

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

3 September 2018

### Corporate Risk Register 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. It was then subsequently approved by Members at the March National Park Authority meeting.

- 2.2 The main changes to the CRR for 18/19 were as follows;

- Local Plan/Minerals and Waste Plan risks combined;
- Mineral Development Pressure on the Park – added
- Core Capacity - added

- 2.3 The overall assessment of risk has been 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, reserves, current DEFRA Grant and external funding.

- 2.4 The purpose of this report is to identify any variances (positive or negative) from the plan which may impact on the overall Risk Category and to provide a commentary on the highest level risks.

#### 3. Corporate Risk Register Update

- 3.1 The CRR for 2018/19 attached as **Appendix 1** includes details of a series of actions to be taken to reduce the risk levels. The Register has been updated to indicate this progress.

- 3.2 The Fraud and Corruption and Financial Strategy risks have been reviewed by the Head of Finance as promised and updated versions have been included in the Appendix.

- 3.2 The progress made on managing the Category 1 and 2 risks is as follows;

**Core Capacity** – this continues to be a significant issue. The long term sickness absence of one of the Directors has exacerbated the problems caused by a lack of managerial capacity. Officers and members are, however, clearer regarding the impact that increasing external funding has on core financial and staff resources. Some steps have been taken to limit new initiatives and remained focused on achieving previously agreed Business Plan targets/timescales.

National Park UK operations on a national level are, with some exceptions e.g. work on tourism, proving to be time consuming for senior staff without immediate tangible gains.

**Wildlife Corridors** - The deployment of the Authority's land management advisers to assist the Ryevitalise project team in securing the Conservation agreements has had an impact on the achievement of business plan targets this year, but has improved the prospect of bigger gains in future years. Much of the connectivity work programmes for the year has been postponed as the negotiation of conservation agreements which are essential for stage two submission have taken all of the land management team resource since January. The development of the Ryevitalise Landscape Partnership project has highlighted the potential to make significant progress on wildlife corridor work albeit in one specific area of the National Park. Whatever the outcome of the Ryevitalise bid to HLF, this effort won't be wasted as a number of creative and imaginative schemes have been created that could be followed up as part of our future core work.

**Minerals and Waste Plan/Minerals Development Pressure** – the main area for concern in managing these risks is the likely delay and consequential cost increase implications to the adoption of the Joint Minerals and Waste Plan. This could leave the Authority vulnerable to receiving applications without an up to date and detailed plan on which to base its decisions in addition to the financial cost of the process of adopting a plan continuing. The delay in the Examination in Public (EIP) has been caused by a number of recent central policy developments on Shale Gas including a Written Ministerial Statement and Select Committee Report. The EIP is expected to be recalled for further consideration of these matters in September and final adoption is now likely to be early in 2019.

3.3 Members' views on the CRR are very 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 2018/19 and agree any changes to the overall scores they believe are needed.

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#### **Background documents to this report**

#### **File Ref.**

1. FRASC Paper May 2018
2. NPA Paper March 2018

Risk Register: September 2018 update - detailed

Phase 1 - Identification											
Risk Number	201/527	Risk Title	201/527 - Core Capacity				Risk Owner	NYM CEO		Manager	NYM Mgt Team
Description	A lack of capacity and skills within the 'core' parts of the Authority to support the ambitious externally funded work programme and Business Plan aspirations. This results in the potential not to effectively and efficiently plan/work smarter and further Park purposes and reduce service quality and impact on the health and wellbeing of staff. The call on reserves for match funding is significant and there is not sufficient money available for all projects. While overall funding is higher than it has ever been, spending on core functions remains lower than 2010 levels. Core staff across a range of functions are stretched beyond full capacity delivering their core functions and supporting project delivery					Risk Group		Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Business Plan to 2020 is very clear about the Authority's priorities; some resilience and capacity in key areas such as finance and health and safety which is managed via external agreements. Use of reserves for matched funding is carefully planned, prioritised and regularly reported to Members. There is a developing understanding of the impact our changing budget is having on core areas of work; Some management of workload through the appraisal scheme.								
Probability	H	Objectives	H	Financial	M	Services	H	Reputation	M	Category	1
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed	%	
Reduction	201/1392 - Review the process and criteria for new initiatives including intervention rates (particularly through external funding) to ensure adequate core services are available (ongoing)						NYM Members NYM Mgt Team	Sun-31-Mar-19		25%	
Reduction	201/1734 - Ensure understanding of resource gaps and ability to fill those gaps and encourage and support teams to carry out cross team working						NYM Members NYM Mgt Team	Sun-31-Mar-19		20%	
Reduction	201/1735 - Perform an analysis of current workforce to include succession planning and recruitment based on future strategic requirements and use to inform strategic workforce development plan						NYM Mgt Team	Sun-31-Mar-19		5%	
Reduction	201/1736 - Members and senior officers to ensure that the focus of work is on delivering previously agreed BP targets (ongoing)						NYM Members NYM Mgt Team	Sun-31-Mar-19		35%	
Reduction	201/1745 - Continue to articulate the message to all staff and Members about the complexity and 'contradictions' in our budget so these are clearly understood						All Directors	Sun-31-Mar-19		40%	
Reduction	201/1746 - Accurately establish the financial collaboration agreement to ensure that information, particularly in relation to the use of reserves is timely, clear and understood by all involved						NYM CEO	Sun-30-Sep-18		40%	
Phase 4 - Post Risk Reduction Assessment											
Probability	H	Objectives	H	Financial	M	Services	H	Reputation	M	Category	1
Phase 5 - Fallback Plan											
Fallback Plan										Action Manager	



