintenance program circa £150k. Reserve in place to cover these costs.
31	Incident due to failure to adequately maintain and repair paths, sites and properties	Financial	2	2	4	Adoption of Visitor Safety Strategy, Annual Building Inspection and Risk Assessments of all sites. Regular maintenance programme. Reports from public and Coast Guard	2	1	2	Implementation of annual work programme Emergency works completed quickly, Incidents reported	↔	Annual inspection completed.
32	Incident due to falling trees or branches in our property	Financial	2	2	4	Updated Tree Policy, Annual Inspections, Tree Management, Independent Inspection every 3 years, Staff trained to Level 2 Tree Inspection, Weather event protocols	2	1	2	Implementation of annual work programme. Site assessment reports	↔	Repair work will be completed following winter storms
33	Incident due to driver error/increased vehicle faults as the fleet is ageing.	Financial / Operational	4	2	8	All vehicles maintained to manufacturers recommendations. Vehicles checked for roadworthiness. Driver licence and vehicle documentation checked. Staff driving assessed. Staff training. Decision made to renew fleet and ensure no vehicle is more than 7 years old	2	2	4	Regular vehicle checks. Annual check of drivers' licences. Accidents involving Authority vehicles reported to H&S group.	↔	Authority appointed a specialist fleet management company to advise on monitoring risk
34	Incident caused by or to staff or volunteers	Financial	2	2	4	Risk assessment for operation and location. Staff training. £25m public liability insurance. Adequate briefing for each volunteer event	2	1	2	Review of risk assessments. Review of staff training requirements. Incidents reported.	↔	No recent changes
35	Incident to school children/vulnerable persons while involved in NPA provided activity, work experience etc.	Financial	2	2	4	Risk assessment for operation and location. DBS Checks. Child protection policy. Staff training. £25m public liability insurance	2	1	2	Review of risk assessments. Incidents reported.	↔	No recent changes
36	Incident caused by faulty merchandise, food etc provided by NPA	Financial	2	2	4	Reliable supply sources. Merchandise group monitors products. £25m public liability insurance	2	1	2	Incidents reported	↔	No recent changes
37	Incident caused by livestock managed by NPA	Financial	2	4	8	Risk assessment for operation and location, Staff training, £25m public liability insurance	2	2	4	Incidents reported to H&S officer	↔	Audit undertaken undertaken by internal safeguarding leads
38	Cilrhedyn Woodland Centre	Financial	2	2	4	The Woodland centre's operating costs continued to fall in the last financial year reducing ongoing exposure	2	1	2		↔	Further options for the site to be reviewed as appropriate
39	Impact of BREXIT	Strategic/ Financial / Operational	3	4	12	The full impact of funding and legislative changes on the Authority are unknown.	3	4	12	The longer term significance of the brexit decision will be constantly reviewed	↑	The Authority is represented on Welsh Government panels to review impact of BREXIT.
40	Compliance with the new General Data Protection Regulations	Strategic/ Financial / Operational	2	4	8	New General Data Protection Regulations (GDPR) come into force in the UK on the 25 May 2018. There is a need to raise awareness amongst Members and key people in the Authority that the law is changing to the GDPR. Lead officers have	2	2	4	Detailed work schedule prepared with target dates and assigned responsibilities. The Authority will	↔	Carrying out data audit across Authority.
41	Conservation burning could result in property being destroyed	Strategic/ Financial / Operational	2	4	8	Risk assessment undertaken for operation and location. Best practice adopted and staff sufficiently trained	1	4	4	Review of risk assessments. Incidents reported.	↔	No recent changes
42	Failure to Recover Outstanding Debts	Financial	2	2	4	All Authority debts recorded and monitored in finance system until repayment is made	1	2	2	Weekly monitoring of debts at risk, issue of series of bad recovery letters to debtors	↔	Debts at risk reducing

KEY:

IMPACT ON BUSINESS	Critical	4	8	12	16	12+: Unacceptable level of risk exposure, which requires extensive management
	Major	3	6	9	12	
	Moderate	2	4	6	8	6 – 9: Risk management measures need to be put in place and monitored
	Minor	1	2	3	4	3 - 4: Acceptable level of risk subject to regular monitoring
		Almost Never	Unlikely	Likely	Almost Certain	
		1	2	3	4	1 – 2 Acceptable level of risk subject to regular monitoring
LIKELIHOOD OF OCCURRING						

Change from previous report