

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

20 November 2017

Risk Management Strategy Update

1. Purpose of the Report

- 1.1 To update Members on progress made on work related to the Authority's Corporate Risk Register (CRR).

2. Background

2.1 As Members are aware the Authority maintains a CRR which is considered on a quarterly basis by this Committee. The CRR was reviewed earlier this year by Directors with advice from NYCC's Insurance and Risk Management team. The Register was thoroughly revised on a current assessment of risks and the three Strategic Priorities in the Business Plan. It was then subsequently approved by Members at the March National Park Authority meeting.

2.2 In addition to the strategic risk that was added in November 2016 in relation to the implementation of the Sirius Mineral Polyhalite Mine, further risks were added to the register this year including;

- Wildlife Corridors (Business Plan strategic priority);
- Profile of the Park (Business Plan strategic priority);
- Young People (Business Plan strategic priority);
- Minerals and Waste Development Framework, and;
- Volunteer Strategy
- Fraud and Corruption

2.3 The initial assessment of risk for 2017/18 was also considered on the basis of an increase in the financial risk thresholds to take into account the Authority's improved financial position with regard to earned income, current DEFRA Grant and external funding.

3. Corporate Risk Register Update

3.1 The CRR for 2017/18 attached as **Appendix 1** includes details of a series of actions to be taken to reduce the risk levels.

3.2 The purpose of this report is to identify any variances (positive or negative) from the plan which may impact on the overall Risk Category. Officers have not identified any significant variances and work is being completed as expected. The Register has been updated to indicate this progress.

3.3 Officers do not consider that any changes to Risk Category assessments are necessary at this stage. Members' views are welcome.

4. **Financial Implications**

4.1 There are no financial implications resulting from this report.

5. **Legal and Sustainability Implications**

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

6. **Recommendation**

6.1 That Members note the progress made on the CRR for 2017/18 and adjust the risk categories if deemed necessary.

Contact Officer:

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Assistant Director of Corporate Services

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Background documents to this report

File Ref.

1. FRASC Papers February, June and September 2017
2. NPA Paper March 2017

Risk Register: November 2017 - detailed

| Phase 1 - Identification | | | | | | | | | | | |
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| Risk Number | 201/464 | Risk Title | 201/464 - Sirius Minerals Polyhalite Mine - Implementation | | | | Risk Owner | NYM CEO | | Manager | Mgt Team |
| Description | Failure to deliver the terms of the Section 106 agreement and effectively manage the planning implementation aspects of the development resulting in adverse national / international publicity and harm to the National Park and local residents. The authority:- a) fails to meet its obligations as a Planning Authority in discharging Planning Conditions; b) is unable to deliver the mitigating and compensatory elements of the Section 106 and this therefore causes harm to the Park; c) fails to plan sufficiently so that overall scale of dealing with the implementation of the development significantly disrupts the functioning of the rest of the organisation | | | | | Risk Group | Strategic | | Risk Type | | |
| Phase 2 - Current Assessment | | | | | | | | | | | |
| Current Control Measures | Sirius Minerals have satisfied a series of pre-commencement conditions and these have been confirmed by the Authority before the development commenced. Formal Commencement date was 4th May 2017. This ensured that the Authority had sufficient time to get resources in place for the mitigating action. Financial resources available; outline mitigation schemes developed in principle as part of the Section 106 agreement; knowledge and expertise in place; recruitment strategy implemented; close collaboration to ensure necessary resources are available to achieve alignment of project timetables; Community Forum in place; financial monitoring arrangements in place; timetable developed for resourcing, and establishing mechanisms for, the delivery of the marketing and tourism plans; Director of Implementation and senior mineral planning officer recruited; | | | | | | | | | | |
| Probability | H | Objectives | H | Financial | H | Services | H | Reputation | H | Category | 1 |
| Phase 3 - Risk Reduction Actions | | | | | | | | | | | |
| | | | | | | Action Manager | Action by | Completed | % | | |
| Reduction | 201/1308 - Set up financial monitoring arrangements | | | | | NYM DIR CS | Fri-31-Mar-17 | Fri-31-Mar-17 | 100% | | |
| Reduction | 201/1309 - Develop and implement an action/business plan for marketing and tourism, public enjoyment and conservation aspects of S106 Agreement | | | | | NYM DIR PP | Sun-31-Dec-17 | | 90% | | |
| Reduction | 201/1613 - Carry out appointments of Director of Implementation and senior mineral planning officer | | | | | NYM DoP | Tue-31-Jan-17 | Sun-30-Apr-17 | 100% | | |
| Reduction | 201/1626 - Develop a timetable for resourcing, and establishing mechanisms for, the delivery of the marketing and tourism plans | | | | | NYM DIR PS | Fri-31-Mar-17 | Fri-31-Mar-17 | 100% | | |
| Reduction | 201/1627 - Development of a timetable for establishing a delivery mechanism for the conservation aspects of the Section 106 agreement | | | | | NYM DIR PP | Sun-31-Dec-17 | Mon-31-Jul-17 | 100% | | |
| Reduction | 201/1628 - Continue to work with Sirius Minerals to ensure a positive working relationship to enable the discharging of planning conditions and the commencement of the development to progress as smoothly as possible (ongoing) | | | | | NYM DIR PP | Sat-31-Mar-18 | | 90% | | |
| Reduction | 201/1629 - Carry out recruitment requirements to manage the delivery of the terms of the Section 106 agreement | | | | | NYM CEO | Fri-31-Mar-17 | Mon-31-Jul-17 | 100% | | |
| Phase 4 - Post Risk Reduction Assessment | | | | | | | | | | | |
| Probability | M | Objectives | M | Financial | H | Services | M | Reputation | H | Category | 2 |



