

# North York Moors National Park Authority Finance, Risk, Audit and Standards Committee

1 February 2016

## Risk Management Strategy Update

### 1. Purpose of the Report

- 1.1 To update Members on the Authority's Risk Management Strategy and to discuss amendments to the Authority's Corporate Risk Register prior to submission to Authority in March.

### 2. Background

- 2.1 The Authority's Corporate Risk Register is a working document and is approved at the March Authority meeting each year. The process that was undertaken to develop it was facilitated by NYCC's Insurance and Risk Management Team. The scheme of delegation gives responsibility to review and approve the Risk Management Strategy and Corporate Risk Register to this Committee (FRASC).
- 2.2 The risk register approved by Members includes a summary and a detailed document which includes a series of actions to be taken to reduce the risk levels.
- 2.3 The purpose of this report is to update Members on the progress made to date. It is not intended to be a complete review but to identify any significant variances from the plan which may impact on the Risk Category.
- 2.4 Overall progress on the Risk Register in 2015/16 has been good. A summary of the current risk register is attached as **Appendix 1** to this report.
- 2.5 **Appendix 2** to the report is a draft of the proposed register for 2016/2017 for discussion by Members prior to submission to Authority in March for approval. This has been prepared following discussion with NYCC Insurance and Risk Management Section and Directors. Members will note that the Minerals Planning Risk which was included in Appendix A has been removed from the Strategic Register. It is not that the risk is not continually being monitored as it is included in the Planning Departmental Risk Register. The proposal is that this risk is replaced on the Strategic Risk Register with the risk relating to the development of the Local Plan as this is currently a more significant risk to capacity and resources than the Minerals Planning Risk which has significantly reduced following completion of the key actions and in the absence of any further challenge to the decision. The remaining risks are consistent with those reported throughout 15/16 and the Objectives and thresholds also remain unchanged and will be reviewed following the preparation of the 2017-2020 Business Plan.
- 2.6 Members are reminded that at any given time the Authority is facing many operational risks and actions are taken to mitigate against the crystallisation of these risks on a daily basis and key risks are recorded on the departmental risk registers. The Corporate Risk Register is not intended to capture all of these risks but to identify the potential strategic level risks.

3. **Financial Implications**

3.1 There are no financial implications resulting from this report.

4. **Legal and Sustainability Implications**

4.1 There are no legal or sustainability implications resulting from this report.

5. **Recommendation**

5.1 That Members approve the contents of this report and the appendices making any amendments considered necessary.

Contact Officer:  
Irene Brannon  
Director of Corporate Services  
01439 772700

**Background documents to this report**

**File Ref.**

1. 2014 Corporate Risk Register

Risk Register: **January 2016 Review – detailed 2015/16**  
 Report Date: 12<sup>th</sup> January 2016 (pw)

Phase 1 - Identification											
<b>Risk Number</b>	201/158	<b>Risk Title</b>	201/158 - Financial Strategy				<b>Risk Owner</b>	NYM CEO		<b>Manager</b>	NYM DIR CS
<b>Description</b>	Failure to manage and adapt effectively to any further reductions in funding and implement the income generation strategy results in limiting the ability to deliver Purposes.					<b>Risk Group</b>	Finance		<b>Risk Type</b>		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			High level of efficiency; low unit costs; restructure and refocus carried out; reserves reviewed for adequacy; budget monitoring processes; engagement with Defra; focus on income generation and seeking opportunities to optimise income; be more opportunistic in approach to external funding; effective day to day financial management					<b>Effectiveness</b>			
<b>Probability</b>	H	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	H	<b>Category</b>	1
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>	<b>%</b>	
<b>Reduction</b>	201/19 - Continue to manage expectations of Stakeholders (agencies, public, staff, volunteers etc) being overt about what we are doing and what we are stopping					All Mgt Board		Thu-31-Mar-16		75%	
<b>Reduction</b>	201/20 - Continue to monitor performance of the income generating services against monetary expectations					All Directors		Thu-31-Mar-16		75%	
<b>Reduction</b>	201/22 - Continue to link service delivery to performance and resources to ensure value for money and monitor outcomes					All Members / Mgt Board		Thu-31-Mar-16		75%	
<b>Reduction</b>	201/1281 - Complete Assessment contributions of current assets to NPA objectives and the possibilities of income generation and prepare Business Plans for Visitors' Centres					All Directors NYM CEO		Thu-31-Mar-16		75%	
<b>Reduction</b>	201/1282 - Preparation of realistic new MTFs and Business Plan 2016 - 2019 into 16/17					All Directors NYM CEO		Thu-31-Mar-16		25%	
<b>Reduction</b>	201/1283 - Establish Trust to bring new resources into NYM					All Directors NYM CEO		Thu-31-Mar-16		30%	
<b>Reduction</b>	201/1287 - Greater usage of existing mechanism to increase funding within the National Park through planning and work with LEP to develop spatial plan to develop funding opportunities					All Directors NYM CEO		Thu-31-Mar-16		50%	
<b>Reduction</b>	201/1288 - External funding initiatives and Corporate Sponsorship with NPE, NPUK and other NPAs					All Directors NYM CEO		Thu-31-Mar-16		40%	
<b>Reduction</b>	201/1293 - Develop a Financial Framework to enable appropriate decision taking					NYM DIR CS		Thu-31-Mar-16		50%	
<b>Reduction</b>	201/1313 - Work on scenarios for possible future as part of developing MTFs Beyond					NYM CEO NYM DIR CS		Thu-31-Mar-16		80%	
<b>Reduction</b>	201/1314 - Develop a timetable for organisational development and consultation of changes and financial impacts if required					NYM DIR CS		Fri-31-Mar-17		0%	



