

REPORT OF BUSINESS & PERFORMANCE MANAGER

SUBJECT: RISK REGISTER

Purpose of Report

To ask Members to consider the latest risk register

The following risk register has been reviewed by both the Management and Leadership Teams and recent progress and changes noted. No new risks have been added and none removed.

One risk – Impact of Welsh Language Standards, has been reduced from medium (amber) to low (green). Since the last report three risks have increased slightly, indicated by the up arrow, and two have reduced slightly (the down arrow) but not sufficiently to change the coloured risk level.

Recommendation

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

Background Documents

None

(For further information, please contact Alan Hare)

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PCNPA - AUTHORITY RISK REGISTER - February 2016

| | RISK | Likelihood | Impact | Current Risk Level | Target Risk | Trend this qtr | Type | Mitigation | Control/ monitoring | Progress Update |
|---|--|--------------|--------------|--------------------|-------------|----------------|-----------------------|---|--|---|
| 1 | Risk of significant reduction of funding from WG, other public sector funders, or grant schemes | Probable (3) | Severe (3) | High (9) | Med (4) | ↕ | Strategic | Planned cost reduction, budget planning, increase local income and other external funding | Budget management & project financial planning | 6% reduction indicated. Additional capital may be available. Difficult to plan for medium term. |
| 2 | Risk of failing to comply with new legislation - Future Generations Act Planning Act Environment Act etc | Unlikely (1) | Moderate (2) | Low (2) | Low (2) | ↕ | Strategic | Monitor legislation Liaise with WLGA, WAO, other NPAs, etc | Involved as Early Adopter, monitor progress of other authorities | Corporate Plan drafted to fit with Future Generations Well-being Goals. |
| 3 | Risk of failing to comply with current legislation | Unlikely (1) | Moderate (2) | Low (2) | Low (2) | ↕ | Strategic | Policies in place, assessment by WAO, reporting to review committees | Performance reports to Members, monitoring legislation | Annual Improvement Report from WAO indicates only one proposal for further improvement |
| 4 | Failure to comply with new Welsh Language Standards | Unlikely (1) | Moderate (2) | Low (2) | Low (2) | ↓ | Strategic | Compliance notice sets out standards | Language working group progress reports to CMT | Most new standards can be implemented with staff training and procedural changes |
| 5 | Risk of Review of Designated Landscape recommendations impacting on service delivery | Possible (2) | Moderate (2) | Med (4) | Low (2) | ↕ | Strategic/operational | To be determined | To be determined | Senior staff working with Designated Landscapes Working Party |

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| 6 | Failure to meet diversity requirements in Authority Membership | Possible (2) | Moderate (2) | Med (4) | Low (2) | ↕ | Strategic | Introduce mentoring for potential members | Report to WG | 3 mentees have commenced training |
| 7 | Risk of failing to meet WG policy requirements | Unlikely (1) | Moderate (2) | Low (2) | Low (2) | ↕ | Strategic | Regular liaison with WG, WLGA and NPW | Monitor policy changes | No recent changes |
| 8 | Risk of failing to maintain high levels of governance | Unlikely (1) | Moderate (2) | Low (2) | Low (2) | ↑ | Strategic | Member & officer training, Members' Charter, register of interests | No negative audit reports from WAO & internal audit or ombudsman investigations | Members' development strategy approved by NPA. Few Members' self assessments completed. |
| 9 | Risk of NPA activities having a negative impact on socio-economic well-being of the area | Unlikely (1) | Moderate (2) | Low (2) | Low (2) | ↕ | Strategic | Consultation & liaison on LDP review and other new policies | Membership of PSB, liaison with Pembs Tourism and other groups | Action plan approved. |
| 10 | Risk of poor partner relationships affecting joint working | Unlikely (1) | Moderate (2) | Low (2) | Low (2) | ↕ | Strategic | Many examples of joint/shared working in place. Discussions with PCC, NRW and other NPAs to review opportunities | Reporting to NPA and Minister | Greater involvement with PSB on Future Generations and other matters. |
| 11 | Risk of long term impact from climate change | Possible (2) | Moderate (2) | Med (4) | Med (4) | ↕ | Strategic | Build mitigation into NPMP and other policies | Monitor impact | No recent changes |

