

**REPORT OF FINANCE MANAGER**

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**SUBJECT: RISK REGISTER**

Purpose of Report

To ask Members to consider the latest risk register, which has been amended in accordance with an internal audit recommendation.

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 -April 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	4	12	Planned cost reduction, budget planning, increase local income and other external funding	2	2	6	Budget management & project financial planning	↑	Funding for next 12 months subject to potential 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	2	6	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	↔	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 Pems Tourism and other groups	↔	LDP submitted to Welsh Government and Planning Inspectorate to be followed by general 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 limited impact/control outside own property	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 site surveys. Woodlands inspected after high winds.	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 Planed 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. 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	Upgrading to QGIS system to give improved controls and easier to use.	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 public 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 submitted.
29	Risk of failure to meet service standard for RoWs	Operational	2	2	4	Annual condition inspection of length Coast Path & routine inspections of inland paths. Insurance.	2	1	2	Resource constraints have meant we now able inspect the PROW network on a 4	↔	
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	Annual inspections of buildings & sites. Routine maintenance. Reports from staff, coast guard and public. Insurance	2	1	2	Implementation of annual work programme. Emergency works	↔	Annual inspection completed.
32	Incident due to falling trees or branches in our property	Financial	2	2	4	Woodland Strategy. Annual inspection of all woodland sites. Additional inspection following dangerous weather conditions. £25m public liability insurance	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/vehicle fault	Financial	2	2	4	All vehicles maintained to manufacturers recommendations. Vehicles checked for roadworthiness. Driver licence and vehicle	2	1	2	Regular vehicle checks. Annual check of drivers' licences. Accidents	↔	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	↔	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	2	2	4	Detailed work schedule prepared with target dates and assigned	↔	Carrying out data audit across Authority.

KEY:

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