

Risk Register

Mitigation
Contingency

Period: April 2014
+ History

Archived Risks

Risk	Probability	Impact	RAG	Owner	Current Apr-14	Historic Mar-14	Historic Jan-14	Historic Nov-13	Historic Oct-13	Historic Jul-13
01 - Financial regulations non-compliance as outlined in points 1-17 of the WAO action plan	Unlikely	Moderate	Green	johncook						
02 - Lack of appropriate protocols and mechanisms for ensuring probity in Members' decision making	Unlikely	Minor	Dark Green	johncook						
02.i Members breaching code of conduct in respect of confidentiality	Unlikely	Severe	Amber	johncook						
10 - Financial impact of the pension fund contribution	Unlikely	Moderate	Green	johncook					Reviewed at CMT 24 Oct, no change, pension fund status to be reviewed by 30 Nov	
11 - Failure of drainage system at the National Park Visitor Centre	Unlikely	Moderate	Green	julianatkins						
15 Telephone system	Unlikely	Moderate	Green	johncook		Removal to archive agreed at ASC	Reviewed at CMT 23 Jan, recommend removal to the archive in light of new system implementation		Reviewed at CMT 24 Oct, no change, new system implementation underway	Reviewed at CMT 18 Jul, no recommendation to change. Further delays to PSBA phone solution.
Fleet Management - lack of a fleet management strategy	Unlikely	Moderate	Green	johncook						Reviewed at CMT 18 Jul, no recommendation to change

Conservation risks

Risk	Probability	Impact	RAG	Owner	Current Apr-14	Historic Mar-14	Historic Jan-14	Historic Nov-13	Historic Oct-13	Historic Jul-13
05 - Degredation of cultural and historical heritage, including buildings at risk, through lack of resources	Possible	Moderate	Amber		Reviewed at CMT 24 April: no change in scoring, staffing issues have been addressed by contingency arrangements in terms of temporary cover. Grant support redeployed to fund this.		Reviewed at CMT 23 Jan 2014, no change	Progress being made including Hay Conservation Area Appraisal and boundary review being approved and designated, local list for Hay approved, Crickhowell Conservation Area Appraisal and boundary review approved for public consultation and 11 buildings being removed from the Buildings at Risk register. The grant scheme are being slowly taken up but it is likely that the budgets will be totally committed prior to end of financial year.	Reviewed at CMT 24 Oct, no change, progress against previous actions continues, PF to get update from RB	Reviewed at CMT 18 Jul, no recommendation to change but noted progress in respect of local list, conservation area schemes, etc.
06 - Paths and RoW erode/deteriorate - lack of funding/mgtm plans, env impacts	Likely	Moderate	Red	julianatkins	Reviewed at CMT 24 April: no change in scoring, lack of confirmation in ROWIP funding for 2014/15 so far (ROWIP now confirmed but will have negligible impact)		Reviewed at CMT 23 Jan 2014, no change		Reviewed at CMT 24 Oct, no change, new system now in place	Reviewed at CMT 18 Jul, no recommendation to change

07 - Economic, public and biodiversity health risk through communicable diseases, viruses, infections and invasive species	Likely	Severe	Dark Red	julianatkins	Reviewed at CMT 24 April: no change in scoring		Reviewed at CMT 23 Jan 2014, no change, awaiting next round of aerial surveys, limited options for action	Phytophthora http://www.forestry.gov.uk/forestry/lNFD-85TDX6. The latest distribution map of the disease's spread in the Park is on the wall outside the Ecology office; the centre of its distribution is beneath the central Beacons and above the Talybont valley. Wardens already observe appropriate protocols for cleaning clothing and boots. Eifion Jones is in regular liaison with Paul Dann at NRW (Forestry) about footpath and bridleway closure orders, although a significant proportion of routes are permissive ones. There is an outstanding planning issue affecting the Dyffryn Crawnon permitted development approval application from NRW owing to the significant ecological and landscape impact likely to ensue in the event that NRW constructs the forestry extraction track. Brad Welch has organised staff training (from DEFRA) for identifying Phytophthora infections in the Park. Chalarinia fraxinea http://www.forestry.gov.uk/chalara. The distribution of this disease is well to the south and west of the Park according to the distribution map.	Reviewed at CMT 24 Oct, no change, PF to get update from PS	Reviewed at CMT 18 Jul, no recommendation to change, infection spread getting worse e.g. Talybont, PS keen to meet with NRW to discuss
08 - Degradation of biodiversity through inadequate inter-departmental consultation, local management planning, and constraints on financial resource	Possible	Severe	Red	julianatkins	Reviewed at CMT 24 April: no change in scoring		Reviewed at CMT 23 Jan 2014, no change		Reviewed at CMT 24 Oct, no change recommended but mitigation in place: planning ecologist and conservation officer + ecologist now appointed	Reviewed at CMT 18 Jul, no recommendation to change but recruitment in progress for new Planning Ecologist
14 - Beacons Bus	Likely	Severe	Dark Red	julianatkins	Reviewed at CMT 24 April: no change in scoring, funding secured for skeleton bike bus service from Cardiff		Reviewed at CMT 23 Jan 2014, no change, proposals for discontinuation at an advanced stage		Reviewed at CMT 24 Oct, no change, settlements from contributing local authorities adds further evidence to scoring on probability	Reviewed at CMT 18 Jul, no recommendation to change

