

NBN Trust Risk Register



V3.09 (October 2017)




Review Process

1. Risk register presented to the Finance and Management Committee at every meeting complete with a brief report on areas of note.
2. Note on risk register made in Annual Report under SORP guidelines.

Likelihood	Overall Rating			
	High/4	M/4	M/8	H/12
Medium/3	L/3	M/6	M/9	H/12
Low/2	VL/2	L/4	M/6	M/8
Very Low/1	VL/1	VL/2	L/3	L/4
	Very Low/1	Low/2	Medium/3	High/4
	Impact			


Likelihood	Impact
H= Almost certain may occur this year or at frequent intervals	H = Very significant financial loss, or death, major slippage in deadlines, loss of confidence
M = Likely, may occur more than once in the next 3 years	M = Significant financial loss, Adjustment of significant deadlines, longer-term damage to reputation
L = Possible, may occur in the next 3 years	L = Budget adjustment required, some adjustment of deadlines, short term reputation damage
VL = Rare, may occur in exceptional circumstances	VL = Low loss, service delivery unaffected, unlikely to damage reputation


Change	Strategic Risk	Description	Mitigation (refer to multi-year action plan 2015-2020)	Strategic aim	Initial Risk Rating	Estimated timescale for mitigation	Residual Risk Rating	Activity undertaken to mitigate
	1. Financial risk	Inadequate funding (not enough money, funders withdraw/not enough subscribers). Reduction in government funding.	Medium Term Financial Plan is under review. Mitigation will include diversifying funding streams including Membership review, large project funding bids, sponsorship, advertising and providing added, paid for, services to members	1	Likelihood H / Impact H = 16	2017 – 2020 and beyond	Likelihood M / Impact H = 12	<ul style="list-style-type: none"> • Medium Term Financial Strategy has now been revised and approved by the Board in July. • Discussions with current government funders re: funding of NBN Atlas project for the next 3 years to be started asap • £57,500k in funding secured from Natural England for BAU for 17-18 • Funding from Northern Ireland confirmed for BAU and development of NBNA NI • Funding for BAU agreed with NRW/WG and SNH • Discussions ongoing to divorce BAU funding and MoAs from development funding and MoAs to provide stability for NBN Atlas essential funding • \$30,000 (approx. £23,000) received from Amazon towards NBN Atlas hosting costs
 Initial risk rating possibly too low, all small teams always carry this risk	2. Staff risk	Loss of key staff member is the greatest risk. Resilience risk compounded by small team on relatively low salaries.	Grow the NBN Trust to tackle risk and achieve resilience. Prepare a workforce plan. Identify skills and capacity shortage. Use others to deliver strategy (i.e., outsource delivery).	5	Likelihood L/ Impact H= 6	2017/18	Likelihood M /Impact H = 12	<ul style="list-style-type: none"> • Technical & Data support officer recruited and in place • Recruitment of systems developer ongoing • Extension of contract for 3 members of staff • Resilience increased by greater knowledge transfer within team
							Small team always carry this risk. Extensions of contracts and recruitment of extra staff reducing risk	

								<ul style="list-style-type: none"> Use of freelancers being investigated for fund raising & development work
	3. Diverging views	<p>Lack of consensus about access, visibility and usability.</p> <p>Leads to withdrawal of data from funders and from NBN or withdrawal of data by data providers. May result in Open access to Government owned or paid for data. Risk of NBN breaking apart.</p>	<p>Develop a collaborative and cooperative approach to decision making. Develop incentives for open data and promote the NBN strategy. Defining the common ground. Persuading compromise on both sides. Implement transition period and road map to greater openness.</p>	2	Likelihood M/ Impact H = 12	2017/18	<p>Likelihood H/ Impact H = 16</p> <p>Strongly held and divergent views on aspects of licencing and requirements for openness between funders and data providers. Delaying signing of Data Partner Agreements by some data providers</p>	<ul style="list-style-type: none"> Working with Steering Groups to try to achieve compromise Developing vision for transition period and road map to more open data Developing NBN Open Data Policy Increasing understanding of the definition of Open Data and Commercial Use Involvement with SBIF review
	3. Board Governance	<p>Board is not truly representative of the Network as a whole.</p> <p>Board do not have the appropriate skills and required competencies in order to progress the NBN partnership</p>	<p>Review of board governance to ensure it is fair, open and transparent</p> <p>Board required to update their competencies and this checked against requirements</p>	5	Likelihood H / Impact M = 12	2017/18	Likelihood H / Impact M = 12	<ul style="list-style-type: none"> Board review commenced June 2017 and new Articles and Rules have been drafted, group continues to meet ahead of the NBN AGM in November.
	4. Strategy	<p>Lack of engagement in NBN Strategy from wider Network</p> <p>Strategy out of date/ no longer reflects current climate</p>	<p>Annual review of strategy and Action Plan</p> <p>Involve wider network in delivery of the Action Plan and Strategic Aims</p>	5	Likelihood M / Impact H = 12	Ongoing	Likelihood M / Impact M = 9	<ul style="list-style-type: none"> Starting and/or re-starting working groups Strategy and Action plan reviewed May 2017 Working with partner organisations to increase their engagement with working groups and leading on actions
	5. Engagement	Lack of popular support, leading to disengagement, reduced membership and	Active patrons – to use more to promote work of the NBN and establish a	3	Likelihood M/ Impact H = 12	2016/17 and onwards	Likelihood M/ Impact H = 12	<p>a) general</p> <ul style="list-style-type: none"> Implementation of Communications Strategy with

