CAIRNGORMS NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER

Risk	Ref	Resp	Mitigation	Comments	Trend Nov 20	Trend Mar 21	Trend June 21
Cross-over risks							
Resources: public sector finances constrain capacity to allocate sufficient resources to deliver corporate plan.	A1	DC	Preventative: Ongoing liaison with Scottish Government highlighting achievements of CNPA. Preventative: Corporate plan prioritised around anticipated Scottish Government budget allocations, taking on Board expectation of funding constraints. Remedial: Focus resource on diversification of income streams to alternate, non-public income generation. Remedial: Continuing to support "delivery bodies" such as Cairngorms Nature, Cairngorms Trust in securing inward investment.	Budget paper to Board highlights very positive funding position for completion of corporate plan period.	➡️	⬇️	⬇️
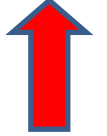
Risk	Ref	Resp	Mitigation	Comments	Trend Nov 20	Trend Mar 21	Trend June 21
Staffing: additional externally funded projects strains staff workload capacity with increased risks of stress and reduced morale.	A9.3	DC	Preventative: Ongoing review of Operational Plan with explicit identification of projects which can/must slip to accommodate successful funding bids. Importance of staff management and task prioritisation reinforced through leadership meetings. Focus on fewer, larger impact projects.	2019 staff survey suggests some ongoing matters on workload management to be addressed while wellbeing results improving. Period of COVID response has escalated workloads and some ongoing risk assessed as consequence.	→	→	→
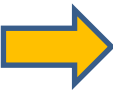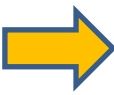
Risk	Ref	Resp	Mitigation	Comments	Trend Nov 20	Trend Mar 21	Trend June 21
Resourcing: Role as Lead / Accountable body for major programmes (e.g. LEADER, Landscape Partnership) has risk of significant financial clawback should expenditure prove to be not eligible for funding, while CNPA carries responsibilities as employer for programme staff.	A11.1	DC	Preventative: Ensure financial controls in place for programme management include effective eligibility checks. Test processes with funders if required and also undertake early internal audit checks. Workforce management plans must incorporate programme staff considerations. Ensure TGLP Management and Maintenance contracts are all in place to ensure eligibility of investment. Remedial: Utilise internal audit resources	Very positive movement in resolution of monitoring and eligibility issues over prior years, with full acceptance of all CNPA interpretations for LEADER. Good relationships with funders of other programmes and no outstanding or emerging eligibility issues. Residual LEADER risk around dispute resolution processes and uncertainty over eligibility judgements and interpretation made by SG audit. Work on TGLP completed to ensure management and maintenance and legacy arrangements are all in place.	→	→	↓

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Resourcing: the end of major programme investments (Tomintoul and Glenlivet, LEADER) requires significant ongoing staffing to manage audit and legacy which the Authority finds difficult to resource.	A11.2	DC	Preventative: Early identification of post-programme audit and legacy management and resourcing requirements and planning for those. Early engagement with Cairngorms Trust for LEADER and Landscape Partnership Programme Board to identify and finalise long term management arrangements.	Added by Management Team November 2019 TGLP now coming to a close with arrangements in place which do not signify any long term, significant resourcing. Other programme closures remain under review.	➡	➡	⬇
Resourcing: UK vote to leave EU disrupts project delivery and financing plans and exposes Authority to longer term financial liabilities as a result of loss of EU funds to existing programmes.	A12.1	DC	Remedial: Risk management analysis of specific EU funded activities – particularly of Authority's exposure as Accountable Body for LEADER. Instructions issued on timetable for funding commitments to be covered by CNPA. Remedial: Invest management time in opportunities to engage in new funding programmes designed to replace EU funding programmes.	LEADER funding contracts tailored to meet expected EU exit timetable. Greater clarity on Scottish Government position now in place. LEADER Programme delivery now extended until December 21. Overview of current programme delivery across all areas of organisation indicates minimal impact to current programme delivery.	➡	⬇	⬇

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Resourcing: future community led local development funding currently delivered through LEADER, together with wider funding previously from EU structural and agricultural sources is lost and creates a significant gap in our capacity to deliver against our development priorities	A12.2	DC	Preventative: prioritise engagement in consultations and events around the future development of structural and community funding. Remedial: continue to support work of Cairngorms Trust in attracting voluntary donations toward community action – although this is likely to remain at a much smaller scale for some time. Remedial: continue to review opportunities for funding bids to other non-governmental funding sources.	Positive movement across policy development areas within Scottish Government around the continuity of some form of CLLD. However, timetable for any development process still very unclear, as is potential of UK Government funding to replace EU losses. Wider changes to agri-environment schemes and impact of change also remains highly uncertain.	⬆️	➡️	⬆️
Resourcing: CNPA IT services are not sufficiently robust / secure / or well enough specified to support effective and efficient service delivery.	A13	DC	Preventative: We will develop and consult on the forward plans for ICT service development to ensure these meet service requirements. Commissioned external review of our IT and data management processes to be implemented to give assurance.	Risk added through staff consultation with Staff Consultative Forum Sep 2016. Actions implemented on Cyber Security. Very high levels of service availability. Risk escalation noted as a consequence of rapidly evolving service requirements as project delivery evolves and remote working becomes more entrenched.	➡️	➡️	⬆️