Risk Register: November 2017 - detailed

| Phase 5 - Fallback Plan | | Action Manager |
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| Fallback Plan | | |



Risk Register: November 2017 - detailed

| Phase 1 - Identification | | | | | | | | | | | |
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| Risk Number | 201/490 | Risk Title | 201/490 - Young People (Business Plan Strategic Priority) | | | | Risk Owner | NYM CEO | | Manager | NYM DIR PS |
| Description | Failure to deliver targets relating to inspiring young people to understand and experience the North York Moors and be actively involved in its future | | | | | Risk Group | | | Risk Type | | |
| Phase 2 - Current Assessment | | | | | | | | | | | |
| Current Control Measures | | | Education Strategy and Education Team; New Head of Education and Youth Engagement recruited; Explorer Club existing activity; Good working relationships with local authorities; Community Champions network; Additional resources and planned actions in new Business Plan; Apprenticeship programmes; Youth Engagement Officer recruited and working hours of Education Team and Explorer Club Coordinator expanded; | | | | | | | | |
| Probability | H | Objectives | H | Financial | L | Services | L | Reputation | M | Category | 1 |
| Phase 3 - Risk Reduction Actions | | | | | | | | | | | |
| | | | | | | Action Manager | Action by | Completed | % | | |
| Reduction | 201/190 - Recruit necessary staff eg. Youth Engagement Officer and expand working hours of Education Team and Explorer Club Coordinator | | | | | NYM DIR PS | Fri-30-Jun-17 | Sun-30-Apr-17 | 100% | | |
| Reduction | 201/191 - Expand the Explorer Club including recruitment of Volunteer Leaders for Explorer Club | | | | | NYM DIR PS | Sat-31-Mar-18 | | 70% | | |
| Reduction | 201/192 - Establish working relationships with key contacts in local authorities, relevant third sector organisations and youth groups | | | | | NYM DIR PS | Sat-31-Mar-18 | | 70% | | |
| Reduction | 201/194 - Review the education strategy to ensure proactive engagement with young people in addition to the engagement through schools | | | | | NYM DIR PS | Sun-31-Mar-19 | | 0% | | |
| Reduction | 201/204 - Develop and implement plans for young people's volunteer group (also see actions in Volunteer Strategy risk) | | | | | NYM DIR PS | Sun-30-Sep-18 | | 80% | | |
| Reduction | 201/205 - Deliver expanded targeted transport scheme | | | | | NYM DIR PS | Sat-31-Mar-18 | | 80% | | |
| Reduction | 201/210 - Refresh Apprenticeship Scheme | | | | | NYM DIR PS | Wed-31-Jan-18 | | 75% | | |
| Reduction | 201/211 - Maximise benefits for young people in all major projects (ongoing) | | | | | NYM DIR PS | Sat-31-Mar-18 | | 30% | | |
| Reduction | 201/212 - Investigate opportunities for working with the National Citizen Service | | | | | NYM DIR PS | Mon-31-Dec-18 | | 70% | | |
| Reduction | 201/213 - Explore and develop opportunities for working with the David Ross Educational Trust | | | | | NYM DIR PS | Wed-31-Jan-18 | | 40% | | |
| Reduction | 201/214 - Work with Public Health agencies to optimise health benefits arising from delivery of youth engagement activities (ongoing) | | | | | NYM DIR PS | Sat-31-Mar-18 | | 30% | | |
| Reduction | 201/215 - Work with National Parks England to develop bid for funding for projects relating to young people and mental health | | | | | NYM DIR PS | Sat-31-Mar-18 | | 20% | | |
| Phase 4 - Post Risk Reduction Assessment | | | | | | | | | | | |
| Probability | L | Objectives | L | Financial | L | Services | L | Reputation | L | Category | 5 |



