

REPORT OF BUSINESS & PERFORMANCE MANAGER

SUBJECT: RISK REGISTER

Purpose of this report

To provide guidelines for Members on their role of monitoring the Authority's Risk Register.

Introduction

Members of the Authority have ultimate responsibility for the overall governance of the Authority, including managing its risks. To date the management of these risks has been delegated to officers, with identified posts being highlight to either manage a particular risk. The National Park Authority meeting held on 26th September 2012 approved a process to involve Members of the Authority more directly in the risk management process by allocating a small number of risks to each Member, who would then be responsible for monitoring those risks. This paper clarifies the expectation on individual Members, commencing from April 2013.

Risk Management

All organisations face a variety of risks, some posed by external factors, some by the nature of their operations and some by the way they chose to manage their day to day operations. Risk management is about working both to reduce the likelihood of a risk happening and to minimise the impact should it happen. This can include regular monitoring, implementing clear working practices and procedures, regular training, contingency plans, and sometimes outsourcing part of the risk to contractors and ultimately by insurance.

Members' Risk Management Role

The Authority's Risk Register currently lists 51 risks, although the number and nature of risks is subject to regular review. Most of the risks are of a low or moderate level, many are unlikely to change significantly, and some are permanent.

It is not intended that Members should get involved in the day to day management of individual risks, that is the responsibility of the executive, but Members should ensure that they are aware of the risks, and in particular of all changes which might increase any risks and any planned actions to mitigate individual risks.

Risk management at an operational level is managed on two levels. Firstly, each risk has been allocated to an individual officer who is responsible for monitoring the level of risk and implementing any necessary actions to mitigate the risk. Risks are also allocated to senior managers within the Authority, to oversee and ensure that actions to mitigate the risk are both implemented and effective.

To fulfil their role in risk management, Members should

- Be aware of their allocated risks;
- Ensure they know the senior managers responsible for their risks;

- Understand the likelihood and potential impact of their risks;
- Be aware of any current and proposed mitigation to control the risks;
- Monitor the performance of mitigation actions and controls;
- Provide any feedback or ideas relating to managing the risk;
- Inform the relevant senior manager if they become aware of any factors which might change the level of the risks

If for any reason, the level of a risk is considered to be increasing, the responsible senior manager will undertake to inform the relevant Member.

The full risk register is reported quarterly to the Audit and Corporate Services Review Committee and annually to the full Authority. Both the Conservation and Planning and the Tourism and Recreation Review Committees receive a report on the risks relevant to their terms of reference.

Appendix 1 provides details of the risk register and the relevant officers and Members.

Recommendation:

Members are requested to APPROVE the Members' responsibilities in managing risks.

(For further information, please contact Alan Hare, Business & Performance Manager on extension 4810)

Risk Register Conservation & Planning

Period: January 2013

PCNPA RISK REGISTER

Risk	Probability	Impact	RAG	Mitigation/Actions	Owner	Updater	Member
01. Incident due to tripping hazard etc on Coast Path leading to claim	Unlikely	Severe	Amber	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	Charles Mathieson	Dave Machlaclan	Cllr Mike James
02. Incident due to tripping hazard etc on other paths leading to claim	Unlikely	Moderate	Green	RoWIP Routine maintenance – staff on paths most days Reports from staff, other agencies and public £25m public liability insurance	Charles Mathieson	Anthony Richards	Cllr M James
03. Incident due to falling trees or branches in our property	Unlikely	Moderate	Green	Tree management policy and procedures in place. Additional inspection following dangerous weather conditions £25m public liability insurance	Charles Mathieson	Site Managers	David Ellis
04. Incident due to maintenance activities on sites, paths, grass cutting etc.	Unlikely	Moderate	Green	Risk assessment for operation and location Staff training, standard procedures Signs & barriers. £25m public liability insurance	Charles Mathieson	Site Managers	Cllr M James
05. Incident due to driver error/vehicle fault	Unlikely	Moderate	Green	All vehicles maintained to manufacturers recommendations Vehicles checked for roadworthiness Driver licence and vehicle	Charles Mathieson	Nick Paine	Cllr Alison Lee