Corporate Governance risks

Risk	Probability	Impact	RAG	Owner	Current	Historic	Historic	Historic	Historic	Historic
					Apr-14	Mar-14	Jan-14	Nov-13	Oct-13	Jul-13
02 - Members' compliance with code of conduct	Unlikely	Severe	Amber	johncook	Reviewed at CMT 24 April: no change in scoring		Reviewed at CMT 23 Jan 2014, no change, mitigation action planned: delivering new training on protocols adopted by NPA		Reviewed at CMT 24 Oct, no change, mitigation: all training up to date	Reviewed at CMT 18 Jul, no recommendation to change
03.3 IG: compliance monitoring	Likely	Severe	Dark Red	johncook	Reviewed at CMT 24 April: no change in scoring, privacy impact assessment check to be included in new committee template, new guidance in place for procurement FOIA clauses		Reviewed at CMT 23 Jan 2014, no change		Reviewed at CMT 24 Oct, no change, revised DP policy now agreed , concerns about DP near misses remain current	Reviewed at CMT 18 Jul, no recommendation to change, recent minor incident, revisiting all staff training, review of DP Policy coming forward to next NPA
12 - Lack of existing legal capacity impact on strategic priorities	Unlikely	Severe	Amber	johncook	Reviewed at CMT 24 April: no change in scoring, SLA running smoothly and proposals to be brought to extend		Reviewed at CMT 23 Jan 2014, no change, effectiveness to be reviewed with supplier February 24		Reviewed at CMT 24 Oct, no change, mitigation: new arrangements in place with Carms CC	Reviewed at CMT 18 Jul, no recommendation to change, external provision through framework is working well so far

13 - Lack of continuity of membership of the National Park Authority	Likely	Severe	Dark Red	johncook	Reviewed at CMT 24 April: no change in scoring		Reviewed at CMT 23 Jan 2014, no change, pending views of WG on Williams Commission report		Reviewed at CMT 24 Oct, change in impact to severe recommended in light of cost of change C.£7k per event and recent event	Reviewed at CMT 18 Jul, no recommendation to change, recent incident
16 - officers code of conduct	Unlikely	Severe	Amber	johncook	Reviewed at CMT 24 April: no change in scoring		Reviewed at CMT 23 Jan 2014, no change		Reviewed at CMT 24 Oct, no change	Reviewed at CMT 18 Jul, no recommendation to change
17 - Buildings condition and maintenance	Possible	Moderate	Amber	julianatkins	Reviewed at CMT 24 April: no change in scoring, WAO review of asset management practices has identified recommendations for improvement. Capital allocation has been provided for planned preventative works in 2014/15		Reviewed at CMT 23 Jan 2014, no change		Reviewed at CMT 24 Oct, report received and plan established but not yet underway , recommend change from likely to possible and moderate as no immediate concerns identified	Reviewed at CMT 18 Jul, no recommendation to change, conditions assessment for all buildings and car parks recently completed along with costed schedule of works
18 - Financial restraint	Likely	Severe	Dark Red	johncook	Reviewed at CMT 24 April: no change in scoring		Reviewed at CMT 23 Jan 2014, no change, proposals regarding accommodation of funding reduction in the budget to be considered at ASC 24 Jan and NPA 7 Feb		Reviewed at CMT 24 Oct, no change in light of recent budget announcement	Reviewed at CMT 18 Jul, no recommendation to change, scenario planning for various levels of cuts has been provided to WG, working closely with other NPAs , awaiting further detail on settlement
19 - Corporate capacity	Likely	Severe	Dark Red	johncook	Reviewed at CMT 24 April: no change in scoring, decision to invest in committee management information system should see improvements later this financial year but of redundancies have increased pressures elsewhere.		Reviewed at CMT 23 Jan, no change in light of Flynnon discontinuation. Possible mitigation under consideration in respect of democratic services information management systems.		Reviewed at CMT 24 Oct, recommend change in likelihood to likely given current budgetary situation and regulation/consultation burden	Reviewed at CMT 18 Jul, no recommendation to change
20 - Negative affect on financial standing due to cash flow impact of European funding receipts	Possible	Severe	Red	paufunnell	Reviewed at CMT 24 April: no change in scoring, audit reports have been positive. Ending of Collabor8 and its extension will ease pressures.		New risk agreed at ASC. Rationale: receipt of European funding with respect to Rural Alliances can often lag one or two quarters behind expenditure			