Risk Register: November 2017 - detailed

| Phase 5 - Fallback Plan | |
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| Fallback Plan | Action Manager |
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Risk Register: November 2017 - detailed

| Phase 1 - Identification | | | | | | | | | | | |
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| Risk Number | 201/488 | Risk Title | 201/488 - Wildlife Corridors (Business Plan Strategic Priority) | | | | Risk Owner | NYM CEO | | Manager | NYM DIR CONSERV |
| Description | Failure to establish wildlife corridors in the National Park resulting in inability for animals and plants to move around the landscape and flourish. | | | | | Risk Group | | Risk Type | | | |
| Phase 2 - Current Assessment | | | | | | | | | | | |
| Current Control Measures | | Delivery plans formulated and responsibility for delivery linked into annual appraisal system, using established delivery process and ways of working (agreed NPA grant procedures/criteria) compliant with state aid requirements, holding regular team meetings to review progress and share good practice, making most of established working relationships with partners and land managers, have additional capacity if required through local consultant, externally funded schemes contributing to wildlife corridor delivery, original rationales in place against which can judge progress of delivery, annual reporting to Members via NPA/Scrutiny Committee. | | | | | | | | | |
| Probability | M | Objectives | H | Financial | M | Services | M | Reputation | M | Category | 2 |
| Phase 3 - Risk Reduction Actions | | | | | | | | | | | |
| | | | | | | Action Manager | Action by | Completed | % | | |
| Reduction | 201/23 - Develop and implement delivery plans into longer term pipeline of works - ongoing | | | | | NYM DIR CONSERV | Wed-31-Jan-18 | | 90% | | |
| Reduction | 201/24 - Review delivery so far and assess achievements so can help understand level of delivery on desired outcomes | | | | | NYM DIR CONSERV | Fri-30-Jun-17 | Mon-31-Jul-17 | 100% | | |
| Reduction | 201/25 - Review rationales to make sure up to date with the ecological priorities of the North York Moors, current best practice and new understanding of target species requirements, whilst at the same time ensuring no harm is caused to non-target species and change is sustainable; completion dependent on appointment of Head of Natural Environment. | | | | | NYM DIR CONSERV | Sat-31-Mar-18 | | 60% | | |
| Reduction | 201/26 - Further develop ongoing monitoring process – 1. Agreement objectives 2. Wider/longer term habitat change 3. Landscape functionality for species | | | | | NYM DIR CONSERV | Sat-31-Mar-18 | | 50% | | |
| Reduction | 201/31 - Improve communication/promotion of habitat connectivity concepts and NPA's objectives/progress. Engage NPA staff/Members and the public and increase involvement. Much clearer process for assessing and monitoring performance | | | | | NYM DIR CONSERV | Sat-31-Mar-18 | | 50% | | |
| Reduction | 201/32 - Look for opportunities to deliver effectively on a large scale and think strategically, whilst maintaining a legally compliant and value for money approach - ongoing | | | | | NYM DIR CONSERV | Sat-31-Mar-18 | | 90% | | |
| Reduction | 201/34 - Consider and respond to external risks including changes to agri-environment support, impacts of Brexit, changes in land ownership, and pressure created by other targets (ongoing) | | | | | NYM DIR CONSERV | Sat-31-Mar-18 | | 60% | | |
| Phase 4 - Post Risk Reduction Assessment | | | | | | | | | | | |
| Probability | M | Objectives | M | Financial | L | Services | L | Reputation | L | Category | 4 |
| Phase 5 - Fallback Plan | | | | | | | | | | | |
| Fallback Plan | | | | | | | | | Action Manager | | |