Risk	Ref	Resp	Mitigation	Comments	Trend Nov 20	Trend Mar 21	Trend June 21
Reputation: One-off, high profile incidents and / or vociferous social media correspondents have an undue influence on the Authority's positive reputation.	A14.1	GM	Preventative: Engagement and communications strategy, and stakeholder engagement will seek to take the front foot on managing the Authority's positive, public reputation Preventative: proactive communications initiated to address any potential incidents Remedial: involvement in emerging NPUK collective communications strategy and campaigns which will produce additional high profile positive reputational impact Remedial: Social media profile represents an opportunity to boost reputation. .	Adopted by ARC November 20 to consolidate all reputational risks. Recent, high profile wildlife crime incident as key example of this strategic risk and its management. Current recruitment underway to support this work within the communications team.		→	→
Resourcing: scale of asset responsibilities such as for paths, outdoor infrastructure is not adequately recognised and does not secure adequate forward maintenance funding.	A16	DC	Remedial: Review of accounting procedures and asset recognition policy; review of forthcoming accounting technical guidance. Ensure full consideration is given in budget reviews. Preventative: Capital bids to government and Alternate funding sources such as visitor giving to be explored more actively.	Added by MT / OMG April 18. Infrastructure maintenance issues exacerbated by end of existing agreements over key routes. Significant increase in capital allocation allows scope for increased programming of maintenance over next four to five year period.	↑	↑	→

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Technical: Increasing ICT dependency for effective and efficient operations is not adequately backed up by ICT systems support.	A17	DC	Remedial: New ICT Strategy to be developed to reappraise position on IT dependencies and establish a focus for future digital development across the Authority. Clear action planning to evolve from final ICT strategic direction once agreed.	Added April 2018 Operational Scale of forward ICT investment to support infrastructure development work and organisational development plans as we move to a post-COVID "new normal" signifies significant workload and support requirements.	➡️	➡️	⬆️
Technical: Cyber security is inadequate to address risk of cyber-attack on systems	A18	DC	Preventative: Implementation of Scottish Government Cyber Security Action Plans and internal audit recommendations on IT security. Ongoing review of systems and procedures in tandem with LLTNPA. Re-scope arrangements through IT Strategy.	Added by MT / OMG April 18. Cyber security plus accreditation received. Work underway to complete residual internal audit actions. Aware of increased risks highlighted by national agencies during COVID response. Also aware of recent high profile incidents which overall suggest escalation of current risk.	➡️	➡️	⬆️

Risk	Ref	Resp	Mitigation	Comments	Trend Nov 20	Trend Mar 21	Trend June 21
Resources / Staffing: failure to effectively manage staffing numbers with a view to the long term business need will reduce the capacity for the Authority to deploy adequate financial investment toward priority projects in the National Park.	A19	DC	Preventative: Workforce Management Strategy developed and in place. Analysis of staffing contract position over three year period completed with actions established. Review of all vacancies as they arise. Consider staff management schemes available.	Staff contract position now established and subject to ongoing monitoring through HR, with review at point of any vacancies arising. Ongoing management of staff numbers underway with some highlighted areas now resolved. Budget 21/22 shows positive picture on staffing.	⬇	⬇	⬇
Resources: change in financing IT services and the switch from capital to revenue provision places an unmanageable pressure on the Authority's budget capacity.	A20	DC	Remedial: Monitor pattern of IT Investment costs as regards the capital and revenue split of resourcing requirements; build impacts into ongoing budget deliberations with Scottish Government.	Added by Audit Committee 8 March 2019 following "deep dive" IT risk review. Risk remains live as we develop a refreshed ICT Strategy and move to more cloud / service solutions	⬇	➡	➡
Reputation: the Authority is not perceived to be appropriately addressing the potential for conflict between 4 statutory aims.	A21	GM	Preventative: Ensure Board policy papers and Planning Committee papers are explicit in recognising strategic policy conflicts between 4 statutory aims and in addressing the evaluation of any potential conflict. Preventative: ensure clarity on this matter is established through high level NPPP and Corporate Plan documents	Added by Audit Committee 8 March 2019 following internal audit report on strategic planning processes. NPPP development process now underway where this can start to be underpinned.	➡	➡	➡