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| 12 | Risk of disease or invasive species damaging biodiversity | Possible (2) | Moderate (2) | Med (4) | Med (4) | ↔ | Strategic | NPA has limited impact/control outside own property | Monitor | INNS project underway in Gwaun Valley involving local community volunteers. |
| 13 | Risk of significant damage due to bad weather | Possible (2) | Moderate (2) | Med (4) | Med (4) | ↔ | Financial | Maintain properties and sites in good condition to minimise potential damage. Business continuity plans to consider implications. Budget reserves and insurance in place. | Monitor and review properties etc. | No recent changes |
| 14 | Risk of flawed decision on planning matters | Possible (2) | Moderate (2) | Med (4) | Low (2) | ↔ | Reputation | Codes of practice & protocols. Members Charter. Member & staff training, cooling-off period. | No. of approvals outside policy and decisions against recommendation | Risk of a judicial review remains on one application. |
| 15 | Risk of failure to allocate all SDF grants | Unlikely (1) | Minor (1) | Low (1) | Low (1) | ↓ | Operational | Publicity, funding surgeries etc as required | Monitor funding and claims | Funding for 2015/16 fully committed in January SDF Committee |
| 16 | Risk of lack of staff capacity/skills for key work | Possible (2) | Moderate (2) | Med (4) | Med (4) | ↑ | Operation | Training programme planned around skills needed. Buy in expertise as required. | Project planning and reviews to identify potential/actual problems | Voluntary retirements of long serving staff may reduce corporate knowledge. |

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| 17 | Risk of major incident affecting or involving NPA staff and resources | Unlikely (1) | Moderate (2) | Low (2) | Low (2) | ↕ | Strategic | Monitor special events. Response plan in place. In contact with other agencies | Monitoring | Contingency plans being prepared for key activities |
| 18 | Risk of causing significant environmental damage due to actions by NPA staff or on NPA property | Unlikely (1) | Moderate (2) | Low (2) | Low (2) | ↕ | Reputation | Risk assessments for operation and location in place, staff training. | Incident reporting & monitoring by H&S group and CMT. | IOSH training course completed. |
| 19 | Risk of loss of major NPA operational building due to fire or other damage | Unlikely (1) | Severe (3) | Med (3) | Med (3) | ↕ | Operation | All buildings well maintained. Security & fire alarm systems in place. Insurance to cover some costs | Annual inspections | Business continuity plans to be completed |
| 20 | Risk of major IT failure or virus attack etc | Possible (2) | Severe (3) | High (6) | High (6) | ↕ | Operation | Daily backup of data. Backup email server in place. Disaster recovery facilities in place on second site. Security updates installed as soon as available. | Monitor back up procedures and security logs. | No security incidents detected. Continuing to test disaster recovery plans |
| 21 | Risk of failure of phone system | Unlikely (1) | Severe (3) | Med (3) | Med (3) | ↕ | Operational | Maintenance contract in place | Monitor performance | Continue with maintenance contract. Reviewing replacement systems and costs. |

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| 22 | Risk of loss of key legal documents | Unlikely (1) | Moderate (2) | Low (2) | Low (2) | ↔ | Financial | Key documents in fire safe, copies made, many also electronic copies. | Staff trainin and awareness. | No recent changes |
| 23 | Risk of inaccurate GIS and other data for decision making | Possible (2) | Moderate (2) | Med (4) | Low (2) | ↓ | Operational | Upgrading to QGIS system to give improved controls and easier to use. | Review data standards | Gradual change over to QGIS system proposed to start in April/May. |
| 24 | Risk of failing to deliver approved LDP | Possible (2) | Moderate (2) | Med (4) | Low (2) | ↔ | Financial | Guidance from WG sets out process. | LDP working party | Delivery agreement being prepared including risks specific to delivery including resources, changes in legislation etc. Review work underway to prepare initial reports for LDP working party |
| 25 | Risk of failure to maintain performance of DM service | Possible (2) | Moderate (2) | Med (4) | Low (2) | ↔ | Operational | New systems and procedures in place, staff training. Outsourcing used for peak workloads | Monitor & report performance | Performance 2014/15 in top 3 or 4 of WG league, but have slipped recently to mid table. Continue monitoring |
| 26 | Failure to meet affordable housing targets | Probable (3) | Moderate (2) | High (6) | Low (2) | ↔ | Strategic | Affordable housing policies to be amended in LDP review | Monitoring | Continue monitoring - number of applications approved and refused. |