Risk Register: November 2017 - detailed

| Phase 1 - Identification | | | | | | | | | | | |
|------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|---|-----------------------|-------------------|-------------------|-----------------------|-----------------|------------|
| Risk Number | 201/492 | Risk Title | 201/492 - Volunteer Strategy | | | | Risk Owner | NYM CEO | | Manager | NYM DIR PS |
| Description | Failure to deliver the Volunteer Strategy resulting in inability to support staff, maintain and enhance the delivery of services and outcomes including public health and engagement | | | | | Risk Group | | Risk Type | | | |
| Phase 2 - Current Assessment | | | | | | | | | | | |
| Current Control Measures | | | Well established and respected Volunteer service, Member commitment, strategy agreed, policies and procedures in place, volunteer liaison groups, budget agreed, volunteer reserve list, training for volunteers in place, Volunteer team in place; Code of Practice for volunteers; "my volunteer" volunteer management software implemented; training plan for staff and volunteers developed; | | | | | | | | |
| Probability | M | Objectives | H | Financial | M | Services | M | Reputation | M | Category | 2 |
| Phase 3 - Risk Reduction Actions | | | | | | | | | | | |
| | | | | | | Action Manager | Action by | Completed | % | | |
| Reduction | 201/221 - Implement "my volunteer" volunteer management software and establish use by volunteers and across all departments | | | | | NYM DIR PS | Sat-31-Mar-18 | Tue-31-Oct-17 | 100% | | |
| Reduction | 201/222 - Implement the 'One team' approach | | | | | NYM DIR PS | Tue-31-Mar-20 | | 50% | | |
| Reduction | 201/223 - Develop a training plan for staff and volunteers | | | | | NYM DIR PS | Fri-30-Jun-17 | Tue-31-Oct-17 | 100% | | |
| Reduction | 201/224 - Deliver the training plan for staff and volunteers (ongoing) | | | | | NYM DIR PS | Sat-31-Mar-18 | | 50% | | |
| Reduction | 201/225 - Develop role of and continue recruitment of Volunteer task leaders (ongoing) | | | | | NYM DIR PS | Sat-31-Mar-18 | | 40% | | |
| Reduction | 201/226 - Ensure all Associate Volunteer Groups are party to standard contractual arrangements (ongoing) | | | | | NYM DIR PS | Sat-31-Mar-18 | Tue-31-Oct-17 | 100% | | |
| Reduction | 201/227 - Keep insurance/health and safety policies and procedures for volunteering under review and continue to check staff are aware of the policies and procedures (ongoing) | | | | | NYM DIR PS | Sat-31-Mar-18 | | 80% | | |
| Reduction | 201/228 - Review and implement changes to volunteer recruitment mechanisms including website | | | | | NYM DIR PS | Sun-31-Dec-17 | | 80% | | |
| Reduction | 201/229 - Deliver volunteering elements of all projects (ongoing) | | | | | NYM DIR PS | Sat-31-Mar-18 | | 40% | | |
| Reduction | 201/230 - Monitor volunteer strategy activity and adapt strategy appropriately (ongoing) | | | | | NYM DIR PS | Sat-31-Mar-18 | | 50% | | |
| Phase 4 - Post Risk Reduction Assessment | | | | | | | | | | | |
| Probability | L | Objectives | L | Financial | L | Services | L | Reputation | L | Category | 5 |
| Phase 5 - Fallback Plan | | | | | | | | | | | |
| Fallback Plan | | | | | | | | | Action Manager | | |



Risk Register: November 2017 - detailed

| Phase 1 - Identification | | | | | | | | | | | |
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| Risk Number | 201/460 | Risk Title | 201/460 - Local Plan | | | | Risk Owner | NYM CEO | | Manager | NYM DoP |
| Description | 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. | | | | | Risk Group | Strategic | | Risk Type | | |
| Phase 2 - Current Assessment | | | | | | | | | | | |
| Current Control Measures | | | 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; suitable staff resources in place; Members agreement to update and understanding by members and staff that the timetable for production of the Local Plan must be adhered to; project timetable and resource plan in place; options for delivery of the Local Plan assessed; communication and engagement strategy for the Local Plan developed and implemented; | | | | | | | | |
| Probability | M | Objectives | H | Financial | M | Services | M | Reputation | H | Category | 2 |
| Phase 3 - Risk Reduction Actions | | | | | | | | | | | |
| | | | | | | Action Manager | Action by | Completed | % | | |
| Reduction | 201/233 - Continue to ensure adequate resources are in place for production of Local Plan (ongoing) | | | | | NYM DoP | Sat-31-Mar-18 | | 65% | | |
| Reduction | 201/234 - Develop and implement a communication and engagement strategy for the Local Plan | | | | | NYM DoP | Sat-31-Mar-18 | Mon-31-Jul-17 | 100% | | |
| Reduction | 201/279 - Manage the process of the Local Plan preparation (ongoing) | | | | | NYM DoP | Sat-31-Mar-18 | | 55% | | |
| Reduction | 201/1282 - Ensure integration of the Local Plan with the Management Plan refresh and the Business Plan | | | | | NYM DoP | Sat-31-Mar-18 | | 80% | | |
| Reduction | 201/1289 - Ensure effective liaison with key stakeholder organisations, business owners, residents and visitors | | | | | NYM DoP | Sat-31-Mar-18 | | 50% | | |
| Phase 4 - Post Risk Reduction Assessment | | | | | | | | | | | |
| Probability | L | Objectives | L | Financial | L | Services | L | Reputation | L | Category | 5 |
| Phase 5 - Fallback Plan | | | | | | | | | | | |
| | | | | | | | | | Action Manager | | |
| Fallback Plan | | | | | | | | | | | |



