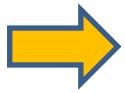
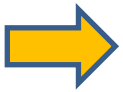
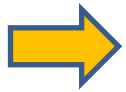
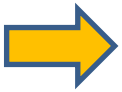
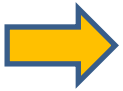
CAIRNGORMS NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER

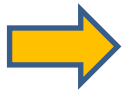
Risk	Ref	Resp	Mitigation	Comments	Trend Nov 19	Trend Feb 20	Trend Aug 20
Cross-over risks							
Resources: public sector finances constrain capacity to allocate sufficient resources to deliver corporate plan.	A1	DC	Preventative: Ongoing liaison with Scottish Government highlighting achievements of CNPA. 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, LAG and OATS in securing inward investment.	Work with Scottish Government has successfully secured resources adequate to cover Corporate Plan expectations into the third year of the current 4 year Corporate Plan period. We also continue to take forward ideas for alternate income streams to support future investment, including collective work with all UK National Parks and now supporting work on charitable activities through Cairngorms Trust. Balanced budget for 20/21 and reviewed and adapted by Board June 20 with Corporate Plan programmes continuing.			
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.	Management of specific COVID strategic and operational risks are set out in the separate risk register document.			

Risk	Ref	Resp	Mitigation	Comments	Trend Nov 19	Trend Feb 20	Trend Aug 20
Government and Policy: wider national political changes and policy direction force change away from current objectives.	A2	GM	Preventative: Invest time in maintaining key government contacts and relationships gaining notice of potential policy shifts. Work to get full government backing to NPPP which gives longer term strategy commitment.	Spending Review settlement for 2018/20 favourable for CNPA, therefore increasing confidence around capacity to deliver existing Corporate Plan objectives to 2022 and also on Government commitment to CNPA Strategic goals. NPPP and 18/22 Corporate Plan now approved. Monitoring ongoing potential impacts of EU exit and forward budget and policy developments, although no escalation at present. Conscious of forthcoming Scottish elections in Spring 21 which may impact over final months of current corporate plan period.			

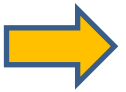
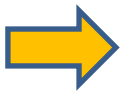
Risk	Ref	Resp	Mitigation	Comments	Trend Nov 19	Trend Feb 20	Trend Aug 20
Resourcing: UK vote to leave EU disrupts project delivery and financing plans and exposes Authority to longer term financial liabilities as a result of loss of EU funds.	A12.1	DC	Remedial: Risk management analysis of specific EU 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 March 21 with some potential for further extension into 21/22 financial year.			
Resourcing: future community led local development funding currently delivered through LEADER is lost and creates a significant gap in our capacity to deliver against our community development priorities	A12.2	DC	Remedial: prioritise engagement in consultations and events around the future development of structural and community funding. Preventative: 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.	Added by MT November 2019. Good access to other project funding for current strategic delivery period. This strategic risk begins to look beyond current corporate plan period. Engaged in Rural Economy Stakeholder Group with potential for future community led local development funding policy.			

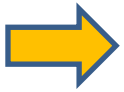
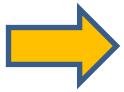
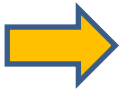
Risk	Ref	Resp	Mitigation	Comments	Trend Nov 19	Trend Feb 20	Trend Aug 20
Staffing: additional externally funded projects strains staff workload capacity with increased risks of stress and reduced morale.	A9.3	DC	Preventative: Ongoing review of Operational Plan with explicit identification of projects which can/must slip to accommodate successful funding bids. Importance of staff management and task prioritisation reinforced through leadership meetings.	Initial 2019 staff survey suggests some ongoing matters on workload management to be addressed while wellbeing results improving. Recent months of COVID response have escalated workloads and some increased risk assessed as consequence.			
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 summer 2018. Enhanced by full acceptance of all CNPA interpretations during 2019 with no eligibility issues outstanding at programme level. Residual risk around dispute resolution processes and uncertainty over eligibility judgements and interpretation made by SG audit. Some work on TGLP needed to ensure management and maintenance agreements are all in place.			

Risk	Ref	Resp	Mitigation	Comments	Trend Nov 19	Trend Feb 20	Trend Aug 20
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 An internal working group has been established to progress preventative mitigation actions. This area of work remains under review and risk status level.			
Technical: Increasing ICT dependency for effective and efficient operations is not adequately backed up by ICT systems support.	A17	DC	Remedial: ICT Advisory review commissioned from internal audit. Consultancy work also underway through ThinkWhere for GIS and Avendris for customer management and electronic records management.	Added April 2018 Operational Management Group review. Cyber security and wider ICT functionality reviews completed. Some ongoing delays around IT elements of project delivery. IT has held up well over COVID response			
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.	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.			