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| 27 | Risk of failure to improve web access and document management for DM service | Possible (2) | Moderate (2) | Med (4) | Low (0) | ↕ | Operational | Difficult to implement with present planning system configuration. | Report to CMT | Investigating solution with PCC and alternative systems. |
| 28 | Risk of failure to manage conservation sites to achieve service standard | Unlikely (1) | Minor (1) | Low (1) | Low (1) | ↕ | Operational | Sites monitored annually, management plans reviewed | Regular monitoring | Conservation report presented to OR Committee. |
| 29 | Risk of failure to meet service standard for RoWs | Unlikely (1) | Minor (1) | Low (1) | Low (1) | ↕ | Operational | Annual condition inspection of length Coast Path & routine inspections of inland paths. Insurance. | Monitor condition | Possible capital grant available for 2016/7. |
| 30 | Risk of failing to meet Carew Castle long term lease obligations and maintenance especially on causeway and castle stonework | Possible (2) | Moderate (2) | Med (4) | Low (1) | ↕ | Financial | Regular inspections and maintenance actions. 60+ years remain on lease. | Annual work programme. Emergency works completed quickly | 5 year management plan being prepared for submission to Cadw |
| 31 | Incident due to failure to adequately maintain and repair paths, sites and properties | Unlikely (1) | Moderate (2) | Low (2) | Low (2) | ↕ | Financial | Annual inspections of buildings & sites. Routine maintenance. Reports from staff, coast guard and public. Insurance | Implementation of annual work programme Emergency works completed quickly, Incidents reported to H&S group. Property Group | Annual inspection completed |

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| 32 | Incident due to falling trees or branches in our property | Unlikely (1) | Moderate (2) | Low (2) | Low (2) | ↑ | Financial | Woodland Strategy. Annual inspection of all woodland sites. Additional inspection following dangerous weather conditions. £25m public liability insurance | Implementation of annual work programme. Site assessment reports | Site inspections carried out following recent high winds. |
| 33 | Incident due to driver error/vehicle fault | Unlikely (1) | Moderate (2) | Low (2) | Low (2) | ↕ | Financial | All vehicles maintained to manufacturers recommendations. Vehicles checked for roadworthiness. Driver licence and vehicle documentation checked. Staff driving assessed. Staff training | Regular vehicle checks. Annual check of drivers' licences. Accidents involving Authority vehicles reported to H&S group. | Monitoring vehicle damage following a slight increase. Reviewing how to check driving licences now that paper no longer available. |
| 34 | Incident caused by or to staff or volunteers | Unlikely (1) | Moderate (2) | Low (2) | Low (2) | ↕ | Financial | Risk assessment for operation and location. Staff training. £25m public liability insurance. Adequate briefing for each volunteer event | Review of risk assessments. Review of staff training requirements. Incidents reported. | No recent changes |

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| 35 | Incident to school children/vulnerable persons while involved in NPA provided activity, work experience etc. | Unlikely (1) | Moderate (2) | Low (2) | Low (2) | ↕ | Financial | Risk assessment for operation and location. DBS Checks. Child protection policy. Staff training. £25m public liability insurance | Review of risk assessments. Incidents reported. | No recent changes |
| 36 | Incident caused by faulty merchandise, food etc provided by NPA | Unlikely (1) | Moderate (2) | Low (2) | Low (2) | ↕ | Financial | Reliable supply sources. Merchandise group monitors products. £25m public liability insurance | Incidents reported | No recent changes |
| 37 | Incident caused by livestock managed by NPA | Possible (2) | Moderate (2) | Med (4) | Med (4) | ↕ | Financial | Risk assessment for operation and location, Staff training, £25m public liability insurance | Incidents reported to H&S officer | No recent changes |