Risk Register: November 2017 - detailed

| Phase 1 - Identification | | | | | | | | | | | |
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| Risk Number | 201/203 | Risk Title | 201/203 - Health and Safety | | | Risk Owner | NYM CEO | Manager | NYM DIR CS | | |
| Description | 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. | | | | Risk Group | Health and Safety | Risk Type | | | | |
| Phase 2 - Current Assessment | | | | | | | | | | | |
| Current Control Measures | | Health and Safety policies; risk assessments; annual action plans; periodic reviews (internal and external); responsibility in job descriptions; training; guidance documents; regular managerial 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 extended in 2017/18 to provide additional support; routinely discussed at team meetings and Directors meetings; H&S Policies to ensure compliance with legislation reviewed including engaging an external specialist to review the framework periodically; external audit carried out 2017 on volunteer service health and safety processes; H&S performance assessed by Directors; All Departments have targets to carry out spot checks on staff, volunteers and contractors and Directors have individual spot check targets to support this; corporate H&S performance assessed using LGA matrix; scope of contracts/agreements with associate volunteer groups etc agreed; Health and Safety contract with NYCC; Health and Safety survey results analysed to develop a plan to address any issues raised; | | | | | | | | | |
| Probability | L | Objectives | L | Financial | M | Services | M | Reputation | H | Category | 3 |
| Phase 3 - Risk Reduction Actions | | | | | | | | | | | |
| | | | | | | Action Manager | Action by | Completed | % | | |
| Reduction | 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 | Sat-31-Mar-18 | Sun-30-Apr-17 | 100% | | |
| Reduction | 201/206 - Continue to monitor external developments in Health and Safety (ongoing) | | | | | NYM DIR CS | Sat-31-Mar-18 | | 60% | | |
| Reduction | 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 (ongoing) | | | | | NYM DIR CS | Sat-31-Mar-18 | | 60% | | |
| Reduction | 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 (ongoing) | | | | | NYM DIR CS | Sat-31-Mar-18 | | 60% | | |
| Reduction | 201/1305 - Provide information for the progress report to members quarterly to allow scrutiny of actions (ongoing) | | | | | NYM DIR CS | Sat-31-Mar-18 | | 50% | | |
| Reduction | 201/1306 - Implement agreed annual health & safety action plan for 2017/18 | | | | | NYM DIR CS | Sat-31-Mar-18 | | 50% | | |
| Reduction | 201/1312 - Analyse the results of the Health and Safety survey to develop a plan to address any issues raised | | | | | NYM DIR CS | Fri-30-Jun-17 | Mon-31-Jul-17 | 100% | | |
| Reduction | 201/1314 - Review the health and safety training programme to ensure full compliance and identify any gaps in provision for paid staff/volunteers | | | | | NYM DIR CS | Wed-31-Jan-18 | | 50% | | |
| Reduction | 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 | Sat-31-Mar-18 | | 50% | | |
| Phase 4 - Post Risk Reduction Assessment | | | | | | | | | | | |
| Probability | L | Objectives | L | Financial | M | Services | M | Reputation | H | Category | 3 |



Risk Register: November 2017 - detailed

| Phase 5 - Fallback Plan | | Action Manager |
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| Fallback Plan | | |



Risk Register: November 2017 - detailed

| Phase 1 - Identification | | | | | | | | | | | |
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| Risk Number | 201/491 | Risk Title | 201/491 - Minerals and Waste Development Framework | | | | Risk Owner | NYM CEO | | Manager | NYM DoP |
| Description | Failure to submit a Minerals and Waste Local Plan by end of March 2018 as the basis for development management decision-making resulting in risk of legal challenge through judicial review, and appeals resulting in financial and workload implications, adverse implications for the local economy and environment, risk of National Government passing on European fines | | | | | Risk Group | | | Risk Type | | |
| Phase 2 - Current Assessment | | | | | | | | | | | |
| Current Control Measures | | Joint Member working group; Performance monitoring; awareness of new developments; resource monitoring; briefing of Management team; memorandum of understanding to govern principles of joint working; preferred options consultation completed; peer review; consultation on draft submission plan completed; fracking section reviewed; | | | | | | | | | |
| Probability | L | Objectives | H | Financial | H | Services | M | Reputation | H | Category | 3 |
| Phase 3 - Risk Reduction Actions | | | | | | | | | | | |
| | | | | | | Action Manager | Action by | Completed | % | | |
| Reduction | 201/195 - Work closely with North Yorkshire County Council and City of York Council on joint Minerals and Waste Development Strategy | | | | | NYM DoP | Sat-31-Mar-18 | | 85% | | |
| Reduction | 201/196 - Continue to review progress against LDF milestones, review and update milestones as necessary, particularly in light of Duty to Co-operate | | | | | NYM DoP | Sat-31-Mar-18 | | 85% | | |
| Reduction | 201/199 - Continue to monitor new developments eg fracking, using planning officers society and peer groups effectively | | | | | NYM DoP | Sat-31-Mar-18 | | 50% | | |
| Reduction | 201/201 - Ensure access to high level legal input for review requirements | | | | | NYM DoP | Sat-31-Mar-18 | | 50% | | |
| Reduction | 201/202 - Continue to manage responses to public reactions in a timely and effective manner especially in relation to a high profile examination in public | | | | | NYM DoP | Sat-31-Mar-18 | | 0% | | |
| Phase 4 - Post Risk Reduction Assessment | | | | | | | | | | | |
| Probability | L | Objectives | M | Financial | H | Services | L | Reputation | H | Category | 3 |
| Phase 5 - Fallback Plan | | | | | | | | | | | |
| | | | | | | | | | Action Manager | | |
| Fallback Plan | | | | | | | | | | | |



