

REPORT OF THE BUSINESS AND PERFORMANCE MANAGER

SUBJECT:
RISK REGISTER – AUGUST 2012

Introduction

The Authority's risk register has historically included mainly risks of a corporate or strategic nature. In order to improve our corporate governance a number of improvements are proposed.

1. The type of risk included in the register is to be extended to include more service based and operational risks.
2. Each risk is to have an officer responsible for monitoring the risk and managing any mitigation actions
3. A senior officer is to review the risk to ensure the risk is being appropriately managed
4. The full risk register will be reported to each Audit and Corporate Review Services Committee and the relevant risks reported to the individual Review Committees each quarter.
5. A member will be assigned to monitor each of the most significant risks.

The revised draft risk register is attached.

Recommendation: Members are invited to CONSIDER and APPROVE the proposed changes to the Risk Register.

(For further information contact Alan Hare –Business & Performance Manager on ext 4810)

PEMBROKESHIRE COAST NATIONAL PARK AUTHORITY RISK REGISTER

August 2012

RISK	Likel- ihood	Impact	Risk Level	Type	Mitigation	Control/monit oring	Actions needed	Lead	Revi ew	Mem ber	Servi ce
Risk of failing to comply with Local Government Measure	Unlikely	Severe	3	Strategic	Corporate Strategy adopted Performance systems being developed Working with WAO	Corporate Assessment	Prepare corporate strategy and develop performance management. Include more benchmarking information in Improvement Plans.	AH	TJ		Corp
Risk of major incident affecting or involving NPA staff and resources	Unlikely	Moderate	2	Strategic	Draft plan in place In contact with other agencies	Review major incident plan	Major incident plan being reviewed	CM	AH		Corp
Failure to comply with new Welsh Language Standards	Possible	Moderate	4	Strategic	Monitor consultation report		Review Welsh Language Scheme	JE	TJ		Corp
Failure to comply with Equalities legislation	Possible	Moderate	4	Strategic			Implement Impact assessments	?	JS		Corp
Risk of failing to deliver against Strategic Grant Letter targets	Unlikely	Moderate	2	Strategic	Report quarterly against targets Negotiate SGL with WAG as early as possible	Monthly reports to SMT & quarterly to Review Committee	Introduce monthly reporting Continue to monitor	AH	TJ		Corp

RISK	Likelihood	Impact	Risk Level	Type	Mitigation	Control/monitoring	Actions needed	Lead	Review	Member	Service
Risk of poor partner relationships affecting joint working	Unlikely	Moderate	2	Strategic	Many examples of joint/shared working in place Discussions with adjoining authorities , CCW and other NPAs to review opportunities	Reporting to SMT and Minister	Continue to monitor	TJ		Chair	Corp
Solva accident claim reputation implications	Probable	Severe	9	Reputation	Work closely with insurance and legal representatives	Monitor case progress. Legal advisors appointed.	Prepare press statements prior to news breaking	AH	ME		Corp
Solva accident claim – could exceed insurance limit	Probable	Severe	9	Financial		Monitor legal action and defence case. Frequent liaison with insurers & legal team.	Own legal representatives appointed. Regular reporting to SMT/NPA. Develop strong defence evidence.	AH	TJ		Corp
Failure to retain liP	Unlikely	Low	1	Reputation		Monitor likely requirements	Preparation of relevant documents and staff briefing	JS	TJ		Corp
Risk of staff shortages due to special event or significant sickness etc	Unlikely	Moderate	2	Operation	Monitor sickness, plan around special events	Each service area to monitor & manage individually	Contingency plans for key activities and long term sickness cover (eg in planning use of consultants)	Team Leaders	Head of Service		All

RISK	Likelihood	Impact	Risk Level	Type	Mitigation	Control/monitoring	Actions needed	Lead	Review	Member	Service
Risk of lack of staff capacity/skills for key work	Possible	Moderate	4	Operation	Training programme planned around skills needed	Project planning and reviews to identify potential/actual problems	Better project planning, staff training needs identified in advance – increase staff resilience, flexibility	Team Leaders	Heads of Service		All
Incident to school children/vulnerable persons while involved in NPA provided activity, work experience etc.	Unlikely	Moderate	2	Financial	Risk assessment for operation and location CRB Checks Child protection policy Staff training £25m public liability insurance	Review of risk assessments Review of staff training requirements Incidents reported to H&S officer	Adequate briefing required for each volunteer event CRB checks required for key staff	Team Leaders	PR		All
Failure to reduce CO ² emissions by 3% pa	Possible	Moderate	4	Reputation	Continue greening our buildings	Regular monitoring	Regular reporting & implementing improvements	AH	TJ		All
Failure to provide affordable housing opportunities in accord with target	Probable	Moderate	6	Strategic	Current economic climate limiting residential development which funds affordable housing	Regular monitoring, use of S106	Possible scrutiny of policies	MD	JG		Direction
Risk of unpopular planning decision on high profile development	Probable	Moderate	4	Reputation	Work closely with developers & stakeholders, communicate with community interest groups	Assess implications of high profile applications	Regular monitoring, communications plan	VH	JG		Dev Man