				documentation checked Staff driving assessed prior to driving members of public Staff training			
06. Incident due to condition on one of our properties or sites	Unlikely	Moderate	Green	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	Charles Mathieson	Andrew Muskett	Cllr Bob Kilmister
07. Incident caused by volunteers	Unlikely	Moderate	Green	Risk assessment for operation and location Staff training £25m public liability insurance	Charles Mathieson	Nick Paine	Cllr Paul Harries
08. Incident to school children / vulnerable people while involved in NPA provided activity	Unlikely	Moderate	Green	Risk assessment for operation and location CRB Checks Child protection policy Staff training £25m public liability insurance Monitor staff, liaise with partners, update procedures with legislation changes	Phil Roach	Jo Morgan	Cllr Paul Harries
09. Incident caused by livestock managed by NPA	Possible	Moderate	Amber	Risk assessment for operation and location Staff training £25m public liability insurance	Charles Mathieson	Geraint Jones	David Ellis
10. Incident caused by faulty merchandise, food etc provided by NPA	Unlikely	Moderate	Green	Reliable supply sources Merchandise group monitors products £25m public liability insurance	Jamesp	Phil Roach	Cllr Paul Harries
11. Incident caused by condition of NPA building	Unlikely	Moderate	Green	Annual condition inspection Regular site visits for maintenance etc Prioritised annual maintenance programme with budget Emergency	Charles Mathieson	Andrew Muskett	Cllr David Rees

				repairs fund Alarms fitted and tested where practical £25m public liability insurance			
12. Incident causing significant environmental damage	Unlikely	Severe	Amber	Environmental management systems in place Risk assessments for operation and location	Charles Mathieson	Area Managers	David Ellis
13. Risk of significant reduction in funding	Unlikely	Moderate	Green	Identify potential cost savings and income generation Review all activities and prioritise. Zero based budget.	Tegryn Jones	Richard Griffiths	Cllr Tony Brinsden
14. Risk of loss of major NPA building due to fire etc	Unlikely	Severe	Amber	All buildings well maintained Security & fire alarm systems in place Insurance to cover some costs. Business Continuity Plans being prepared	Charles Mathieson	Alan Hare	Ted Sangster
15. Risk of failing to comply with Local Government Measure	Unlikely	Moderate	Green	Corporate Strategy prepared in line with WAO advice Performance systems being developed, benchmarking included. Working with WG to develop new indicators	Tegryn Jones	Alan Hare	Cllr Rob Lewis
16. Risk of major IT failure	Unlikely	Severe	Amber	Daily backup of data Backup email server in place Disaster recovery facilities in place on second site	Alan Hare	Jan Waite	Alan Archer
17. Risk of loss of key documents	Unlikely	Moderate	Green	Key documents in fire safe	Alan Hare	Janet Evans	Cllr Rob Lewis
18. Risk of major incident	Unlikely	Moderate	Green	Major incident plan being reviewed and updated	Charles Mathieson	Alan Hare	Chris Gwyther
19. Risk of failing to deliver against Strategic Grant Letter targets	Unlikely	Moderate	Green	Report quarterly against targets Alternative approach being considered by WG	Tegryn Jones	Alan Hare	Gwyneth Hayward
20. Risk of flawed decision on planning application	Unlikely	Severe	Amber	Codes of practice & protocols including professional institute membership,	Jane Gibson	Vicki Hirst	Cllr Bob Kilmister

				Members Charter Member & staff training			
21. Risk of closure of pension fund	Unlikely	Moderate	Green	Monitor fund performance. Largely outside of NPA control.	Tegryn Jones	Richard Griffiths	Chris Gwyther
22. Oriel y Parc financial performance	Unlikely	Minor	Dark Green	Café licensed to third party. Merchandise sales improved	Richard Griffiths	Phil Roach	Ted Sangster
23 Failing to meet planning on Carew reception buildings	Unlikely	Minor	Dark Green	Project scheduled for completion by March 2013	James Parkin	Phil Roach	Melinda Thomas
25. Risk of poor partner relationships affecting joint working	Unlikely	Moderate	Green	Many examples of joint/shared working in place Continue to monitor	Tegryn Jones	James Parkin	Peter Morgan
26. Reputational risk caused by Solva accident	Likely	Severe	Dark Red	Work closely with insurance and legal representatives, consider press releases if trial proceeds	Tegryn Jones	Alan Hare	Cllr Tony Brinsden
27. Solva accident claim exceeding insurance limit	Likely	Severe	Dark Red	Work closely with legal team. Own advisor appointed	Tegryn Jones	Alan Hare	Cllr Mike Williams
28. Risk of failing to meet long term lease at Carew	Unlikely	Moderate	Green	Regular inspections and maintenance actions.	James Parkin	Phil Roach	Ted Sangster
29. Failure to comply with new Welsh Language Standards	Possible	Moderate	Amber	Review & update Welsh Language Scheme	Tegryn Jones	Janet Evans	Cllr David Rees
30. Failure to comply with Equalities legislation	Possible	Moderate	Amber	Equality Plan adopted. Staff training arranged	Tegryn Jones	June Skilton	Chris Gwyther
32. Risk of staff shortages in Direction due to special event or significant sickness etc	Unlikely	Moderate	Green	Monitor sickness, etc	Martina Dunne	Jane Gibson	Cllr Alison Lee
33. Risk of staff shortages in Delivery due to special event or significant sickness etc	Unlikely	Moderate	Green	Monitor sickness, etc	James Parkin	Charles Mathieson	Cllr Reg Owen
34. Risk of staff shortages in corp srvc's due to special event or significant sickness etc	Unlikely	Moderate	Green	Monitor sickness, etc	Tegryn Jones	Tegryn Jones	Cllr David Rees
35. Risk of lack of capacity/skills of Direction staff for key work	Unlikely	Moderate	Green	Monitor skills requirements, assess training needs	Martina Dunne	Jane Gibson	Cllr Alison Lee
36. Risk of lack of capacity/skills for Delivery staff capacity/skills for key work	Unlikely	Moderate	Green	Monitor skills requirements, assess training needs	James Parkin	Charles Mathieson	Cllr Reg Owen
37. Risk of lack of capacity/skills for Corp Svcs staff for key work	Unlikely	Moderate	Green	Monitor skills requirements, assess training needs	Tegryn Jones	Tegryn Jones	Cllr Reg Owen