Risk Register: November 2017 - detailed

| Phase 1 - Identification | | | | | | | | | | | |
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| Risk Number | 201/495 | Risk Title | 201/495 - Fraud and Corruption | | | | Risk Owner | NYM CEO | | Manager | NYM DIR CS |
| Description | Failure to detect and act upon fraudulent or corrupt activity resulting in financial loss to the authority. | | | | | Risk Group | Finance | | Risk Type | | |
| Phase 2 - Current Assessment | | | | | | | | | | | |
| Current Control Measures | | | Financial Regulations, internal control checks for procurement, grants, income and expenses, effective separation of duties for Finance staff, Ethical Code, Staff and Member Codes of Conduct, Audit (Internal and External), Whistleblowing Policy and external Officer, organisational culture through our corporate values and continued external scrutiny of day to day financial systems via the collaboration agreement with NYCC ; anti virus software is regularly updated, electronic payment channels consistent with Payment Card Industry Standards; all systems backed up and disaster recovery arrangements tested; annual Audit Plan to ensure that systems are tested; Map compliance with the latest CIPFA Code and guidance; | | | | | | | | |
| Probability | L | Objectives | L | Financial | M | Services | L | Reputation | H | Category | 3 |
| Phase 3 - Risk Reduction Actions | | | | | | | | | | | |
| | | | | | | | Action Manager | Action by | Completed | % | |
| Reduction | 201/1290 - Development of an annual Audit Plan to ensure that systems are tested | | | | | | NYM DIR CS | Thu-31-Aug-17 | Mon-31-Jul-17 | 100% | |
| Reduction | 201/1291 - Implement recommendations of agreed action plan as a result of annual Audit Plan work | | | | | | NYM DIR CS | Sat-31-Mar-18 | | 0% | |
| Reduction | 201/1292 - Development of a Fraud Strategy to identify linkage with existing policies and practice. Make recommendations and report back to FRASC | | | | | | NYM DIR CS | Wed-31-Jan-18 | | 0% | |
| Reduction | 201/1295 - The continuation of the use of independent outside investigators to work on counter fraud activity | | | | | | NYM DIR CS | Sat-31-Mar-18 | | 0% | |
| Reduction | 201/1304 - Map compliance with the latest CIPFA Code and guidance and draw up an action plan | | | | | | NYM DIR CS | Fri-30-Jun-17 | Fri-30-Jun-17 | 100% | |
| Phase 4 - Post Risk Reduction Assessment | | | | | | | | | | | |
| Probability | L | Objectives | M | Financial | L | Services | M | Reputation | H | Category | 3 |
| Phase 5 - Fallback Plan | | | | | | | | | | | |
| Fallback Plan | | | | | | | | | Action Manager | | |