Risk Register: September 2018 update - detailed

Phase 1 - Identification											
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	H	Objectives	H	Financial	M	Services	M	Reputation	M	Category	1
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	201/23 - Complete a Forward Delivery Plan to deliver Business Plan targets					NYM DIR CONSERV NYM Head of Natural Environment	Sat-31-Mar-18		80%		
Reduction	201/24 - Discuss and agree individuals' delivery plans for the next year					NYM DIR CONSERV NYM Head of Natural Environment	Sun-31-Mar-19		80%		
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					NYM DIR CONSERV NYM Head of Natural Environment	Sat-31-Mar-18		60%		
Reduction	201/26 - Review delivery plan progress and budgets on a monthly basis					NYM DIR CONSERV NYM Head of Natural Environment	Sun-31-Mar-19		30%		
Reduction	201/31 - Improve communication/promotion of habitat connectivity concepts and NPA's objectives/progress with NPA staff/Members, farmers and land owners to explain the benefits and encourage a proactive approach					NYM DIR CONSERV	Sun-31-Mar-19		0%		
Reduction	201/32 - Continue to 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 NYM Head of Natural Environment	Sun-31-Mar-19		10%		
Reduction	201/34 - Agree and implement a service continuity plan for absence of key people					NYM DIR CONSERV NYM Head of Natural Environment	Sun-31-Mar-19		50%		
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	H	Financial	M	Services	L	Reputation	L	Category	2
Phase 5 - Fallback Plan											
Fallback Plan									Action Manager		



Risk Register: September 2018 update - detailed

Phase 1 - Identification											
Risk Number	201/493	Risk Title	201/493 - Minerals Development Pressure on the Park				Risk Owner	NYM CEO	Manager	NYM DoP	
Description	Lack of capacity and resources both within the Authority and partner organisations to deal with the complex issues relating to the actual/potential extraction of minerals (conventional and shale gas and potash) resulting in inability to effectively assess the environmental impact with the socio economic benefits, negative impact on other Authority work, reputational damage both locally and nationally, legal action, negative financial impact, knock on effects to other work as resources transferred					Risk Group	First and Second Purpose & Statutory Duty	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures		Professional advice where appropriate, engagement with Partner and other involved bodies, recovery of an element of costs through appropriate mechanisms such as Planning Performance Agreement, Legal and Environmental advisors in place, public meetings held when appropriate, regular advice and reporting to Members, dialogue with Govt and local MPs where appropriate, impact assessment on National Park Purposes and possible mitigation measures carried out, public relations activity, financial planning where appropriate, continued commitment to impartiality and objectivity in the determination process; firm "corporate Authority" approach to Fracking in or under the National Park;									
Probability	M	Objectives	H	Financial	H	Services	M	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
	Reduction	Action Manager	Action by	Completed	%						
	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-Mar-19		40%						
	201/196 - Proactively manage media interest and effectively communicate the National Park's position	NYM DoP	Sun-31-Mar-19		40%						
	201/199 - Continue to monitor new developments eg fracking, using planning officers society and peer groups effectively	NYM DoP	Sun-31-Mar-19		40%						
	201/201 - Proactive liaison and negotiation with mineral companies wishing to extract in the National Park	NYM DoP	Sun-31-Mar-19		40%						
	201/863 - Ongoing communications re progress to all stakeholders	NYM DoP	Sun-31-Mar-19		40%						
	201/864 - Appoint consultancy assistance to provide professional and technical advice where necessary	NYM CEO NYM DoP	Sat-30-Jun-18		0%						
	201/866 - Monitoring compliance with planning permissions and S 106 agreements where applicable (ongoing)	NYM DoP	Sun-31-Mar-19		40%						
	201/867 - Monitor performance of specialist professional support and ensure appropriate measures are in place to maintain continuity of expertise	NYM DoP	Sun-31-Mar-19		0%						
	201/868 - Plan for and seek resources to ensure ability to manage the planning application process and delivery of our Purposes	NYM DoP	Sun-31-Mar-19		0%						
	201/950 - Adopt a Joint Minerals and Waste Plan	NYM DoP	Wed-31-Oct-18		90%						
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	M	Services	L	Reputation	H	Category	2
Phase 5 - Fallback Plan											
Fallback Plan										Action Manager	