Risk Register: **January 2016 Review – detailed 2015/16**  
 Report Date: 12<sup>th</sup> January 2016 (pw)

Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	H	Services	H	Reputation	M	Category	2
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan	201/633 - Note: Many of the current control measures that were in place have expired or ran their course and cannot be replaced due to the uncertainty around the future funding										



Risk Register: **January 2016 Review – detailed 2015/16**  
 Report Date: 12<sup>th</sup> January 2016 (pw)

Phase 1 - Identification														
<b>Risk Number</b>	201/203	<b>Risk Title</b>	201/203 - Health And Safety				<b>Risk Owner</b>	NYM CEO		<b>Manager</b>	NYM DIR CS			
<b>Description</b>	Failure to meet Health and Safety statutory requirements and ensure the appropriate culture is embedded in relation to staff, Members, volunteers, service users and contractors resulting in possible loss of life/serious injuries, prosecution, claims, media attention, fines.					<b>Risk Group</b>	Health and Safety		<b>Risk Type</b>					
Phase 2 - Current Assessment														
<b>Current Control Measures</b>			Health and Safety policies; risk assessments; reviews; responsibility in job descriptions; training; guidance documents; regular monitoring; strengthened reporting processes and checks on compliance; Health and Safety champion and departmental reps; external assessments; standard contract wordings with contractors; volunteers are briefed on H&S; expertise SLA with NYCC; routinely discussed at team meetings and Directors meetings; H&S Policies to ensure compliance with EU and domestic legislation reviewed including engaging an external specialist to review the framework; H&S performance assessed by SMT					<b>Effectiveness</b>						
<b>Probability</b>	M	<b>Objectives</b>	L	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	2			
Phase 3 - Risk Reduction Actions														
<b>Reduction</b>	201/193 - Continue SLA with NYCC to provide 'safety net' cover and access to more specialist health and safety expertise; contract now let					<b>Action Manager</b>	NYM DIR CS		<b>Action by</b>	Thu-31-Mar-16	<b>Completed</b>	Wed-1-Apr-15	<b>%</b>	100%
<b>Reduction</b>	201/206 - Continue to monitor external developments in Health and Safety					<b>Action Manager</b>	NYM DIR CS		<b>Action by</b>	Thu-31-Mar-16	<b>Completed</b>		<b>%</b>	75%
<b>Reduction</b>	201/1296 - Ensure volunteers are fully integrated and continue to comply with H&S procedures and practices as the role of the volunteer is extended					<b>Action Manager</b>	NYM DIR CS		<b>Action by</b>	Thu-31-Mar-16	<b>Completed</b>		<b>%</b>	75%
<b>Reduction</b>	201/1303 - Engage and engender ownership in staff of Health & Safety via a series of different methods e.g. training, bulletin, posters, departmental meetings, team meetings					<b>Action Manager</b>	NYM DIR CS		<b>Action by</b>	Thu-31-Mar-16	<b>Completed</b>		<b>%</b>	75%
<b>Reduction</b>	201/1304 - Implement action plan which includes issues arising from ATV accident on 22 October 2014 and wider investigation into H&S compliance					<b>Action Manager</b>	NYM DIR CS		<b>Action by</b>	Thu-31-Dec-15	<b>Completed</b>	Sat-31-Oct-15	<b>%</b>	100%
<b>Reduction</b>	201/1305 - Provide information for the progress report to members quarterly to allow scrutiny of actions (ongoing)					<b>Action Manager</b>	NYM DIR CS		<b>Action by</b>	Thu-31-Mar-16	<b>Completed</b>		<b>%</b>	50%
<b>Reduction</b>	201/1306 - Implement agreed annual health & safety action plan for 2015/16					<b>Action Manager</b>	NYM DIR CS		<b>Action by</b>	Thu-31-Mar-16	<b>Completed</b>		<b>%</b>	80%
<b>Reduction</b>	201/1308 - External audit of health & safety practice and implement recommendations					<b>Action Manager</b>	NYM DIR CS		<b>Action by</b>	Wed-30-Sep-15	<b>Completed</b>	Fri-31-Jul-15	<b>%</b>	100%
<b>Reduction</b>	201/1309 - Develop a more structured approach to health & safety training					<b>Action Manager</b>	NYM DIR CS		<b>Action by</b>	Thu-31-Dec-15	<b>Completed</b>	Sat-31-Oct-15	<b>%</b>	100%
<b>Reduction</b>	201/1312 - CEO and Directors to assess corporate H&S performance using LGA matrix					<b>Action Manager</b>	NYM DIR CS		<b>Action by</b>	Sun-31-Jan-16	<b>Completed</b>	Tue-12-Jan-16	<b>%</b>	100%
<b>Reduction</b>	201/1388 - Agree the scope of contracts/agreements with associate volunteer groups, community groups and others					<b>Action Manager</b>	NYM DIR CS NYM DIR PS		<b>Action by</b>	Thu-31-Mar-16	<b>Completed</b>		<b>%</b>	75%