Risk	Ref	Resp	Mitigation	Comments	Trend Nov 19	Trend Feb 20	Trend Aug 20
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. Some outstanding improvement actions and IT project implementation to be delivered, however, overall level of risk declining.			
Reputation: the Authority's reputation is impacted by a small number of vociferous social media opinion leaders	A14	GM	Preventative: Staff and Board training on use of social media to best support organisational aims in communications and reputation management. Ongoing delivery of communications strategy. Remedial: Social media profile also represents an opportunity to boost reputation. Remedial: involvement in emerging NPUK collective communications strategy and campaigns which will produce additional high profile positive reputational impact.	Added by Board Dec 16. Implementation of communications strategy and wider organisational delivery, including promotion of recent successes, effective in maintaining organisational profile. Ongoing downward trend in risk.			

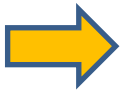
Risk	Ref	Resp	Mitigation	Comments	Trend Nov 19	Trend Feb 20	Trend Aug 20
Reputation: high profile incidents or one off stories, such as those associated with wildlife crime, mountain hares, affordable housing can have an undue influence on the Authority's wider reputation.	A15	GM	Remedial: Maintain good balance of traditional and social media releases. Remedial: Close partnership working to seek to balance incident reporting and appropriately reflect Authority's position and work.	Added by MT Jan 18. Wildlife crime initiative now launched. Other positive media around Snow Roads and Cairngorms as a destination together with very positive feedback on 2020 visitor management activity. However, there have also been ongoing, high profile wildlife crime incidents in the Cairngorms. Overall, this risk diminishing in impact as wider balancing information becomes more widespread.			
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: 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 agreement over Speyside Way Long Distance Route and end of maintenance period for some large scale investments – East Cairngorms Access Project (ECAP) for example.			

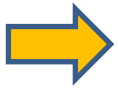
Risk	Ref	Resp	Mitigation	Comments	Trend Nov 19	Trend Feb 20	Trend Aug 20
Resources / Staffing: failure to effectively manage staffing numbers with a view to the long term business need will reduce the capacity for the Authority to deploy adequate financial investment toward priority projects in the National 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.	Added by Staffing and Recruitment and Audit and Risk Committees Feb / Mar 2019. 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 20/21 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. 2020/21 budget estimates give balanced position between capital and revenue costs.			
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 the conflict.	Added by Audit Committee 8 March 2019 following internal audit report on strategic planning processes. May have to increase profile of this moving forward.			

Risk	Ref	Resp	Mitigation	Comments	Trend Nov 19	Trend Feb 20	Trend Aug 20
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.	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.			

18 live strategic risks (previously 17); of which 3 risks identified for closure with 2 further risks on consistent downward trend.

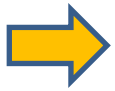
The risks in this section of the risk register relate to specific sections or services of the organisation. As such they are operational or tactical risks rather than strategic risks. They are presented alongside the strategic risk register as an aid in risk management practices, where from time to time risks may be escalted to a strategic risk if they are deemed to begin to impact on the delivery of strategic objectives.

Risk	Ref	Resp	Mitigation	Comments	Trend Nov 19	Trend Feb 20	Trend Aug 20
Specific Service Risks							
Partnerships: Conservation partnerships, crucial to delivery of priorities across land owned by others, are not formed or sufficiently developed to deliver conservation priorities.	C1	PM	Prioritise investment of time in establishing and maintaining working relationships; develop clear focus on requirements of partnerships, their purpose, objectives and resources.	Formal partnerships: ECMP and Cairngorms Connect progressing. Relationships with individual estates enabling woodland expansion and peatland restoration.			
Staff and communications: partners' staff are not engaged with or do not buy into the Authority's conservation NPPP priorities.	C2	PM	Clear and consistent messaging of CNPA priority and intended outcomes / impacts; clear, prompt and focused responses to partner concerns.	Increased levels of joint working with FCS and NS on priority issues of woodland expansion and designated sites; Partnership Plan completion reaffirmed shared priorities among partner agencies. Audit and Risk Cttee agreed to retain this risk May 2018.			