RISK	Likel- ihood	Impact	Risk Level	Type	Mitigation	Control/monit oring	Actions needed	Lead	Revi ew	Mem ber	Servi ce
Failure to improve performance on speed of determining applications & provide quality service	Possible	Moderate	4	Reputation	Three Parks Review of potential of joint working underway.	Monthly performance reporting	Prepare action plan. Carry out customer survey.	VH	JG		
Risk of flawed decision on planning application	Unlikely	Severe	3	Reputation	Codes of practice & protocols including professional institute membership, Members Charter Member & staff training	No of approvals outside policy Validation procedures, signing off checks in place	Continue member and staff training Validation procedure updates in hand	VH	JG		Dev Man
Risk of failing to introduce enhanced web access & document management in reasonable time	Possible	Moderate	4	Reputation	Feasibility study scheduled for later this year.		PSBA implementation Investigate possible sharing with PCC	VH	AH		Dev Man

RISK	Likelihood	Impact	Risk Level	Type	Mitigation	Control/monitoring	Actions needed	Lead	Review	Member	Service
Incident due to condition on one of our properties, buildings, or sites	Unlikely	Moderate	2	Financial And reputation	Annual condition inspection Regular site visits for maintenance etc Prioritised annual maintenance programme with budget Emergency repairs fund Alarms fitted and tested where practical £25m public liability insurance	Property group meet monthly to consider property related matters, reporting to CMT. Number of emergency repairs required Number of incidents reported to H&S officer	Continue with annual inspections by site managers and technical officer Staff training. Daily management and cleansing regime in accord with best practice and standards Routine fire drills/emergency evacuation procedures in place	Site managers	AM		Discovery/Delivery
Incident caused by livestock managed by NPA	Possible	Moderate	4	Financial	Risk assessment for operation and location Staff training £25m public liability insurance	Review of risk assessments Review of staff training requirements Incidents reported to H&S officer	Review of each site prior to animals arriving. Daily checks	Area Managers	CM		Delivery
Risk of causing significant environmental damage due to actions by NPA staff or on NPA property	Unlikely	Severe	3	Reputation	Environmental management systems in place Risk assessments for operation and location	Number of incidents reported to H&S officer Staff training	Ensure reporting procedure in place	Team Leader/site managers	CM/PR		Delivery

RISK	Likelihood	Impact	Risk Level	Type	Mitigation	Control/monitoring	Actions needed	Lead	Review	Member	Service
Risk of loss of major NPA operational building due to fire or other damage	Unlikely	Severe	3	Operation	All buildings well maintained Security & fire alarm systems in place Insurance to cover some costs	Annual inspections	Business continuity plans needed	AM	CM		Delivery
Incident due to tripping hazard etc on Coast Path leading to claim	Unlikely	Moderate	2	Financial	Coast Path Strategy Annual condition inspection of length of path Routine maintenance – staff on path most days Reports from staff, coast guard and public £25m public liability insurance	Implementation of annual work programme Emergency works completed quickly Incidents reported to H&S officer	Annual inspection to be completed Additional inspections following adverse weather conditions – land slippage, flooding following severe rainfall.	DMac	CM		Delivery
Incident due to tripping hazard etc on other paths leading to claim	Unlikely	Moderate	2	Financial	RoWIP Routine maintenance – staff on paths most days Reports from staff, other agencies and public £25m public liability insurance	Implementation of annual work programme Emergency works completed quickly Incidents reported to H&S officer	Routine inspections to be completed	AR	CM		Delivery

RISK	Likelihood	Impact	Risk Level	Type	Mitigation	Control/monitoring	Actions needed	Lead	Review	Member	Service
Incident due to falling trees or branches in our property	Unlikely	Moderate	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	Routine inspections to be completed. Review delegation agreement to reduce liabilities Additional inspections following severe weather conditions	Site managers	CM		Delivery
Incident due to maintenance activities on sites, paths, grass cutting etc.	Unlikely	Moderate	2	Financial	Risk assessment for operation and location Staff training Signs & barriers. Tech officer monitoring role – staff and surfaces and Nick Payne role . £25m public liability insurance	Review of risk assessments Review of staff training requirements Monitor incidents reported to H&S officer	Routine inspections to be completed Property review to remove unwanted properties reduces liabilities	Area Managers	CM		Delivery
Incident caused by faulty merchandise, provided by Cilrhedyn	Unlikely	Moderate	2	Financial	Careful design, quality control Merchandise group monitors products £25m public liability insurance	Incident reported to Director & H&S officer	Ensure each item is inspected before despatch Testing of items Disclaimers on items Information on items regarding use, weight, lifting requirements etc	?	CM		Delivery