Risk Register: September 2018 update - detailed

Phase 1 - Identification											
<b>Risk Number</b>	201/460	<b>Risk Title</b>	201/460 - Local Plan including Minerals and Waste Development Framework				<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 and Minerals and Waste Joint Plan) within a reasonable timescale (LP Jun 2019 and MWP Oct 2018) 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>	Strategic		<b>Risk Type</b>		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			<p><b>Local Plan:</b> 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; Draft Preferred Options Local Plan published for consultation</p> <p><b>Minerals and Waste:</b> 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; final public consultation undertaken (Nov 17); publication plan submitted to PINS and EIP carried out in Feb-April 2018. Further consideration of national policy changes on Shale Gas with EIP recalled in September 2018, Adoption expected March 2019;</p>								
<b>Probability</b>	M	<b>Objectives</b>	H	<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>	201/195 - Work closely with North Yorkshire County Council and City of York Council on joint Minerals and Waste Development Strategy (Min and Waste)					NYM DoP	Wed-31-Oct-18		90%		
<b>Reduction</b>	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 (Min and Waste)					NYM DoP	Mon-30-Apr-18		90%		
<b>Reduction</b>	201/233 - Continue to ensure adequate resources are in place for production of Local Plan (ongoing)					NYM DoP	Sun-31-Mar-19		60%		
<b>Reduction</b>	201/279 - Manage the process of the Local Plan preparation (ongoing)					NYM DoP	Sun-31-Mar-19		60%		
<b>Reduction</b>	201/1282 - Ensure integration of the Local Plan with the Management Plan refresh and the Business Plan					NYM DoP	Sun-31-Mar-19		90%		
<b>Reduction</b>	201/1289 - Ensure effective liaison with key stakeholder organisations, business owners, residents and visitors (Local Plan)					NYM DoP	Sun-31-Mar-19		60%		
<b>Reduction</b>	201/1740 - Ensure adequate informal public consultation takes place to inform draft Local Plan (Local Plan)					NYM DoP	Sat-31-Mar-18		100%		
<b>Reduction</b>	201/1741 - Ensure Preferred Options Draft Plan is published for consultation (Local Plan)					NYM DoP	Sat-30-Aug-18		100%		
<b>Reduction</b>	201/1742 - Ensure Publication Plan is submitted to PINS (Local Plan)					NYM DoP	Wed-31-Oct-18		0%		
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	M	<b>Objectives</b>	L	<b>Financial</b>	M	<b>Services</b>	L	<b>Reputation</b>	M	<b>Category</b>	4
Phase 5 - Fallback Plan											
<b>Fallback</b>										<b>Action Manager</b>	



Risk Register: September 2018 update - detailed

Plan		
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Risk Register: September 2018 update - detailed

Phase 1 - Identification											
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 and manage the potential negative impact of major developments 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		Staff recruited to deliver core and project work: external funding secured and s 106 agreement; good working relationships with tourism and local businesses; good working relationships with many key partners; good understanding of the industry; strong website and social media presence; success in local and national media;									
Probability	M	Objectives	H	Financial	M	Services	M	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	201/18	Deliver tourism elements of S106 agreement for Sirius Minerals (ongoing)				NYM DIR PP	Sun-31-Mar-19		50%		
Reduction	201/21	Deliver NYMNPA elements of 3 Discover England Fund projects and contribute to overall project delivery				NYM DIR PS	Sun-31-Mar-19		50%		
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	Sun-31-Mar-19		50%		
Reduction	201/28	Continue to develop status of NP in promotional media (ongoing)				NYM DIR PS	Sun-31-Mar-19		50%		
Reduction	201/29	Continue to develop work on North York Moors brand and ensure consistency (ongoing)				NYM DIR PS	Sun-31-Mar-19		30%		
Reduction	201/30	Continue search for opportunities for positive National Media coverage (ongoing)				NYM DIR PS	Sun-31-Mar-19		50%		
Reduction	201/33	Deliver plans to improve road signage and boundary signs for the NP as a destination				NYM DIR PS	Wed-31-Mar-21		10%		
Reduction	201/197	Implement Events Plan (annually)				NYM DIR PS	Sun-31-Mar-19		50%		
Reduction	201/198	Develop and implement the Communications Strategy (postponed to 18/19)				NYM DIR PS	Sun-31-Mar-19		340%		
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		8075%		
Reduction	201/216	Deliver CCF project				NYM DIR PS	Sun-31-Mar-19		7540%		
Reduction	201/218	Deliver tourism and local distinctiveness grant scheme (annually)				NYM DIR PS	Sun-31-Mar-19		650%		
Reduction	201/219	Continue to update and improve website				NYM DIR PS	Sun-31-Mar-19		875%		
Reduction	201/231	Deliver / develop recreational and tourism elements of TELOI and RyeVitalise (annually)				NYM DIR PS	Sun-31-Mar-19		10%		