Risk	Ref	Resp	Mitigation	Comments	Trend Nov 19	Trend Feb 20	Trend Aug 20
Reputational: the Authority's leadership reputation will be damaged if East Cairngorms Moorland Partnership fails as a consequence of failure or perceived failure to deliver objectives.	C3	PM	Establish and communicate clear partnership objectives. Maintain clarity within partnership on actions and their associated delivery responsibilities.	ECMP partners strongly committed to delivering conservation goals but complex layers of management within individual estates risks miss-communication and failure to deliver.			
Partnerships: transfer of Crown Estates may result in significant disruption to established patterns of partnership working with key land-owners and reduced effectiveness in delivery with this key stakeholder group	C4	PM	Monitor progress of Crown Estates transfer and potential impacts on CNP Partnership operations, taking preventative actions as required.	CES transfers now well established			
Reputation: Capercaillie project and the Authority's reputation more widely is impacted by a small number of vociferous social media opinion leaders	C5	PM	Remedial: seek to meet with those criticising project to address issues where they are willing to take up this opportunity. Preventative: proactive positive communications by both Authority and range of community partners on project achievements.	Added following Board discussion Dec 19. Capercaillie Project Delivery Phase funding now successfully secured. While significant negative communication activity continues from a specific community group there is no evidence to suggest wider reputational impact.			

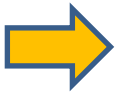
Risk	Ref	Resp	Mitigation	Comments	Trend Nov 19	Trend Feb 20	Trend Aug 20
Partnerships: competing priorities act to prevent or delay delivery of Cairngorm and Glenmore Strategy.	V1.1	MF	Preventative: Re-initiate momentum on project. Regular partner contact and early joint planning for delivery priorities, seek to expose potential conflicts at early stages and collaborate to identify remediation. Remedial: progress specific project initiatives in area in line with strategic aspirations.	Cairngorm & Glenmore Strategy was agreed among partners but changing partner capacity risks less joined-up, less ambitious delivery. Problems with Cairngorm Funicular are resulting in heightened risk. Some work is now progressing around masterplan for HIE Estate and delivery of Rural Tourism Infrastructure Fund (RTIF) project, though significant delays in the RTIF project.			
Resources and Partnerships: HLF funded Tomintoul and Glenlivet Landscape Partnership and Capercaillie Framework fail to fully deliver to the expectations of funders and communities.	L1	PM	Ensure sufficient staff resources are dedicated to supporting project boards. Ensure regular project monitoring and evaluation.	Broad range and scale of TGLP projects combined with wide diversity of partner input is challenging however monitoring of workloads and project progress is in place and responded to. These risks will be replicated within new Capercaillie project and need equivalent management.			

Risk	Ref	Resp	Mitigation	Comments	Trend Nov 19	Trend Feb 20	Trend Aug 20
Governance: Board and stakeholders do not adequately understand and appreciate landscape scale land management issues	L2	PM	At Board level, continue to use Board self-assessment and skills matrix to guide member recruitment, training and informal briefing sessions. Use partnership mechanisms to ensure stakeholder understanding and appreciation.	Added by Audit and Risk Committee May 2018 Work ongoing and no change in risk assessment at this stage. Board skills matrix has identified areas for focus in development activities			

Risk	Ref	Resp	Mitigation	Comments	Trend Nov 19	Trend Feb 20	Trend Aug 20
Resources and Partnerships: the broad partnership, policy combination and financial resources required to address challenges of housing delivery are not sufficient.	R1	MF	Strategic focus on establishment of the partnership approach, policy changes and resources required in development of next NPPP.	Preparation of Local Development Plan for period 2020 – 2025 progressing well. The Examination Report into objections was broadly very supportive of CNPA polices. Delivery of new affordable housing is more than meeting target in corporate plan and local community-led groups are making progress with delivery some schemes. Significant issues remain with high proportion of second homes in some communities and there is likely to be greater demand for housing as result of Covid emergency making investment and partnership working even more necessary.			

Notes:
Aiming to keep strategic risk register to around 12 to 15 high level 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 / MT 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.

Version Control

3 Board Cycle December 2019
3.0 Board adopted version June 2019 for MT / OMG review
3.1 Audit Committee review 6 September 2019
3.2 Management Team November 2019

4 Board Cycle Jan to Jun 2020
4.0 Draft following Board consideration December 2019
4.1 To Audit and Risk Committee March 2020
5 Board Cycle July to Dec 2020
5.1 Sep 20 Board meeting draft for MT / OMG review
5.2 Sep 20 Board meeting following MT / OMG edits (WBW, PC