RISK	Likelihood	Impact	Risk Level	Type	Mitigation	Control/monitoring	Actions needed	Lead	Review	Member	Service
Incident caused by volunteers	Unlikely	Moderate	2	Financial	Risk assessment for operation and location Staff training £25m public liability insurance	Review of risk assessments Review of staff training requirements Incidents reported to H&S officer	Adequate briefing required for each volunteer event	Team Leaders	NP		Delivery
Failure to deliver Origins project at Castell Henllys	Unlikely	Moderate	2	Financial & reputation	Revised plan being prepared	Regular progress reports	Approval for new plan	PR	JP		Discovery
Risk of failing to meet Carew Castle long term lease obligations and maintenance especially on causeway and castle stonework	Possible	Moderate	4	Financial	Regular inspections and maintenance actions.	Implementation of annual work programme Emergency works completed quickly	Budget allocation and flexibility for emergency works. Work on causeway underway, due for completion during February 2013.	PR	JP		Discovery

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Risk of failing to meet planning conditions for Carew reception buildings replacement	Unlikely	Moderate	2	Financial	Additional funding confirmed, planning approved. Contract for Lesser Hall roof underway. Reception building and car park to follow.	Planning application submitted. Contractors appointed for phase 1 – Lesser Hall Roof, work to commence later this year	Careful monitoring of progress and costs throughout project	PR	JP		Discovery
Incident caused by faulty merchandise, food etc provided by NPA	Unlikely	Moderate	2	Financial	Reliable supply sources Merchandise group monitors products £10m public liability insurance	Incident reported to Director & H&S officer	Merchandise group to oversee purchases	Team leaders	PR		Discovery
Failure to agree new SLA with National Museum on OyP	Unlikely	Moderate	2	Financial & reputation	Draft prepared	Agreed document in place	Continue discussions	JP	TJ		Discovery
Oriel y Parc Cafe financial under performance	Unlikely	Low	1	Financial	Café licensed to third party.	Frequent budget & performance monitoring	Review licence agreement on longer term	PE	PR		Discovery
Risk of major IT failure	Unlikely	Severe	3	Operation	Daily backup of data Backup email server in place Disaster recovery facilities in place on second site	Monitor backup procedures	Test disaster recovery plans. Upgrade Tenby connections	JW	AH		IT

RISK	Likelihood	Impact	Risk Level	Type	Mitigation	Control/monitoring	Actions needed	Lead	Review	Member	Service
Risk of intruder/virus attack on systems and website	Probable	Severe	9	Operational	High quality control systems. Frequent monitoring of system logs	Log reports	Monitor reports of attacks etc	JW	AH		IT
Risk of PSBA project failing to deliver improvements	Unlikely	Moderate	2	Operational	Close liaison with suppliers. Thorough implementation plan	Regular progress reviews	Detailed plan	JW	AH		IT
Failure of phone system	Possible	Severe	6	Operational	Maintenance contract	Monitor performance	Monitor need for upgrades to system and new technology	JW	AH		IT
Risk of new HR system failing	Unlikely	Moderate	2	Operational	Close liaison with supplier and IT team, & staff training	Implementation plan and regular monitoring	Prepare detailed Implementation Plan	JS	?		HR
Risk of new Finance system failing	Unlikely	Moderate	2	Operational	Close liaison with supplier and IT team, staff training	Implementation plan and regular monitoring	Prepare detailed Implementation Plan	RG	?		Finance
Incident due to driver error/vehicle fault	Unlikely	Moderate	2	Financial	All vehicles maintained to manufacturers recommendations Vehicles checked for roadworthiness Driver licence and vehicle documentation checked Staff driving assessed prior to driving members of public Staff training	Regular vehicle checks Annual check of drivers' licences Accidents involving Authority vehicles reported to Fleet Manager & H&S officer	Review relevant policies and driver instructions and issued	Team Leaders	NP		Finance?

RISK	Likel- ihood	Impact	Risk Level	Type	Mitigation	Control/monit oring	Actions needed	Lead	Revi ew	Mem ber	Servi ce
Risk of significant reduction in funding	Unlikely	Moderate	2	Financial	Identify potential cost savings and income generation Review all activities and prioritise	Budget reporting Members workshop/report to NPA	Zero base budget analysis	RG	TJ		Finance
Risk of closure of pension fund	Unlikely	Moderate	2	Financial	Largely outside of NPA control.	Monitor pension fund reports	Continue to monitor	RG	TJ		Finance
Failure to to allocate and spend use all of SDF fund	Possible	Moderate	4	Financial Reputation	Promote SDF through radio, press, County Show and internally	Monitor applications	More promotion	ET	AH		SDF
Risk of loss of key property and corporate documents	Unlikely	Moderate	2	Financial	Key documents in fire safe		Ensure all key documents are secure Scan for electronic version				Sprt Svcs