

REPORT OF THE BUSINESS & PERFORMANCE MANAGER

SUBJECT: RISK REGISTER

Introduction

The Authority's risk register is monitored regularly and updated as changes occur. The following report presents the current assessment of the risks affecting the Authority and the delivery of its main services.

Each risk is assessed in terms of likelihood (unlikely, possible and probable) and in terms of impact (low, moderate and severe) and by combining these each risk can be set as low, medium or high. The current register shows 3 high risks with 7 medium and the remainder considered as low.

The impact of risks for the Authority can be reduced by various actions including regular monitoring and inspection, maintenance, staff training, planning and implementing changes and insurance, although there will always be some residual risk beyond which the resources required to reduce further are disproportionate.

Recommendation: Members are requested to RECEIVE and COMMENT on the Risk Register.

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

PCNPA - AUTHORITY RISK REGISTER - JUNE 2014

	RISK	Likel-ihood	Impact	Risk Level	Type	Mitigation	Control/ monitoring	Actions needed	Lead	Review	Member	Service
1	Risk of significant reduction of funding	Probable	Severe	High	Strategic	Planned cost reduction	Budget management	Public Consultation Review service delivery options, NPA Approval	TJ	NPA	MJ	Corp
2	Risk of budget cuts in partner organisations	Probable	Moderate	High	Strategic	Include in budget planning	Budget management	Regular communication with partners	RG	TJ	MJ	Corp
3	Risk of failing to comply with Local Government Measure	Unlikely	Severe	Low	Strategic	Improvement Plans published & approved by WAO	Corporate Assessment	Prepare Improvement Plans. Report performance.	AH	TJ	MW	Corp
4	Risk of failing to meet WG policy requirements	Unlikely	Moderate	Low	Strategic	Regular liaison with WG and NPW	Regular liaison with WG and NPW	Review	MD	TJ	MJ	Corp
5	Risk of major incident affecting or involving NPA staff and resources	Unlikely	Moderate	Low	Strategic	Response plan in place. In contact with other agencies	Review major incident plan	Consider testing plan	AH	JRP	DE	Corp
6	Risk of long term impact from climate change	Possible	Moderate	Med	Strategic	Build mitigation into NPMP and other policies	Monitor impact	Monitor	MD	JG	BK	Dir
7	Failure to comply with new Welsh Language Standards	Possible	Moderate	Med	Strategic	Submission sent to WLC	Monitor	Consider response from WLC	JE	TJ	BK	Corp

	RISK	Likel-ihood	Impact	Risk Level	Type	Mitigation	Control/ monitoring	Actions needed	Lead	Review	Member	Service
8	Failure to comply with Equalities legislation	Unlikely	Moderate	Low	Strategic	Equalities assessments required on all new policies etc	Monitor recruitment, & policies		JS	AH	RL	Corp
9	Failure to comply with other EU, UK and WG legislation	Unlikely	Moderate	Low	Strategic	Legislation changes monitored, liaison with WG & other organisations	Monitor		Directors	CMT	RL	Corp
10	Risk of failing to maintain high levels of governance	Unlikely	Moderate	Low	Strategic	No negative audit reports, Member & officer training	WAO & internal audit	Continue to review performance	TJ	NPA	PH	Corp
11	Risk of poor partner relationships affecting joint working	Unlikely	Moderate	Low	Strategic	Many examples of joint/shared working in place. Discussions with PCC, NRW and other NPAs to review opportunities	Reporting to CMT and Minister	Continue to monitor & identify opportunities	TJ	NPA	PH	Corp
12	Risk of causing significant environmental damage due to actions by NPA staff or on NPA property	Unlikely	Severe	Low	Reputation	Environmental management systems in place. Risk assessments for operation and location	Incident reporting & monitoring by CMT and H&S group. Staff training	Continue monitoring	Team Leader/ site managers	CM/ PR	PM	Delivery

	RISK	Likelihood	Impact	Risk Level	Type	Mitigation	Control/monitoring	Actions needed	Lead	Review	Member	Service
13	Risk of flawed decision on planning application	Unlikely	Severe	Low	Reputation	Codes of practice & protocols. Members Charter. Member & staff training	No of approvals outside policy	Continue member and staff training	VH	JG	TS	Dev Man
14	Risk of loss of major NPA operational building due to fire or other damage	Unlikely	Severe	Low	Operation	All buildings well maintained. Security & fire alarm systems in place. Insurance to cover some costs	Annual inspections	Business continuity plans needed	AM	CM	RO	Delivery
15	Risk of major IT failure or virus attack etc	Possible	Severe	High	Operation	Daily backup of data. Backup email server in place. Disaster recovery facilities in place on second site	Monitor back up procedures	Test disaster recovery plans	JW	AH	RO	IT
16	Risk of staff shortages due to special event or significant sickness etc	Unlikely	Moderate	Low	Operation	Monitor sickness, plan around special events		Contingency plans for key activities	Team Leaders	Heads of Service	CG	All
17	Risk of lack of staff capacity/skills for key work	Possible	Moderate	Med	Operation	Training programme planned around skills needed	Project planning and reviews to identify potential/actual problems	Review key skills, identify where staff training might provide contingency, identify alternative solutions	Team Leaders	Heads of Service	CG	All