Risk Register: **January 2016 Review – detailed 2015/16**  
 Report Date: 12<sup>th</sup> January 2016 (pw)

<b>Reduction</b>	201/1389 - Ensure contracts/agreements are in place with associate volunteer groups, community groups and others prior to commencement of tasks (ongoing)		NYM DIR CS NYM DIR PS		Thu-31- Mar-16		15%				
<b>Phase 4 - Post Risk Reduction Assessment</b>											
<b>Probability</b>	L	<b>Objectives</b>	L	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	3
<b>Phase 5 - Fallback Plan</b>											
<b>Fallback Plan</b>										<b>Action Manager</b>	



Risk Register: **January 2016 Review – detailed 2015/16**  
 Report Date: 12<sup>th</sup> January 2016 (pw)

Phase 1 - Identification											
Risk Number	201/461	Risk Title	201/461 - Minerals Planning (York Potash)			Risk Owner	NYM CEO		Manager	NYM DIR DM	
Description	Lack of capacity and resources both within the Authority and partner organisations to effectively manage the implementation of the Authority resolution to approve planning permissions etc by September 2015 in terms of the environmental and socio economic impacts which could result in negative impact on other Authority work, reputational damage both locally and nationally, potential judicial review and other legal action, negative financial impact, knock on effects to other work as resources transferred				Risk Group	First, Second Purpose and Duty		Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Continuing engagement with Partner and other involved bodies, recovery of an element of costs through LGA sect 106, Legal and Environmental advisors in place, increased resources, public relations activity, financial planning, resolution to approve,				Effectiveness				
Probability	L	Objectives	M	Financial	M	Services	L	Reputation	H	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	201/10 - Continue to liaise with DEFRA, CLG and other government departments to obtain support, advice and finance					NYM CEO	Thu-31-Dec-15	Wed-30-Sep-15	100%		
Reduction	201/13 - Continue to monitor costs and review adequacy of resources and keep a watch on planning workloads (ongoing)					NYM DIR CS NYM DoP	Sun-31-Jul-16		90%		
Reduction	201/15 - Continue to discuss the risks to income and increased expenditure regularly with Members and senior officers including financial planning scenarios.					NYM DIR CS	Thu-31-Mar-16	Mon-30-Nov-15	100%		
Reduction	201/861 - Monitor performance of specialist professional support and ensure appropriate measures are in place to maintain continuity of expertise					NYM DIR DM	Thu-31-Mar-16	Mon-19-Oct-15	100%		
Reduction	201/862 - Maintain close liaison with York Potash and its advisors					NYM CEO NYM DoP	Thu-31-Mar-16	Mon-19-Oct-15	100%		
Reduction	201/1279 - Plan for and seek resources to ensure internal capacity to manage the process of agreeing conditions, security arrangements and Project implementation					NYM CEO NYM DoP	Thu-31-Mar-16	Mon-19-Oct-15	100%		
Reduction	201/1387 - Plan for and seek resources to ensure ability to manage delivery of our Purposes should the Project be implemented.					NYM CEO NYM DoP	Thu-31-Mar-16	Wed-30-Sep-15	100%		
Reduction	201/1607 - Manage the planning workloads to ensure internal capacity and external support to monitor compliance with the planning permission and the s 106 agreement					NYM DoP	Sun-31-Jul-16		25%		
Reduction	319/1501 - Appoint a consultant to provide professional advice					NYM CEO	Fri-31-Jul-15	Sat-1-Aug-15	100%		
Reduction	319/1601 - Progress from the resolution to approve to issue a legal decision notice					NYM DoP	Wed-30-Sep-15	Mon-19-Oct-15	100%		
Reduction	319/1603 - Monitoring compliance with planning permission and the s 106 agreement (ongoing)					NYM DoP	Sun-31-Jul-16		0%		



