

## CAIRNGORMS NATIONAL PARK AUTHORITY

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### FOR INFORMATION

**Title:** STRATEGIC RISK REGISTER

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#### **Purpose**

To provide the Audit Committee with an update on progress of actions taken to address the main strategic risks identified by Management Team in November 2004 and to establish these risks within a CNPA Strategic Risk Register.

#### **Recommendations**

The Committee is asked to:

1. Note the establishment of the Authority's Strategic Risk register, in line with one of the three recommendations made by Audit Scotland in their report on the 2004/05 audit;
2. Note the actions to date to address the risks contained within the Strategic Risk Register.

#### **Executive Summary**

A risk management workshop in 2004 identified a total of 77 strategic risks, which could have an impact on the organisation's ability to achieve its strategic objectives over its Corporate Planning period, April 2005 to March 2008. Risks identified were appraised on the basis of both their likelihood of occurrence and impact were they to occur.

Audit Scotland has advised the Committee that the key risks, prioritised in accordance with the Authority's approved Risk Management Strategy, should be set out within a Strategic Risk register along with an indication of actions taken to manage these risks. This paper sets out the Authority's Risk Register along with brief commentary on the actions taken to address those risks still considered relevant to achievement of the Authority's objectives.

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## **STRATEGIC RISK REGISTER - FOR INFORMATION**

### **Background**

1. The Committee received a report on the Authority's Risk Register and Risk Management Strategy at its meeting in March 2005. That report set out the schedule of risks identified, which could have an impact on the organisation's ability to achieve its strategic objectives over its Corporate Planning period, April 2005 to March 2008.
2. Following the risk workshop in 2004, some 19 risk areas were identified as falling within the definition of risks requiring proactive management and action planning. A further 36 areas of risk will require ongoing monitoring of the associated situation, leaving 22 identified "acceptable" risks requiring no further action or monitoring at this stage.
3. The Authority's External Auditor, Audit Scotland, previously advised the Committee that further work was required in order to properly develop a Strategic Risk Register from these 19 prioritised risk areas. A Risk Register required these risks to be consolidated into a document showing senior officers responsible for management of the risks and action being taken to address the risks.

### **Strategic Risk Register**

4. The Operational Plan for 2005/06 was designed to include the identification of risks subject to active management and to monitoring alongside the organisational goals, actions and tasks which may be affected by the risk. This process sought to integrate risk management within the Operational Planning process.
5. Over the past 12 months action has been taken to address the 19 highest identified risks. The Strategic Risk Register now attached at Annex One shows the actions taken to date to minimise or eliminate those risks. Action will continue to be taken to minimise the risk to the Authority's strategic and other objectives.
6. At this stage, the Risk Register is being presented to the Committee for information. It has been developed to date centrally, by Corporate Services, by undertaking a review of existing Corporate Plan policies and Operational Plan actions. It will also be put to Management Team for further consideration and approval by the various responsible officers identified to manage specific risks.
7. At present, it appears clear from the Risk Register that the key strategic risks identified as potentially impinging on our delivery of Corporate Plan objectives are well covered by existing Operational Plans and activities undertaken during 2005/06 and planned for 2006/07.
8. A review of the strategic risks will be carried out as part of the Authority's ongoing planning and monitoring process.

**Recommendation**

9. The Committee is asked to:
- a) Note the establishment of the Authority's Strategic Risk register, in line with one of the three recommendations made by Audit Scotland in their report on the 2004/05 audit;
  - b) Note the actions to date to address the risks contained within the Strategic Risk Register.

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14 March 2006

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**Audit Committee Paper 4 Annex 1 24/03/06**

**Risk Register as at 1 March 2006**

<b>Date first identified</b>	<b>Risk Identified</b>	<b>Impact</b>	<b>Likelihood</b>	<b>Risk Factor</b>	<b>Action (Track or Treat)</b>	<b>Action Agreed</b>	<b>Responsible Officer</b>	<b>Timescale for action</b>
November 04	Lack of clarity on priorities	4.70	4.30	20.20	Treat	7 priority 1 goals proposed and agreed in Corporate Plan 2005/08. Deliver through operational plans.	JH	Ongoing
November 04	Lack of public understanding of CNPA objectives	4.10	4.90	20.10	Treat	Board open evenings, Parklife and opinion polling to measure stakeholder perception of CNPA work.	FvB	Ongoing
November 04	Spread ourselves too thin	4.40	4.30	18.90	Treat	Manage through budget allocations reflecting priorities, operational plans and job plans	DC / MT	2006-2007
November 04	Lack of developed Health & Safety Policy	3.70	5.00	18.50	Treat	Comprehensive Policy on Health & Safety and Fire Risk Assessment	DC	March 2006
November 04	Management of relationship with private estates and land owners	4.00	4.60	18.40	Track	Develop policies to support integrated land management plus estate seminars, crofter groups and estate visits. Set up estates communication group	FN	2006-2007
November 04	Inconsistent internal communications	3.90	4.30	16.80	Treat and Track	Define and refine core messages and ensure these are widely understood by staff through staff meetings and away days. Staff Consultative Forum.	FvB / NH / DC	Ongoing
November 04	Staff overload	3.70	4.40	16.30	Track	Monitor through staff appraisal system and feedback; monitor through response to Staff Attitude	DC	By August 2006 to review.

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						Survey March / April 06; monitor through HR stats (absences, turnover)		
November 04	Lack of a local plan	3.30	4.90	16.20	Treat	Local Plan consultation being carried out	DM	2006-07
November 04	Failure to deliver major projects	4.10	3.60	14.80	Track	Monitor progress through quarterly operational plan reviews.	MT	Ongoing
November 04	Plans are not aligned	4.10	3.60	14.80	Treat	Manage through the corporate planning process	JH	Ongoing
November 04	CNPA sets the wrong measures of success in the public view	4.00	3.60	14.40	Treat	Review outcomes and deliverables flowing from strategies and policies and communicate these clearly to public. Especially with regard to National Park Plan.	FvB / NH	Ongoing
November 04	Don't identify customer requirements	4.10	3.40	13.90	Track	Clarify through opinion polling and other forms of feedback	FvB	Ongoing
November 04	Don't satisfy customer requirements	4.00	3.30	13.20	Treat	Greater transparency of working practices and improvement in communications. Future stakeholder analysis to be undertaken by MT.	MT	Ongoing
November 04	Failing to exploit IT functionality	3.30	4.00	13.20	Treat	Develop IT strategy and review feedback from IT User group	DC	May 2006
November 04	Lack of project management skills	3.70	3.40	12.60	Treat	Training arranged for staff. Review involvement of staff in SPPM Group.	DC / NH	Ongoing
November 04	Too much planning and not enough execution	3.40	3.60	12.20	Treat	More focused decision making by management team / MT Development.	JH	Ongoing

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November 04	Ineffective delegation of responsibilities	3.30	3.40	11.20	Treat	Implementation of staff appraisals and job plans	DC	Ongoing
November 04	Lack of interchangeability of staff	3.30	3.40	11.20	Track	Staff development plans will allow for movement across groups plus internal vacancy arrangements	DC / MT	Ongoing
November 04	Reduction in EU funding for future programmes	3.40	3.30	11.20	Track	Provide on-going external funding advice on EU programmes and consider potential replacement funding opportunities.	NH	Ongoing