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18	Incident caused by livestock managed by NPA	Possible	Moderate	Med	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.	Area Managers	CM	SH	Delivery
19	Risk of failing to meet Carew Castle long term lease obligations and maintenance especially on causeway and castle stonework	Possible	Moderate	Med	Financial	Regular inspections and maintenance actions.	Annual work programme. Emergency works completed quickly	Budget allocation and flexibility for emergency works.	AM	JRP	SH	Discovery
20	Incident due to failure to adequately maintain and repair paths, sites and properties	Unlikely	Moderate	Low	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	DMac	CM	AA	Delivery

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21	Incident due to falling trees or branches in our property	Unlikely	Moderate	Low	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.	Site managers	CM	DE	Delivery
22	Incident due to driver error/vehicle fault	Unlikely	Moderate	Low	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 Fleet Manager	Continue to monitor incidents	Team Leaders	CH	TS	Sprt Svcs
23	Incident caused by or to staff or volunteers	Unlikely	Moderate	Low	Financial	Risk assessment for operation and location. Staff training. £25m public liability insurance	Review of risk assessments. Review of staff training requirements. Incidents reported.	Adequate briefing for each volunteer event	Team Leaders	JS	TS	Sprt Svcs

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24	Incident to school children/vulnerable persons while involved in NPA provided activity, work experience etc.	Unlikely	Moderate	Low	Financial	Risk assessment for operation and location. DBS Checks. Child protection policy. Staff training. £25m public liability insurance	Review of risk assessments. Review of staff training requirements. Incidents reported.	Adequate briefing required for each volunteer event. DBS checks required for key staff	Tea m Leaders	PR	LJ	Disc
25	Risk of loss of key documents	Unlikely	Moderate	Low	Financial	Key documents in fire safe		Ensure all key documents are secure	JE	TJ	LJ	Sprt Svcs
26	Incident due to condition on one of our buildings, properties or sites	Unlikely	Moderate	Low	Financial	Annual condition inspection. Regular site visits for maintenance etc. Prioritised annual maintenance programme with budget. Alarms in key buildings All risks insurance	Property group meet monthly to consider property related matters, reporting to SMT	Continue with annual inspections by site managers	Site managers	AM	OJ	Discove ry/Deliv ery
27	Incident caused by faulty merchandise, food etc provided by NPA	Unlikely	Moderate	Low	Financial	Reliable supply sources. Merchandise group monitors products. £25m public liability insurance	Incidents reported	Merchandise group to oversee purchases	Tea m leaders	PR	OJ	Discove ry

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28	Risk of Williams Commission recommendations impacting on service delivery	Possible	Moderate	Med	Strategic/operational	Liaison with WG			TJ	NPA	GH	Corp
29	Risk of failure of phone system	Unlikely	Severe	Med	Operational	Maintenance contract in place		Continue with maintenance contract. Review replacement costs.	JW	AH	AA	IT
30	Risk of failure to allocate all SDF grants	Unlikely	Minor	Low	Operational	2014/15 all committed.	Monitor spending	Chase potential applicants for next committee	ET	AH	MT	SDF
31	Risk of inaccurate GIS and other data for decision making	Unlikely	Moderate	Low	Operational		Review data standards	Development of better data standards & staff training	PB	JG	MT	Corp
32	Risk of failure to deliver Origins project	Unlikely	Moderate	Low	Operational	Detailed project management	Regular reviews & reporting to CMT	Continue to monitor & report	PR	JRP	DR	Disc
33	Risk of NPA activities having a negative impact on socio-economic well-being of the area	Unlikely	Moderate	Low	Strategic	Consultation & liaison on new policies		Continue Scrutiny project	TJ	NPA	DR	Corp

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34	Risk of failure to manage conservation sites to achieve service standard	Unlikely	Minor	Low	Operational	Sites monitored annually, management plans reviewed	Regular monitoring	Continue monitoring	MD	JG	TW	Dir
35	Failure to meet affordable housing targets	Possible	Minor	Low	Strategic	Affordable housing policies in place to allow negotiations with developers	Monitoring	Continue monitoring	MD	JG	TW	Dir
36	Risk of failure to maintain performance of DM service	Possible	Moderate	Med	Operational	New systems and procedures in place, staff training. Outsourcing used for peak workloads	Monitor & report performance	Continue monitoring	VH	JG	GH	DM
37	Risk of failure to improve web access and document management for DM service	Possible	Moderate	Med	Operational	Discussions underway with PCC and WG		Monitor progress	VH	JG	MW	DM
38	Risk of failure to meet service standard for RoWs	Unlikely	Minor	Low	Operational	Paths surveyed, work programme implemented	Monitor	Implement work programme	CM	AR	PM	Del