38. Failure to reduce CO2 emissions by 3% pa	Possible	Moderate	Amber	Regular reporting & implementing improvements Continue greening our buildings	Tegryn Jones	Alan Hare	Cllr Lyn Jenkins
39. Risk of poor decision making based on inaccurate GIS data	Possible	Moderate	Amber	Task group formed & preparing standards, guidance, training etc.	Martina Dunne	Philip Barlow	Cllr Peter Morgan
40. Risk of inappropriate or offensive behaviour by member of the public towards staff	Possible	Moderate	Amber	Risk assessments, staff training Register of problem areas Record & monitor incidents	Tegryn Jones	Nick Paine	Cllr Tony Wilcox
41. Failure to provide affordable housing opportunities in accord with target	Likely	Moderate	Red	Scrutiny committee considering this topic. Current economic climate limiting residential development which funds affordable housing	Jane Gibson	Martina Dunne	Gwyneth Hayward
42. Risk of unpopular planning decision on high profile development	Possible	Moderate	Amber	Work closely with developers & stakeholders, communicate with community interest groups	Jane Gibson	Vicki Hirst	Cllr Bob Kilmister
43. Failure to improve performance on speed of determining applications & provide quality service	Possible	Moderate	Amber	Three Parks Review of potential of joint working underway. New planning bill being drafted by WG.	Jane Gibson	Vicki Hirst	Cllr Mike Williams
44. Risk of failing to introduce enhanced web access & document management in reasonable time	Possible	Moderate	Amber	PSBA access being introduced, Feasibility study scheduled for later this year.	Alan Hare	Vicki Hirst	Melinda Thomas
45. Incident caused by faulty merchandise, provided by Cilrhedyn	Unlikely	Moderate	Green	Careful design, quality control Merchandise group monitors products £25m public liability insurance	David Owen	Charles Mathieson	Cllr Lyn Jenkins
46. Failure to deliver Origins project at Castell Henllys	Unlikely	Moderate	Green	Detailed project plan prepared. Close liaison with Cadw	James Parkin	Phil Roach	Melinda Thomas
47. Failure to agree new SLA with National Museum on OyP	Unlikely	Moderate	Green	SLA agreed, formal signing in Feb.	Tegryn Jones	James Parkin	Cllr Lyn Jenkins
48. Risk of intruder/virus attack on systems and website	Likely	Severe	Dark Red	High quality control systems. Frequent updates. Frequent monitoring of system logs	Alan Hare	Jan Waite	Alan Archer
49. Risk of PSBA project failing	Unlikely	Moderate	Green	Close liaison with suppliers.	Alan Hare	Jan Waite	Cllr Rob Lewis

to deliver improvements				Scheduled to complete by March 2013.			
50. Failure of phone system	Possible	Severe	Red	Maintenance contracts in place	Alan Hare	Jan Waite	Alan Archer
51. Risk of new HR system failing	Unlikely	Moderate	Green	Close liaison with supplier and IT team, & staff training	Alan Hare	June Skilton	Gwyneth Hayward
52. Risk of new Finance system failing	Unlikely	Moderate	Green	Close liaison with supplier and IT team, staff training	Richard Griffiths	Chris Holder	Cllr Tony Wilcox
53. Failure to to allocate and spend use all of SDF fund	Possible	Moderate	Amber	Promote SDF through radio, press, County Show and internally	Alan Hare	Emma Taylor	Cllr Mike Williams