Risk	Ref	Resp	Mitigation	Comments	Trend Nov 20	Trend Mar 21	Trend June 21
Technical: Business Continuity Plans (BCP) are inadequate to deal with significant impacts to normal working arrangements and result in service failure.	A22	DC	Preventative: Overhaul of BCP developed in 2014 with reporting on development of plans through Management Team and Audit and Risk Committee. Test BCP arrangements once plan in place and communicated. Remedial: internal audit review of COVID19 over winter 20/21 will lead into lessons learned on wider BCP.	Added by Audit Committee May 2019 following internal audit review of BCP. Some delay in finalisation of BCP documentation itself. However, work on BCP has considerably assisted in roll out of initial and ongoing responses to Coronavirus pandemic with evidence, including very positive staff feedback, that BCP implementation has been effective.	➡️	➡️	➡️
Resourcing / Staffing / Policy: extended impacts of COVID19 to organisation impacts core strategic objectives and requires early strategic plan review.	A23	DC	Remedial: separate COVID19 operations risk register established to help identify and mitigate specific risks. Remedial: altered, widened management meetings to include all Heads of Service thus ensuring close monitoring of strategic impacts	Management of specific COVID strategic and operational risks are set out in the separate risk register document. Evidence over last periods of COVID mitigation being effective and focus remaining on strategic objectives.	➡️	➡️	⬇️

Risk	Ref	Resp	Mitigation	Comments	Trend Nov 20	Trend Mar 21	Trend June 21
Technical: the Authority's range of powers combined with strategic partnerships is insufficient to deliver outcomes on wildlife crime	A24	PM	Remedial: use NPPP development processes to explore partnership attitudes, engagement and powers which they may add to the current controls. Preventative: explore potential for licencing or other regulatory arrangements to contribute to more effective control framework	Added by SMT risk review May 2021			⬆
Technical: The Authority's Peatland Programme outcomes may be adversely impacted by a lack of contractor capacity	A25	MF	Preventative: interaction with skills and economic development agencies to highlight the problems of contractor capacity and scale of future programme	Added by SMT risk review May 2021			⬆

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Reputational: key communications activities, messaging and (in some cases) brand awareness raising can be dependent on partner collaboration rather than under direct control, with potential for ineffective or disjointed communication outcomes.	A26	GM	Preventative: agree partnership frameworks that explicitly set out expectations and outcomes of collaborative activities and establish adequate control mechanisms; Preventative: specifically monitor and feedback on communications effectiveness where there are partnership dependencies Remedial: conduct review meetings which track and document progress and escalate and issues arising to appropriate governance groups.	Added by SMT risk review May 2021. Identified as a stable risk at present rather than escalating, while recognised as a gap in our current strategic risk coverage.			⮕
Technical: approaches to conservation and protection of endangered species may be insufficient to achieve associated strategic outcomes	A27	PM	Remedial: review current approaches in context of relevant data sources to determine adequacy of current approaches. Remedial: use NPPP development processes to test potential for enhanced / revised approaches to conservation and protection of endangered species	Added by SMT risk review May 2021. Identified as a stable risk at present rather than escalating, while recognised as a gap in our current strategic risk coverage.			⮕

20 live strategic risks (previously 16); of which 1 risks identified for closure with 0 further risk on consistent downward trend.

Notes:
Aiming to keep strategic risk register to around 15 strategic risks
Cross-cutting risks impact potentially throughout all priorities
Strategic Risks around corporate priorities focus on risk impacts throughout each of the three themes – hence require a coordinated overview at Director / Executive level. Not expecting a strategic risk against each specific Corporate Plan priority.
More specific risks are expected to be captured in more operational risk registers – e.g. risk management around delivery of office extension.
Full risk register the collective responsibility of full MT to manage, however each risk allocated to one specific member of the team to take lead responsibility.
Aim through mitigation to reduce Likelihood (LL) multiplied by Impact (IM) risk score to below 10 as acceptable risk value.
Reference key: "A" items are risks impacting on all aspects of the Corporate Plan; "C" items are Conservation only risks; "V" risks relate specifically to Visitor Experience; "L" risk relate to Land Management; "R" risks relate to Rural Development risks.

Key	
	Managed risk (green downward arrow in greyed-out field): risk assessment that risk is effectively managed and no longer a strategic risk posing potential to inhibit achievement of corporate strategic objectives. Risk can be removed from risk register.
	Lowering risk (green downward arrow): risk impact and / or likelihood is declining resulting in overall strategic risk assessment of mitigation actions effective with ongoing monitoring of risk environment still required.
	Static risk (amber horizontal arrow): risk impact and likelihood is stable. Overall strategic risk assessment is stable indicating that strategic risk remains, requiring ongoing management and continued implementation of proposed mitigation and controls.
	Increasing risk (red upward arrow): risk impact and / or likelihood is increasing resulting in increasing risk of achievement of strategic objectives being inhibited. Management action, and possibly resource investment, required to address risk environment and possibly introduce new mitigation action, in order to reduce risk impact and / or likelihood.