Risk Register: **January 2016 Review – detailed 2015/16**  
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<b>Reduction</b>	319/1604 - Provide ongoing updates of progress to Members and staff					NYM DoP	Sun-31-Jul-16		60%		
<b>Reduction</b>	319/1605 - Ongoing communications re progress to all stakeholders					All Members / Mgt Board	Thu-31-Mar-16	Wed-30-Sep-15	100%		
<b>Phase 4 - Post Risk Reduction Assessment</b>											
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	L	<b>Services</b>	L	<b>Reputation</b>	H	<b>Category</b>	3
<b>Phase 5 - Fallback Plan</b>											
<b>Fallback Plan</b>									<b>Action Manager</b>		





Risk Register: **January 2016 Review – detailed 2015/16**  
 Report Date: 12<sup>th</sup> January 2016 (pw)

Phase 1 - Identification											
Risk Number	201/394	Risk Title	201/394 - Organisational Change				Risk Owner	NYM CEO		Manager	Mgt Team
Description	Failure to adequately develop, plan for and implement new ways of working resulting in inability to meet financial savings requirements and deliver statutory purposes.					Risk Group			Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Leadership programme; existing values; staff, union, Member and volunteer communications; staff surveys; 'Free' external advise maximised;					Effectiveness			
Probability	M	Objectives	M	Financial	M	Services	M	Reputation	M	Category	4
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	201/207 - Implement the Volunteer Strategy (ongoing)					NYM DIR PS	Tue-31-Mar-20		50%		
Reduction	201/220 - Develop a new Business Plan for 2016-19					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	201/223 - Create and implement the NY Moors Trust					NYM CEO	Thu-31-Mar-16		40%		
Reduction	201/235 - Monitor the performance against the new income strategy and ensure other resources are included					NYM DIR CS NYM DIR PS	Thu-31-Mar-16		50%		
Reduction	201/236 - Monitor and adapt management and staff capacity and practices to enable new ways of working (ongoing)					NYM DIR CS NYM DIR PS	Thu-31-Mar-16		0%		
Reduction	201/237 - Continue the leadership development programme and initiatives					NYM DIR CS	Thu-31-Mar-16	Mon-30-Nov-15	100%		
Reduction	201/278 - Create a culture of bringing forward innovation and creativity to produce measured outcomes					NYM DIR CS NYM DIR PS	Thu-31-Mar-16		25%		
Reduction	201/866 - Put together a plan for DEFRA to justify backended cuts					NYM DIR CS	Thu-31-Mar-16		15%		
Reduction	201/1289 - Develop a contingency plan for a catastrophic cut in funding					All Directors NYM CEO	Thu-31-Mar-16		20%		
Reduction	201/1290 - Ensure flexibility in management, targets and staff and cash resources to enable creative reaction to opportunities for new ways to deliver					All Directors	Thu-31-Mar-16		25%		
Reduction	201/1390 - Develop a framework of business skills for staff and encourage entrepreneurship					All Directors	Thu-31-Mar-16		0%		
Reduction	201/1391 - Open discussions with other organisations to extend shared services and review current arrangements					NYM DIR CS	Thu-31-Mar-16		25%		
Reduction	201/1392 - Revise performance framework and indicators					All Directors	Thu-31-Mar-16		0%		