Risk Register: November 2017 - detailed

| Phase 1 - Identification | | | | | | | | | | | |
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| Risk Number | 201/489 | Risk Title | 201/489 - Profile of the Park (Business Plan Strategic Priority) | | | | Risk Owner | NYM CEO | | Manager | NYM DIR PS |
| Description | Failure to raise the profile of the National Park by promoting tourism, sustaining and improving tourism activity, and conveying NPA messages, including inability to secure necessary resources resulting in loss of opportunity to raise awareness and deliver our Second Purpose and Duty | | | | Risk Group | Second Purpose | | Risk Type | | | |
| Phase 2 - Current Assessment | | | | | | | | | | | |
| Current Control Measures | | Failure to raise the profile of the National Park by promoting tourism, sustaining and improving tourism activity, and conveying NPA messages, including inability to secure necessary resources resulting in loss of opportunity to raise awareness and deliver our Second Purpose and Duty, CCF Funding secured, | | | | | | | | | |
| Probability | L | Objectives | H | Financial | L | Services | L | Reputation | M | Category | 3 |
| Phase 3 - Risk Reduction Actions | | | | | | | | | | | |
| | | | | | | Action Manager | Action by | Completed | % | | |
| Reduction | 201/27 - Continue to focus on influencing Welcome to Yorkshire and other Partners (Visit England, Scarborough BC, Visit Britain, NYM Tourism Network, LEP) to promote NPs effectively (ongoing) | | | | | NYM CEO NYM DIR PS | Sat-31-Mar-18 | | 60% | | |
| Reduction | 201/28 - Continue to develop status of NP in promotional media (ongoing) | | | | | NYM DIR PS | Sat-31-Mar-18 | | 60% | | |
| Reduction | 201/29 - Continue to develop work on North York Moors brand and ensure consistency (ongoing) | | | | | NYM DIR PS | Sat-31-Mar-18 | | 60% | | |
| Reduction | 201/30 - Continue search for opportunities for positive National Media coverage (ongoing) | | | | | NYM DIR PS | Sat-31-Mar-18 | | 60% | | |
| Reduction | 201/33 - Work to influence appropriate agencies and potential funders to improve road signage and boundary signs for the NP as a destination | | | | | NYM DIR PS | Sat-31-Mar-18 | | 70% | | |
| Reduction | 201/197 - Implement Events Plan (annually) | | | | | NYM DIR PS | Sat-31-Mar-18 | | 90% | | |
| Reduction | 201/198 - Develop and implement the Communications Strategy (postponed to 18/19) | | | | | NYM DIR PS | Sat-31-Mar-18 | | 0% | | |
| Reduction | 201/200 - Deliver the Destination Moors and Dales Project and strengthen the role of NYM Destination Partnership | | | | | NYM DIR PS | Sun-31-Mar-19 | | 60% | | |
| Reduction | 201/216 - Secure round 4 of CCF Funding | | | | | NYM DIR PS | Fri-30-Jun-17 | Mon-31-Jul-17 | 100% | | |
| Reduction | 201/218 - Deliver tourism and local distinctiveness grant scheme (annually) | | | | | NYM DIR PS | Sat-31-Mar-18 | | 50% | | |
| Reduction | 201/219 - Continue to update and improve website | | | | | NYM DIR PS | Sat-31-Mar-18 | | 60% | | |
| Reduction | 201/231 - Deliver / develop recreational and tourism elements of TELOI and RyeVitalise (annually) | | | | | NYM DIR PS | Sat-31-Mar-18 | | 60% | | |
| Reduction | 201/232 - Ensure future major projects include consideration of promotion if applicable | | | | | NYM DIR PS | Sat-31-Mar-18 | | 0% | | |



Risk Register: November 2017 - detailed

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



Risk Register: November 2017 - detailed

| Phase 1 - Identification | | | | | | | | | | | |
|------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|---|--------------------------|---------------|---------------|-----------|----------|------------|
| Risk Number | 201/158 | Risk Title | 201/158 - Financial Strategy | | | | Risk Owner | NYM CEO | | Manager | NYM DIR CS |
| Description | Failure to implement the Medium Term Financial Strategy in the Business Plan. Failure to continue to develop and implement the Income generation strategy and property strategy. Such failures may result in limiting the ability to deliver Purposes. | | | | | Risk Group | Finance | | Risk Type | | |
| Phase 2 - Current Assessment | | | | | | | | | | | |
| Current Control Measures | | | 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; Financial Settlement from Defra received January 2016 to 2020; MTFs in place in refreshed Business Plan 2017-2020; NY Moors Trust established; Financial Framework developed to enable appropriate decision taking; Grants to third parties and future budget splits agreed; | | | | | | | | |
| Probability | L | Objectives | M | Financial | M | Services | M | Reputation | M | Category | 5 |
| Phase 3 - Risk Reduction Actions | | | | | | | | | | | |
| | | | | | | Action Manager | Action by | Completed | % | | |
| Reduction | 201/19 - Manage expectations of Stakeholders (agencies, public, staff, volunteers etc) and ensure that additional resources are allocated in a clear and transparent way | | | | | All Mgt Board | Sat-31-Mar-18 | | 60% | | |
| Reduction | 201/20 - Continue to monitor performance of the income generating services against monetary expectations | | | | | All Directors | Sat-31-Mar-18 | | 60% | | |
| Reduction | 201/22 - Continue to link service delivery to performance and resources to ensure value for money and monitor outcomes | | | | | All Members / Mgt Board | Sat-31-Mar-18 | | 60% | | |
| Reduction | 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 including Feasibility Study at SB - Key action | | | | | All Directors NYM CEO | Sat-31-Mar-18 | | 50% | | |
| Reduction | 201/1283 - Implement Trust to bring new resources into the North York Moors | | | | | All Directors NYM CEO | Sat-31-Mar-18 | | 60% | | |
| Reduction | 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 | Sat-31-Mar-18 | | 50% | | |
| Reduction | 201/1288 - External funding initiatives and Corporate Sponsorship with NPE, NPUK and other NPAs | | | | | All Directors NYM CEO | Sat-31-Mar-18 | | 50% | | |
| Reduction | 201/1293 - Develop a plan for refurbishment and maintenance work of Old Vicarage & Beaconsfield Premises | | | | | NYM DIR CS | Wed-31-Jan-18 | | 40% | | |
| Reduction | 201/1294 - Grants to third parties – undertake process and rates review | | | | | NYM DIR CONSERV | Sat-31-Mar-18 | | 0% | | |
| Reduction | 201/1313 - Grants to third parties – agree future budget splits | | | | | NYM DIR CS | Sun-30-Apr-17 | Tue-28-Feb-17 | 100% | | |
| Phase 4 - Post Risk Reduction Assessment | | | | | | | | | | | |
| Probability | L | Objectives | L | Financial | M | Services | M | Reputation | L | Category | 5 |



