

REPORT OF FINANCE MANAGER

SUBJECT: RISK REGISTER

Purpose of Report

To ask Members to consider the latest risk register.

The following risk register has been reviewed by the Leadership Team and recent progress and changes noted.

The main changes from the previous report are as follow:

Risk No	Risk Name	Progress
16	Risk of lack of staff capacity/skills for key work, due to need for staff to self-isolate and absence	Risk amended to focus on short term impact of COVID with the longer term impacts included as Risk 48. Measures are put in place to make sure that key tasks can be undertaken, although some decisions are taken on a case by case basis.
46	Financial risk due to loss of income as a result of Covid-19	Risk is low for this year, however, it is still an issue for 2021-22.
48	Risk of 'key' staff in 'critical posts leaving.	See above
49	Risk of delays in the delivery critical projects	On going monitoring

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 - Jan 2021

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	←	Current budget approved
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	←	Early indication from WG are that 2021/22 NPG will remain unchanged from 2020/21
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, Audit Wales, other NPAs, etc	3	2	6	Regular engagement with Welsh Government and WFG Commissioners Office	↔	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 Audit Wales, 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	Process in place to ensure compliance e.g. Welsh language assessment for new posts	↔	
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	1	Currently on track	2	2	4	Activities included in Corporate and Resources Plan and regular engagement with Welsh Government	↔	All Designated Landscapes are undertaking a review to see how we have delivered against V and R. Welsh Government may review the document after May election.
7	Failure to meet diversity requirements in Authority Membership	Strategic	4	2	4	No current vacancies, organise mentoring and promotional activities prior to next round of Welsh Government appointments	1	1	2	Engagement with Welsh Government to seek to attract diverse candidates for future vacancies	↔	
8	Risk of failing to maintain high levels of governance	Strategic	2	4	8	Member & officer training, work to achieve Advanced Members' Charter, register of interests	2	2	4	No negative audit reports from Audit Wales & 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	New LDP adopted	2	2	4	Membership of PSB, liaison with Visit Pembrokeshire and other groups	↔	LDP adopted in September 2020
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 Public Service Board's climate risk assessment and Authority has agreed Climate Change Action Plan	2	3	6	Monitor impact	↔	
12	Risk of disease or invasive species damaging biodiversity	Strategic	2	4	8	NPA has some impact/control outside own property through its Invasive Species project	2	4	8	Monitor	↔	Welsh Government Funding secured
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. New process for allocating funding agreed in July 2020, with clearer application deadlines	2	2	4	Monitor funding and claims	←	
16	Risk of lack of staff capacity/skills for key work, due to need for staff to self isolate and absence	Operation	3	4	12	Looking at additional seasonal recruitment to cover shortages and temporarily move staff into key areas	2	2	4	Project planning and reviews to identify potential/actual problems	↔	
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	↔	Business Continuity plans are to be reviewed by Audit Wales.
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	3	4	12	Daily backup of data. Backup email server in place. Disaster recovery facilities in place on second site. Security updates installed as soon as available. Critical dependence on small number of key staff.	3	4	12	Monitor back up procedures and security logs. Review staff skills.	↔	Review of IT priorities being undertaken - report due Dec 2020.
21	Risk of failure of phone system	Operational	2	4	8	Maintenance contract in place and mobile phone network as backup	2	3	6	Work undertaken to install new cross Authority phone system	↔	New phone system rolled out in Autumn 2020

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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.	↔	Full access to buidlings currently available.
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.	1	2	2	LDP working party	↔	LDP adopted in September 2020
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	↓	98.3% 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 new LDP	2	2	4	Monitoring	↔	Continue monitoring - number of applications approved and refused.
27	Risk of maintaining web access and document management for DM service	Strategic	2	2	4		2	2	4	Access required by staff and consultants regulary	↔	System implemented
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 contraits 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	↔	
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	Annual Inspection, Implementation of annual work programme Emergency works completed quickly, Incidents	↔	
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	↔	
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 that 7 yeras old	2	2	4	Regular vehicle checks. Annual check of drivers' licences. Accidents involving Authority vehicles reported to H&S group.	↔	
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 contined 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	Breach of General Data Protection Regulations	Strategic/ Financial / Operational	2	4	8	Training programme to ensure compliance amongs members and officers	2	2	4	Detailed work schedule prepared with target dates and assigned responsibilites. The Authority has appointed a Data Protection Officer and assess where this role will sit within the Authority's structure and governance arrangements	↔	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 increasing

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43	Ash Die Back disease is now widespread within the National Park, including on our Estate.	Strategic/ Financial / Operational	3	4	12	Review of the overall impact of ash dieback undertaken in 2020. Limited exposure as paths maintained and land not owned by Authority	3	2	6	Remedial work being undertaken in house as and when required.	↓	Ash Dieback Decision Guide and Arc online being used to manage the spread of the decision
44	Financial and Reputational risk associated with setting up the new Destination Marketing Organisation	Reputational / Financial	3	2	6	Shadow Board set up, with representative from the Authority. Financial commitment agreed by Authority. Future relationship of Coast to Coast yet to be agreed but will be decided by Members.	2	2	4	Member appointed onto the Board. Funding agreement to be set up with Visit Pembrokeshire	↔	
45	Impact of Covid-19	Strategic / Financial / Operational	4	4	16	A short to medium significant impact across all of the services provided by the Authority. Difficult to mitigate against impacts.	4	3	12	Follow guidance from Public Health Wales. Clear communication with staff, members and public. Develop approach to deliver our services	↔	
46	Financial risk due to loss of income as a result of Covid-19	Strategic / Financial / Operational	4	4	16	Budget reviewed to identify reductions in expenditure, application to access the Job Retention Scheme and discussions with Welsh Government regarding opportunities for additional support	4	3	12	Take advantage of opportunities to access alternative funding opportunities	↔	WG Financial support given to cover 1st qtr loss of income. Potential further support may be available.
47	Risk of disease or pandemic	Strategic / Financial / Operational	3	4	12	There is a need to review approach of the Authority to ensure that it is able to respond to public health or animal / plant health crisis and also to deliver necessary services.	2	4	8	Develop a plan or an approach to deal with issue.	↔	
48	Risk of 'key' staff in 'critical' posts leaving.	Strategic / Financial / Operational	3	4	12	Carry out risk assessment of key posts/individuals. Develop plan of action for all critical posts/staff. Identify skills shortages to deliver strategic plan	2	3	6	Key Person Dependency Risk Matrix and Succession Plan in place, linked to Performance Appraisal. SOPS for critical business processes	↔	Under review.
49	Risk of delays in the delivery critical projects	Strategic / Financial / Operational	3	3	9	Operational and financial risk of the delay of Capital projects due to Covid-19, Staffing shortages and factors outside our control.	2	3	6	Monthly property group meetings held to monitor	↔	On going monitoring

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