Risk Register: **January 2016 Review – detailed 2015/16**  
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<b>Reduction</b>	201/1393 - Use effective recruitment to bridge any gaps and complement and enhance the skills of existing staff to enable the cultural shift to take place				All Directors NYM CEO	Thu-31- Mar-16		0%			
<b>Phase 4 - Post Risk Reduction Assessment</b>											
<b>Probability</b>	L	<b>Objectives</b>	L	<b>Financial</b>	L	<b>Services</b>	M	<b>Reputation</b>	L	<b>Category</b>	5
<b>Phase 5 - Fallback Plan</b>											
<b>Fallback Plan</b>								<b>Action Manager</b>			



# North York Moors National Park Authority – Strategic

# Appendix 1

Risk Register: **January 2016 Review – summary 2015/16**  
 Report Date: 7<sup>th</sup> January 2016 (pw)

Identity			Person		Classification														
Change	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre						RR		Post						
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat	
◀▶	201/158 - Financial Strategy	Failure to manage and adapt effectively to any further reductions in funding and implement the Income generation strategy results in limiting the ability to deliver Purposes.	NYM CEO	NYM DIR CS	H	H	H	H	H	H	1	11	30/06/2016	M	M	H	H	M	2
◀▶	201/203 - Health And Safety	Failure to meet Health and Safety statutory requirements and ensure the appropriate culture is embedded in relation to staff, Members, volunteers, service users and contractors resulting in possible loss of life/serious injuries, prosecution, claims, media attention, fines.	NYM CEO	NYM DIR CS	M	L	M	M	H	H	2	12	30/06/2016	L	L	M	M	H	3
◀▶	201/461 - Minerals Planning (York Potash)	Lack of capacity and resources both within the Authority and partner organisations to effectively manage the implementation of the Authority resolution to approve planning permissions etc by September 2015 in terms of the environmental and socio economic impacts which could result in negative impact on other Authority work, reputational damage both locally and nationally, potential judicial review and other legal action, negative financial impact, knock on effects to other work as resources transferred	NYM CEO	NYM DIR DM	L	M	M	L	H	H	3	13	31/07/2015	L	M	L	L	H	3
◀▶	201/394 - Organisational Change	Failure to adequately develop, plan for and implement new ways of working resulting in inability to meet financial savings requirements and deliver statutory purposes.	NYM CEO	Mgt Team	M	M	M	M	M	H	4	14	31/07/2016	L	L	L	M	L	5

Key	
▲	Risk Ranking has worsened since last review.
▼	Risk Ranking has improved since last review
◀▶	Risk Ranking is same as last review
- new -	New or significantly altered risk



Risk Register: **January 2016 Review – detailed draft 2016/17**  
 Report Date: 12<sup>th</sup> January 2016 (pw)