Risk Register: November 2017 - detailed

| Phase 5 - Fallback Plan | | Action Manager |
|-------------------------|--|----------------|
| Fallback Plan | | |



Risk Register: November 2017 - summary

| 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 |
| ◀▶ | 201/464 - Sirius Minerals Polyhalite Mine - Implementation | Failure to deliver the terms of the Section 106 agreement and effectively manage the planning implementation aspects of the development resulting in adverse national / international publicity and harm to the National Park and local residents. The authority:- a) fails to meet its obligations as a Planning Authority in discharging Planning Conditions; b) is unable to deliver the mitigating and compensatory elements of the Section 106 and this therefore causes harm to the Park; c) fails to plan sufficiently so that overall scale of dealing with the implementation of the development significantly disrupts the functioning of the rest of the organisation | NYM CEO | Mgt Team | H | H | H | H | H | 1 | 7 | 31/12/2017 | M | M | H | M | H | 2 |
| ◀▶ | 201/490 - Young People (Business Plan Strategic Priority) | Failure to deliver targets relating to inspiring young people to understand and experience the North York Moors and be actively involved in its future | NYM CEO | NYM DIR PS | H | H | L | L | M | 1 | 12 | 31/01/2018 | L | L | L | L | L | 5 |
| ◀▶ | 201/488 - Wildlife Corridors (Business Plan Strategic Priority) | Failure to establish wildlife corridors in the National Park resulting in inability for animals and plants to move around the landscape and flourish. | NYM CEO | NYM DIR CONSERV | M | H | M | M | M | 2 | 7 | 31/01/2018 | M | M | L | L | L | 4 |
| ◀▶ | 201/492 - Volunteer Strategy | Failure to deliver the Volunteer Strategy resulting in inability to support staff, maintain and enhance the delivery of services and outcomes including public health and engagement | NYM CEO | NYM DIR PS | M | H | M | M | M | 2 | 10 | 31/12/2017 | L | L | L | L | L | 5 |
| ◀▶ | 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. | NYM CEO | NYM DoP | M | H | M | M | H | 2 | 5 | 31/03/2018 | 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 | L | L | M | M | H | 3 | 9 | 31/01/2018 | L | L | M | M | H | 3 |



Risk Register: November 2017 - summary

| 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 |
| ◀▶ | 201/491 - Minerals and Waste Development Framework | Failure to submit a Minerals and Waste Local Plan by end of March 2018 as the basis for development management decision-making resulting in risk of legal challenge through judicial review, and appeals resulting in financial and workload implications, adverse implications for the local economy and environment, risk of National Government passing on European fines | NYM CEO | NYM DoP | L | H | H | M | H | 3 | 5 | 31/03/2018 | L | M | H | L | H | 3 |
| ◀▶ | 201/495 - Fraud and Corruption | Failure to detect and act upon fraudulent or corrupt activity resulting in financial loss to the authority. | NYM CEO | NYM DIR CS | L | L | M | L | H | 3 | 5 | 31/01/2018 | L | M | L | M | H | 3 |
| ◀▶ | 201/489 - Profile of the Park (Business Plan Strategic Priority) | Failure to raise the profile of the National Park by promoting tourism, sustaining and improving tourism activity, and conveying NPA messages, including inability to secure necessary resources resulting in loss of opportunity to raise awareness and deliver our Second Purpose and Duty | NYM CEO | NYM DIR PS | L | H | L | L | M | 3 | 13 | 31/03/2018 | L | M | L | L | L | 5 |
| ◀▶ | 201/158 - Financial Strategy | Failure to implement the Medium Term Financial Strategy in the Business Plan. Failure to continue to develop and implement the Income generation strategy and property strategy. Such failures may result in limiting the ability to deliver Purposes. | NYM CEO | NYM DIR CS | L | M | M | M | M | 5 | 10 | 31/01/2018 | L | L | M | 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 |

