

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 - December 2018

	RISK	Likelihood	Impact	Current Risk Level	Target Risk	Trend this qtr	Type	Mitigation	Control/ monitoring	Progress Update
1	Short Term Risk of significant reduction of funding from WG, other public sector funders, or grant schemes	Unlikely (1)	Severe (2)	Low (2)	Low (2)	↓	Strategic	Planned cost reduction, budget planning, increase local income and other external funding	Budget management & project financial planning	Funding agreed for next 12 months.
2	Medium to Long Term Risk of significant reduction of funding from WG, other public sector funders, or grant schemes	Probable (3)	Severe (3)	Med (6)	Med (4)	↔	Strategic	Planned cost reduction, budget planning, increase local income and other external funding	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	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 prepared to fit with Future Generations Well-being Goals.
4	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	
5	Failure to comply with Welsh Language Standards	Unlikely (1)	Moderate (2)	Low (2)	Low (2)	↔	Strategic	Compliance notice sets out standards	Language working group progress reports to CMT	

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6	Not being able to delivery on the targets laid down by the Welsh Government's "Valued & Resilient" priorities for AONBs and NPs.	Possible (2)	Moderate (2)	Low (2)	Low (2)	↕	Strategic/ operational	To be determined	To be determined	
7	Failure to meet diversity requirements in Authority Membership	Possible (2)	Moderate (2)	Med (4)	Low (2)	↕	Strategic	Three members retiring in 2019 .Two open evenings held in January 19 to attract new members	Report to WG	
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.
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, liasion with Pembs Tourism and other groups	LDP submitted to Welsh Government and Planning Inpsectorate to be followed by general public examination later in 2019.
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	Participation in the Local Service Board's climate risk assessment.	Monitor impact	
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.

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13	Risk of significant damage due to bad weather	Possible (2)	Moderate (2)	Med (4)	Med (4)	↕	Financial	Regular site surveys. Woodlands inspected after high winds.	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	Probable (3)	Moderate (2)	Med (4)	Low(2)	↕	Reputation/ Financial	Codes of practice & protocols. Members Charter. Member & staff training, cooling-off period. Reserve in place to cover.	No. of approvals outside policy and decisions against recommendation	
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	SLA signed with Planel to support administration of the scheme.
16	Risk of lack of staff capacity/skills for key work	Possible (2)	Moderate (2)	Med (4)	Low (2)	↕	Operation	Training programme planned around skills needed. Buy in expertise as required.	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	Unlikely (1)	Severe (3)	Med (3)	Low (2)	↕	Strategic	Monitor special events. Response plan in place. In contact with other agencies	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	Unlikely (1)	Severe (3)	Med (3)	Low (2)	↕	Operation	All buildings well maintained. Security & fire alarm systems in place. Insurance to cover some costs	Annual inspections	see above
19	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.

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20	Risk of major IT failure or virus attack etc	Unlikely (1)	Severe (3)	Med (3)	Med (3)	↕	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.	IT Manager to be appointed
21	Risk of failure of phone system	Unlikely (1)	Severe (3)	Med (3)	Med (3)	↕	Operational	Maintenance contract in place and mobile phone network as backup	Monitor performance	Continue with maintenance contract. Reviewing replacement systems and costs.
22	Risk of loss of key documents	Unlikely (1)	Moderate (2)	Low (2)	Low (2)	↕	Financial	Key documents in fire safe, copies made, many also electronic copies.	Staff training and awareness.	
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	Staff training undertaken
24	Risk of failing to deliver approved LDP on the agreed timescale	Possible (2)	Moderate (2)	Low (3)	Low (2)	↕	Financial	Guidance from WG sets out process.	LDP working party	LDP submitted to Welsh Government and Planning Inspectorate to be followed by public examination later in 2019
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	85.4% of all planning applications determined within time periods required ytd.

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26	Failure to meet affordable housing targets	Probable (3)	Moderate (2)	Low (2)	Low (2)	↕	Strategic	Affordable housing policies to be amended in LDP review	Monitoring	Continue monitoring - number of applications approved and refused.
27	Risk of failure to improve web access and document management for DM service	Possible (2)	Moderate (2)	Med (4)	Low (0)	↕	Strategic	Difficult to implement with present planning system configuration.	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	Unlikely (1)	Minor (1)	Low (1)	Low (1)	↕	Operational	Sites monitored annually, management plans reviewed	Regular monitoring	Bids for additional funding submitted.
29	Risk of failure to meet service standard for RoWs	Unlikely (1)	Minor (1)	Low (2)	Low (1)	↕	Operational	Annual condition inspection of length Coast Path & routine inspections of inland paths. Insurance.	Resource constraints have meant we now able to inspect the PROW network on a 4 year cycle as opposed 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	Possible (2)	Moderate (2)	Med (4)	Low (1)	↕	Operational	Regular inspections and maintenance actions. 60+ years remain on lease.	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	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	Repair work will be completed following winter storms
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.	Authority appointed a specialist fleet management company to advise on monitoring risk
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
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

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36	Incident caused by faulty merchandise, food etc provided by NPA	Unlikely (1)	Moderate (2)	Low (1)	Low (1)	↓	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	Audit undertaken undertaken by internal safeguarding leads
38	Cilrhedyn Woodland Centre	Possible (2)	Moderate (2)	Low (1)	Low (1)	↔	Financial	The Woodland centre's operating costs continued to fall in the last financial year reducing ongoing exposure		Further options for the site to be reviewed as appropriate
39	Impact of BREXIT	Possible (2)	Severe (3)	High (6)	High (6)	↑	Strategic/ Financial / Operational	The full impact of funding and legislative changes on the Authority are unknown.	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	Possible (2)	Moderate (2)	Med (4)	Low (2)	↔	Strategic/ Financial / Operational	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	Detailed work schedule prepared with target dates and assigned responsibilities. The Authority will designate 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.