Phase 1 - Identification												
<b>Risk Number</b>	201/158	<b>Risk Title</b>	201/158 - Financial Strategy				<b>Risk Owner</b>	NYM CEO		<b>Manager</b>	NYM DIR CS	
<b>Description</b>	Failure to manage and adapt effectively to any further reductions in funding and implement the income generation strategy results in limiting the ability to deliver Purposes.					<b>Risk Group</b>	Finance		<b>Risk Type</b>			
Phase 2 - Current Assessment												
<b>Current Control Measures</b>			High level of efficiency; low unit costs; restructure and refocus carried out; reserves reviewed for adequacy; budget monitoring processes; engagement with Defra and other partners; focus on income generation and seeking opportunities to optimise income; be more opportunistic in approach to external funding; effective day to day financial management						<b>Effectiveness</b>			
<b>Probability</b>	H	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	H	<b>Category</b>	1	
Phase 3 - Risk Reduction Actions												
<b>Reduction</b>	201/19 - Continue to manage expectations of Stakeholders (agencies, public, staff, volunteers etc) being overt about what we are doing and what we are stopping					<b>Action Manager</b>	All Mgt Board		<b>Action by</b>	Fri-31-Mar-17	<b>Completed</b>	0%
<b>Reduction</b>	201/20 - Continue to monitor performance of the income generating services against monetary expectations					<b>Action Manager</b>	All Directors		<b>Action by</b>	Fri-31-Mar-17	<b>Completed</b>	0%
<b>Reduction</b>	201/22 - Continue to link service delivery to performance and resources to ensure value for money and monitor outcomes					<b>Action Manager</b>	All Members / Mgt Board		<b>Action by</b>	Fri-31-Mar-17	<b>Completed</b>	0%
<b>Reduction</b>	201/1281 - Complete Assessment contributions of current assets to NPA objectives and the possibilities of income generation and prepare and implement Business Plans for Visitors' Centres					<b>Action Manager</b>	All Directors NYM CEO		<b>Action by</b>	Fri-31-Mar-17	<b>Completed</b>	0%
<b>Reduction</b>	201/1282 - Preparation of realistic new MTFs and Business Plan 2017 - 2020 into 16/17					<b>Action Manager</b>	All Directors NYM CEO		<b>Action by</b>	Sat-31-Dec-16	<b>Completed</b>	0%
<b>Reduction</b>	201/1283 - Establish Trust to bring new resources into NYM					<b>Action Manager</b>	All Directors NYM CEO		<b>Action by</b>	Fri-31-Mar-17	<b>Completed</b>	0%
<b>Reduction</b>	201/1287 - Greater usage of existing mechanism to increase funding within the National Park through planning and work with LEP to develop spatial plan to develop funding opportunities					<b>Action Manager</b>	All Directors NYM CEO		<b>Action by</b>	Fri-31-Mar-17	<b>Completed</b>	0%
<b>Reduction</b>	201/1288 - External funding initiatives and Corporate Sponsorship with NPE, NPUK and other NPAs					<b>Action Manager</b>	All Directors NYM CEO		<b>Action by</b>	Fri-31-Mar-17	<b>Completed</b>	0%
<b>Reduction</b>	201/1293 - Develop a Financial Framework to enable appropriate decision taking					<b>Action Manager</b>	NYM DIR CS		<b>Action by</b>	Thu-30-Jun-16	<b>Completed</b>	0%
<b>Reduction</b>	201/1313 - Work on options for possible future as part of developing MTFs Beyond					<b>Action Manager</b>	NYM CEO NYM DIR CS		<b>Action by</b>	Thu-30-Jun-16	<b>Completed</b>	0%
<b>Reduction</b>	201/1314 - Develop a timetable for organisational development and consultation of changes and financial impacts if required					<b>Action Manager</b>	NYM DIR CS		<b>Action by</b>	Fri-31-Mar-17	<b>Completed</b>	0%



Risk Register: **January 2016 Review – detailed draft 2016/17**

Report Date: 12<sup>th</sup> January 2016 (pw)

Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	H	Services	H	Reputation	M	Category	2
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan	201/633 - Monitor funding and amend future financial strategy if necessary										



Risk Register: **January 2016 Review – detailed draft 2016/17**  
 Report Date: 12<sup>th</sup> January 2016 (pw)

Phase 1 - Identification											
<b>Risk Number</b>	201/460	<b>Risk Title</b>	201/460 - Local Plan				<b>Risk Owner</b>	NYM CEO		<b>Manager</b>	NYM DoP
<b>Description</b>	Failure to develop an up to date strategic planning document (Local Plan) within a reasonable timescale resulting in challenges to planning decisions and gaps in policy causing difficulties in decision making, potential direct Govt intervention and harm to National Park Purposes.					<b>Risk Group</b>		<b>Risk Type</b>			
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Policy team with limited capacity, existing dated core strategy, up to date Local Plan for Helmsley, Area Action Plan for Whitby Business Park, emerging Joint Minerals and Waste local Plan, a number of SPDs, NPPF, NPPG, National Parks circular, Head of Strategic Policy appointed, Members agreement to update,						<b>Effectiveness</b>		
<b>Probability</b>	H	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	1
Phase 3 - Risk Reduction Actions											
						<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>	<b>%</b>		
<b>Reduction</b>	319/1497 - Commencement of Local Plan and to develop and implement a project timetable and resource plan					NYM DoP	Fri-31-Mar-17		0%		
<b>Reduction</b>	319/1498 - Assessment of options for delivering the Local Plan					NYM DoP	Thu-30-Jun-16		0%		
<b>Reduction</b>	319/1593 - Induction of Planning Policy team to familiarise team with existing policies and identify gaps					NYM DoP	Thu-30-Jun-16		0%		
<b>Reduction</b>	319/1594 - Ensure adequate resources are in place for production of Local Plan					NYM DoP	Mon-31-Dec-18		0%		
<b>Reduction</b>	319/1608 - Develop and implement a communication and engagement strategy for the Local Plan					NYM DoP	Fri-31-Mar-17		0%		
<b>Reduction</b>	319/1609 - Manage the process of public examination and take into account any outcomes					NYM DoP	Mon-31-Dec-18		0%		
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	L	<b>Financial</b>	L	<b>Services</b>	L	<b>Reputation</b>	L	<b>Category</b>	5
Phase 5 - Fallback Plan											
<b>Fallback Plan</b>										<b>Action Manager</b>	



