

**CAIRNGORMS NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER**

<b>Risk</b>	<b>Ref</b>	<b>Resp</b>	<b>Mitigation</b>	<b>Comments</b>	<b>Trend Mar 21</b>	<b>Trend June 21</b>	<b>Trend Sep 21</b>
<b>Cross-over risks</b>							
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. Now nearing end of current Corporate Plan period therefore this risk specifically about resourcing to March 22 managed to successful outcome. Corporate Plan outcomes may be extended beyond March 22 pending finalisation of NPPP and establishment of new Corporate Plan.			
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.			

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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.	Suggest close this risk – evidence that programmes of work are not impacted following vote to leave and exit. Forward looking aspect of risk remains as set out in A12.2 below.			
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.			

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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. Corporate Plan / operational plan activity review to ensure major projects are appropriately recognised and resources deployed appropriately across all priority activity areas.	Risk escalation in recognition of success in significant Heritage Horizons award and early stages of planning resource deployment around that step-change in activity level.			

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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	<p>Preventative:</p> <p>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.</p> <p>Ensure TGLP Management and Maintenance contracts are all in place to ensure eligibility of investment.</p> <p>Remedial: Utilise internal audit resources</p>	<p>Ongoing positive relationships around LEADER and prompt grant repayment from managing agent.</p> <p>Residual LEADER risk around dispute resolution processes and uncertainty over eligibility judgements and interpretation made by SG audit.</p> <p>Work on TGLP completed to ensure management and maintenance and legacy arrangements are all in place. Final TGLP claim approved in full by NLHF in Aug 21.</p>			
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	<p>Preventative:</p> <p>Early identification of post-programme audit and legacy management and resourcing requirements and planning for those.</p> <p>Early engagement with Cairngorms Trust for LEADER and Landscape Partnership Programme Board to identify and finalise long term management arrangements.</p>	<p>Added by Management Team November 2019</p> <p>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.</p>			

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Technical: Increasing ICT dependency for effective and efficient operations is not adequately backed up by ICT systems support.	A17	DC	Preventative: invest in additional staff resource. Deploy timetabled action plan against approved ICT Strategy 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. ICT Strategy in place; added staff recruitment underway and timetabled action plan in development.			
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. Rescope arrangements through IT Strategy. Invest in cyber security software	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. Investment in cyber security software completed			

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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.			
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 now complete to support this work within the communications team.			

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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. Work on Strategic Tourism Visitor Infrastructure Plan to focus action.	Added by MT / OMG April 18. Infrastructure maintenance issues exacerbated by end of existing agreements over key routes and by additional COVID19 related visitor pressures. Significant increase in capital allocation allows scope for increased programming of maintenance over next four to five year period.			
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.			

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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.			

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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.			
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 Recent failure to procure tenders for contract confirms risk.			

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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.			

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Staffing: delivery of key outcomes is impacted by staff turnover, particularly in project teams.	A28	DC	Preventative: consider HR solutions to encourage retention Remedial: ensure succession planning and operational risk registers cover this strategic risk	Added following Board reflection on impact of turnover in TGLP Project.			

19 live strategic risks (previously 20); 2 risks identified for closure with 1 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	
	<p>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.</p>
	<p>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.</p>
	<p>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.</p>
	<p>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.</p>

## 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 Sep 2020
- 5.1 Sep 20 Board meeting draft for MT / OMG review
- 5.2 Sep 20 Board meeting following MT / OMG edits (WBW
- 6 Board Cycle October 20 to December 20
- 6.1 ARC November 20 first draft
- 7 Board Cycle January to June 2021
- 7.0 ARC April 2021 and SMT May 2021
- 7.1 Board June 2021
- 8 Board Cycle to December 2021
- 8.0 To SMT 24 Aug 21
- 8.1 SMT 24 Aug 21 Updates