

REPORT OF BUSINESS & PERFORMANCE MANAGER

SUBJECT: RISK REGISTER

Purpose of Report

To ask Members to consider the latest risk register

Introduction/Background

The risk register has recently been reviewed by senior managers and team leaders and the register consolidated where several similar risks have previously been identified. A number of amendments and new risks have been documented in light of recent and proposed changes in legislation and the present funding situation.

Where appropriate suitable action and regular monitoring is in place to mitigate each risk with the result that only two of the 37 are identified as being considered high risk. It should be noted that many of the risks will always be present as it may be impossible to totally control or remove the factors creating the risk.

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 - APRIL 2015

	RISK	Likel-ihood	Impact	Risk Level	Type	Mitigation	Control/ monitoring	Actions needed	Lead	Review	Member	Service
1	Risk of significant reduction of funding from WG, other public sector funders, or grant schemes	Probable	Severe	High	Strategic	Planned cost reduction, budget planning and submit grant bids	Budget management & project financial planning	Review service delivery options, NPA Approval	TJ	NPA	MJ	Corp
2	Risk of failing to comply with new legislation - Future Generations Measure, Planning Bill, Environment Bill etc	Unlikely	Moderate	Low	Strategic	Part of Early Adopters Project	Liaise with WLGA, WOA, etc	Continue with Early Adopters	CMT	TJ		Corp
3	Risk of failing to comply with current legislation	Unlikely	Severe	Low	Strategic	Policies in place, assessment by WAO, reporting to review committees	Performance reports to Members, monitoring legislation	Continue to monitor & review performance	AH	TJ	MW	Corp
4	Failure to comply with new Welsh Language Standards	Possible	Moderate	Med	Strategic	Submission sent to WLC	Monitor	Compliance notice awaited from WLC	JE	TJ	BK	Corp
5	Risk of Review of Designated Landscape recommendations impacting on service delivery	Possible	Moderate	Med	Strategic/ operational	Liaison with WG			TJ	NPA	GH	Corp

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6	Failure to meet diversity requirements in Authority Membership	Possible	Moderate	Med								
7	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
8	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
9	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
10	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
11	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
12	Risk of disease or invasive species damaging biodiversity	Possible	Moderate	Med	Strategic	Funding for INNS community based project confirmed	Monitor	Engage communities	SM	MD		Dir

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13	Risk of significant damage due to bad weather	Possible	Moderate	Med	Financial	Extreme storm damage could impact on services & finances	Budget reserves, insurance	Review	CM	JP		Del
14	Risk of flawed decision on planning matters	Unlikely	Severe	Low	Reputation	Codes of practice & protocols. Members Charter. Member & staff training	No of approvals outside policy	Continue member and staff training	LJ	JG	TS	Dev Man
15	Risk of failure to allocate all SDF grants	Unlikely	Minor	Low	Operational	2015/16 all committed.	Monitor spending	Chase potential applicants for next committee	ET	AH	MT	SDF
16	Risk of lack of staff capacity/skills for key work	Possible	Moderate	Med	Operational	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
17	Risk of major incident affecting or involving NPA staff and resources	Unlikely	Moderate	Low	Strategic	Monitor special events. Response plan in place. In contact with other agencies	Review major incident plan	Contingency plans for key activities	Team Leaders	Heads of Service	CG	All
18	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

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19	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
20	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
21	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
22	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
23	Risk of inaccurate GIS and other data for decision making	Possible	Moderate	Med	Operational	Consider upgrading to QGIS	Review data standards	Development of better data standards & staff training	PB	JG	MT	Corp
24	Risk of WG requiring full review of LDP	Possible	Moderate	Med	Financial		Liase with WG	Consider increasing reserves	MD	JG		Dir
25	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	LJ	JG	GH	DM

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26	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
27	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	LJ	JG	MW	DM
28	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
29	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
30	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

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31	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 Coast Path & routine inspections of inland paths. 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 officer. Property Group	Annual inspection to be completed	Site mgrs	CM	AA	Delivery
32	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
33	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

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34	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	Tea m Leaders	JS	TS	Sprt Svcs
35	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
36	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
37	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 Man ager s	CM	SH	Deliver y