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Phase 1 - Identification											
<b>Risk Number</b>	201/203	<b>Risk Title</b>	201/203 - Health And Safety				<b>Risk Owner</b>	NYM CEO		<b>Manager</b>	NYM DIR CS
<b>Description</b>	Failure to meet Health and Safety statutory requirements and ensure the appropriate culture is embedded in relation to staff, Members, volunteers, service users and contractors resulting in possible loss of life/serious injuries, prosecution, claims, media attention, fines.					<b>Risk Group</b>	Health and Safety		<b>Risk Type</b>		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Health and Safety policies; risk assessments; action plans; reviews; responsibility in job descriptions; training; guidance documents; regular monitoring; strengthened reporting processes and checks on compliance; Health and Safety champion and departmental reps; external assessments; standard contract wordings with contractors; volunteers are briefed on H&S; expertise SLA with NYCC; routinely discussed at team meetings and Directors meetings; H&S Policies to ensure compliance with EU and domestic legislation reviewed including engaging an external specialist to review the framework; external audit carried out 2015; H&S performance assessed by SMT					<b>Effectiveness</b>			
<b>Probability</b>	M	<b>Objectives</b>	L	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	2
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>	<b>%</b>	
<b>Reduction</b>	201/193 - Continue SLA with NYCC to provide 'safety net' cover and access to more specialist health and safety expertise; contract now let						NYM DIR CS	Fri-31-Mar-17		0%	
<b>Reduction</b>	201/206 - Continue to monitor external developments in Health and Safety						NYM DIR CS	Fri-31-Mar-17		0%	
<b>Reduction</b>	201/1296 - Ensure volunteers are fully integrated and continue to comply with H&S procedures and practices as the role of the volunteer is extended						NYM DIR CS	Fri-31-Mar-17		0%	
<b>Reduction</b>	201/1303 - Engage and engender ownership in staff of Health & Safety via a series of different methods e.g. training, bulletin, posters, departmental meetings, team meetings						NYM DIR CS	Fri-31-Mar-17		75%	
<b>Reduction</b>	201/1305 - Provide information for the progress report to members quarterly to allow scrutiny of actions (ongoing)						NYM DIR CS	Fri-31-Mar-17		0%	
<b>Reduction</b>	201/1306 - Implement agreed annual health & safety action plan for 2016/17						NYM DIR CS	Fri-31-Mar-17		0%	
<b>Reduction</b>	201/1312 - CEO and Directors to assess corporate H&S performance using LGA matrix						NYM DIR CS	Thu-30-Jun-16	Tue-12-Jan-16	100%	
<b>Reduction</b>	201/1388 - Agree the scope of contracts/agreements with associate volunteer groups, community groups and others						NYM DIR CS NYM DIR PS	Thu-30-Jun-16		0%	
<b>Reduction</b>	201/1389 - Ensure contracts/agreements are in place with associate volunteer groups, community groups and others prior to commencement of tasks (ongoing)						NYM DIR CS NYM DIR PS	Fri-31-Mar-17		0%	



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Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	M	Services	M	Reputation	H	Category	3
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan											