Health and Safety risks

					Current	Historic	Historic	Historic	Historic	Historic
					Apr-14	Mar-14	Jan-14	Nov-13	Oct-13	Jul-13
Risk	Probability	Impact	RAG	Owner						
06 - Compliance failure/litigation: external	Possible	Severe	Red	julianatkins	Reviewed at CMT 24 April: no change in scoring		Reviewed at CMT 23 Jan, no change		Reviewed at CMT 24 Oct, no change, mitigation action re: legionella risk	Reviewed at CMT 18 Jul, no recommendation to change
09 - Compliance failure/litigation: internal	Unlikely	Severe	Amber	johncook	Reviewed at CMT 24 April: no change in scoring		Reviewed at CMT 23 Jan, no change		Reviewed at CMT 24 Oct, no change	Reviewed at CMT 18 Jul, no recommendation to change
12 - Potential failure of dam	Unlikely	Minor	Dark Green	julianatkins	Reviewed at CMT 24 April: no change in scoring, JA to discuss removal of temporary dam with IP		Reviewed at CMT 23 Jan, no change, to be reviewed later this year once decision made about future level of water		Reviewed at CMT 24 Oct, no change, Cadw want to see features from Historic Parks and Gardens Record retained	Reviewed at CMT 18 Jul, no recommendation to change, meeting with Cadw on 9 Aug

Information and IT risks

					Current	Historic	Historic	Historic	Historic	Historic
					Apr-14	Mar-14	Jan-14	Nov-13	Oct-13	Jul-13
Risk	Probability	Impact	RAG	Owner						
03 IT work programme	Possible	Moderate	Amber	johncook	Reviewed at CMT 24 April: no change in scoring		Reviewed at CMT 23 Jan, no change		Reviewed at CMT 24 Oct, no change	Reviewed at CMT 18 Jul, no recommendation to change
03.1i IG: strategic	Unlikely	Moderate	Green	johncook	Reviewed at CMT 24 April: no change in scoring		Reviewed at CMT 23 Jan, no change, potential mitigation action in respect of democratic services information management systems		Reviewed at CMT 24 Oct, no change	Reviewed at CMT 18 Jul, no recommendation to change

03.1ii Hardcopy RM	Possible	Severe	Red	johncook	Reviewed at CMT 24 April: no change in scoring, plans being drawn up for review and improvements		Reviewed at CMT 23 Jan, no change, potential mitigation action in respect of digital planning file pilot project		Reviewed at CMT 24 Oct, no change, mitigation action on hard copy file review and disposal by finance, HR, etc.	Reviewed at CMT 18 Jul, no recommendation to change, initial work on review of archives underway and early discussions on digitization project
03.1iii Spatial data RM	Possible	Severe	Red	johncook	Reviewed at CMT 24 April: recommend change in scoring to unlikely		Reviewed at CMT 23 Jan, no change, good progress on the GIS action plan as mitigation		Reviewed at CMT 24 Oct, no change, mitigation: new GIS rollouts and DB system	Reviewed at CMT 18 Jul, no recommendation to change
03.2 IG: ownership	Unlikely	Severe	Amber	johncook	Reviewed at CMT 24 April: no change in scoring		Reviewed at CMT 23 Jan, no change		Reviewed at CMT 24 Oct, no change	Reviewed at CMT 18 Jul, no recommendation to change
04 BCP & DRP	Unlikely	Severe	Amber	johncook	Reviewed at CMT 24 April: no change in scoring	Recommend move to live risks and change in description			Reviewed at CMT 24 Oct, no change, recent WAO audit of arrangements	

Planning risks

Risk	Probability	Impact	RAG	Owner	Current Apr-14	Historic Mar-14	Historic Jan-14	Historic Nov-13	Historic Oct-13	Historic Jul-13
01 - Risk from Members overturning planning recommendations	Possible	Moderate	Amber	chismorgan	Reviewed at CMT 24 April: no change in scoring		Reviewed at CMT 23 Jan, no change		Reviewed at CMT 24 Oct, no change	Reviewed at CMT 18 Jul, no recommendation to change
07 - DC Service Performance	Unlikely	Severe	Amber	chismorgan	Reviewed at CMT 24 April: no change in scoring		Reviewed at CMT 23 Jan, recommend change in likelihood to unlikely in light of changes to management and processes evidenced by sustained improvement in performance figures		Reviewed at CMT 24 Oct, no change, mitigation action planned: scheme of delegation to allow more officers to sign off reports	Reviewed at CMT 18 Jul, recommend change in probability to "possible" in light of recent action and results evidenced in performance figures
07.1 - Enforcement Service Performance	Possible	Severe	Red	chismorgan	Reviewed at CMT 24 April: no change in scoring		Reviewed at CMT 23 Jan, no change		Reviewed at CMT 24 Oct, change probability to possible in light of recent performance figures	Reviewed at CMT 18 Jul, recommend change in probability to "likely" and impact to "severe" in light of lack of progress with performance figures and backlog
08 - High legal costs	Likely	Severe	Dark Red	chismorgan	Reviewed at CMT 24 April: no change in scoring		Reviewed at CMT 23 Jan, recommend change in likelihood to likely in light of allocation of additional reserves to Llanwenarth House case		Reviewed at CMT 24 Oct, no change	Reviewed at CMT 18 Jul, no recommendation to change