	<p>a) general b) dealing with concerns c) engaging new audiences</p>	lack of sponsorship and investment.	<p>Patron Board. Revised communication strategy, focussing on broader public engagement Regular engagement and promote benefit from Natural Capital to businesses. Offsetting. Publish and promote case studies for conservation and all aspect of data use. Targeted signage on NBN systems with info about species at nature reserves and sites etc. Webservices to deliver data to users to increase engagement.</p>					<p>emphasis on media engagement. This is currently being reviewed and a social media strategy being developed.</p> <ul style="list-style-type: none"> Plan for stakeholder engagement activities in 2017/18 being drawn up <p><u>b) dealing with concerns</u></p> <ul style="list-style-type: none"> Faster and more transparent feedback being provided to issues with NBN Atlas Clearer timescales for development work and bug fixing Implementation of Complaints procedure in progress <p><u>c) engaging new audiences</u></p> <ul style="list-style-type: none"> Engaging with construction industry bodies, including on judging panel for the CIRIA Big Biodiversity Awards Future plans for engaging with educational establishments and providing education packs with instructions for using NBN Atlas in curriculum projects Presenting at wide ranging events e.g. Linnean Society, Big Data Can., BirdFair, RSPB members weekend etc.
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To note; The following risks have been removed from the register as they have a current risk rating which is 9 or less;

	3. People cannot use the system	Systems are not user-friendly, unreliable and unavailable.	Implementation of NBN Atlas project. Diversify technical support available. Infrastructure hosted on fit for purpose servers	2 and 4	Likelihood H/ Impact H = 16	Phase 1 of implementation of NBN Atlas project by 31/03/17. Further development and	Likelihood L/ Impact H = 8	<ul style="list-style-type: none"> Implementation of NBN Atlas project has moved infrastructure onto an up-to-date and dynamic platform Technical and Data Support Officer has been recruited
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						refinement 2017/18 Continual review and updating of system		<ul style="list-style-type: none"> • Hosting is with a multinational organisation (Amazon) with a good reputation for stability, security and support and split between MS Azure hosting.
	4. Wholeness of database and competition	<p>NBN Atlas has a less comprehensive dataset. Transition to more open data may result in less, or lower resolution, data on Atlas.</p> <p>Competing database(s) with access controls or niche initiatives appear</p>	<p>Implement NBN Strategy & action plan Development of UK online recording strategy. Seamless transition of data, proactive engagement with developers to make sure data flow occurs. Flexibility to ensure tools follow set NBN standards. Secure policies with agencies which state that funding will not be provided to data providers if data is not shared with NBN e.g. HLF</p>	<p>1</p>	<p>Likelihood M/ Impact H = 12</p>	<p>Annual review.</p>	<p>Likelihood M/ Impact M = 9</p>	<ul style="list-style-type: none"> • Inclusion of CC BY-NC licences on NBN Atlas • Working with data providers to build confidence in strength of licencing conditions • Exploring alternative options for an interim capture resolution data transfer mechanism
							<p>Data Partner Agreements received from more than 70% of data providers.</p> <p>Data transfer from NBN Gateway to NBN Atlas commenced</p> <p>Spatial layers identified and sourced</p>	