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Phase 1 - Identification											
Risk Number	201/394	Risk Title	201/394 - Organisational Change				Risk Owner	NYM CEO		Manager	Mgt Team
Description	Failure to adequately develop, plan for and implement new ways of working resulting in inability to meet financial savings requirements and deliver statutory purposes.					Risk Group			Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Leadership programme; existing values; staff, union, Member and volunteer communications; staff surveys; 'Free' external advice maximised;					Effectiveness			
Probability	M	Objectives	M	Financial	M	Services	M	Reputation	M	Category	4
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	201/207 - Implement the Volunteer Strategy (ongoing)					NYM DIR PS	Tue-31-Mar-20		0%		
Reduction	201/220 - Develop a new Business Plan for 2017-20					NYM DIR CS	Sat-31-Dec-16		0%		
Reduction	201/223 - Create and implement the NY Moors Trust					NYM CEO	Fri-31-Mar-17		0%		
Reduction	201/235 - Monitor the performance against the new income strategy and ensure other resources are included					NYM DIR CS NYM DIR PS	Fri-31-Mar-17		0%		
Reduction	201/236 - Monitor and adapt management and staff capacity and practices to enable new ways of working (ongoing)					NYM DIR CS NYM DIR PS	Fri-31-Mar-17		0%		
Reduction	201/237 - Continue the leadership development programme and initiatives					NYM DIR CS	Fri-31-Mar-17		0%		
Reduction	201/278 - Create a culture of bringing forward innovation and creativity to produce measured outcomes					NYM DIR CS NYM DIR PS	Fri-31-Mar-17		0%		
Reduction	201/1289 - Develop a contingency plan for a cut in funding					All Directors NYM CEO	Fri-31-Mar-17		0%		
Reduction	201/1290 - Ensure flexibility in management, targets and staff and cash resources to enable creative reaction to opportunities for new ways to deliver					All Directors	Fri-31-Mar-17		0%		
Reduction	201/1390 - Develop a framework of business skills for staff and encourage entrepreneurship					All Directors	Fri-31-Mar-17		0%		
Reduction	201/1391 - Open discussions with other organisations to extend shared services and review current arrangements					NYM DIR CS	Fri-31-Mar-17		0%		
Reduction	201/1392 - Revise performance framework and indicators					All Directors	Fri-31-Mar-17		0%		



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<b>Reduction</b>	201/1393 - Use effective recruitment to bridge any gaps and complement and enhance the skills of existing staff to enable the cultural shift to take place			All Directors NYM CEO	Fri-31-Mar-17		0%				
<b>Phase 4 - Post Risk Reduction Assessment</b>											
<b>Probability</b>	L	<b>Objectives</b>	L	<b>Financial</b>	L	<b>Services</b>	M	<b>Reputation</b>	L	<b>Category</b>	5
<b>Phase 5 - Fallback Plan</b>											
<b>Fallback Plan</b>											<b>Action Manager</b>



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Change	Risk Title	Identity Risk Description	Person		Classification													
			Risk Owner	Risk Manager	Pre					RR		Post						
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat
◀▶	201/158 - Financial Strategy	Failure to manage and adapt effectively to any further reductions in funding and implement the Income generation strategy results in limiting the ability to deliver Purposes.	NYM CEO	NYM DIR CS	H	H	H	H	H	1	11	30/06/2016	M	M	H	H	M	2
- new -	201/460 - Local Plan	Failure to develop an up to date strategic planning document (Local Plan) within a reasonable timescale resulting in challenges to planning decisions and gaps in policy causing difficulties in decision making, potential direct Govt intervention and harm to National Park Purposes. IB to check second ranking with Chris	NYM CEO	NYM DoP	H	H	H	M	H	1	6	30/06/2016	L	L	L	L	L	5
◀▶	201/203 - Health And Safety	Failure to meet Health and Safety statutory requirements and ensure the appropriate culture is embedded in relation to staff, Members, volunteers, service users and contractors resulting in possible loss of life/serious injuries, prosecution, claims, media attention, fines.	NYM CEO	NYM DIR CS	M	L	M	M	H	2	9	30/06/2016	L	L	M	M	H	3
◀▶	201/394 - Organisational Change	Failure to adequately develop, plan for and implement new ways of working resulting in inability to meet financial savings requirements and deliver statutory purposes.	NYM CEO	Mgt Team	M	M	M	M	M	4	13	31/12/2016	L	L	L	M	L	5

Key	
▲	Risk Ranking has worsened since last review.
▼	Risk Ranking has improved since last review
◀▶	Risk Ranking is same as last review
- new -	New or significantly altered risk