Risk Register: September 2018 update - **detailed**

<b>Reduction</b>	201/232 - Ensure future major projects include consideration of promotion if applicable (ongoing)					NYM DIR PS	Sun-31-Mar-19		0%		
<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>	M	<b>Category</b>	5
<b>Phase 5 - Fallback Plan</b>											
<b>Fallback Plan</b>									<b>Action Manager</b>		



Risk Register: September 2018 update - detailed

Phase 1 – Identification											
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 2018/19 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; 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 (ongoing)					NYM DIR CS	Sun-31-Mar-19		45%		
Reduction	201/206 - Continue to monitor external developments in Health and Safety (ongoing)					NYM DIR CS	Sun-31-Mar-19		45%		
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 NYM DIR PS	Sun-31-Mar-19		45%		
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	Sun-31-Mar-19		20%		
Reduction	201/1305 - Provide information for the progress report to members quarterly to allow scrutiny of actions (ongoing)					NYM DIR CS	Sun-31-Mar-19		45%		
Reduction	201/1306 - Implement agreed annual health & safety action plan for 2018/19					NYM DIR CS	Sun-31-Mar-19		35%		
Reduction	201/1312 - Deliver the actions resulting from analysis of the Volunteer Health and Safety survey					NYM DIR PS	Sun-30-Jun-19		75%		
Reduction	201/1314 - Establish ELMS as the source for basic health and safety training; and review the health and safety training programme to ensure full compliance and identify any gaps in provision for paid staff/volunteers					NYM DIR CS	Sun-30-Sep-18		20%		
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	Sun-31-Mar-19		25%		
Reduction	201/1743 - Assess the effectiveness of the new Lone Working Policy across a range of different staff/volunteer functions. Use SLA provider for this purpose.					NYM DIR CS NYM DIR PS	Mon-31-Dec-18		0%		
Reduction	201/1744 - Assess Corporate Health and Safety Performance using the LGA matrix and take actions as appropriate.					NYM DIR CS	Sun-30-Sep-18		0%		



Risk Register: September 2018 update - detailed

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



Risk Register: September 2018 update - detailed

Phase 1 - Identification											
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 including any subsequent permissions 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; good relationship and clarity with Third Parties regarding the s106 agreement;									
Probability	L	Objectives	H	Financial	H	Services	H	Reputation	H	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
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	Sun-31-Mar-19		90%		
Reduction	201/1737 - Set up arrangements for timely completion of annual and occasional legal agreements with both Sirius and with 3rd parties					NYM DIR PP	Mon-30-Apr-18		100%		
Reduction	201/1738 - Ongoing Implementation of action plan for delivery of all compensatory aspects of S106 Agreement (ongoing)					NYM DIR PP	Tue-30-Apr-19	Ongoing	50%		
Reduction	201/1739 - Ensure robust processes are followed and seek external advice where risk areas are identified in relation to major scheme changes (ongoing)					NYM DIR PP	Tue-30-Apr-19	Ongoing	50%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	H	Category	3
Phase 5 - Fallback Plan											
Fallback Plan										Action Manager	



Risk Register: September 2018 update - detailed

Phase 1 - Identification											
Risk Number	201/490	Risk Title	201/490 - Young People (Business Plan Strategic Priority) Consider deletion of this risk later in the year?			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	M	Objectives	M	Financial	L	Services	L	Reputation	M	Category	4
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	201/190 - Secure funding for further development of the Explorer Club scheme and implement					NYM DIR PS	Sun-31-Mar-19		510%		
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 - Continue to develop working relationships with key contacts in local authorities, relevant third sector organisations and youth groups					NYM DIR PS	Sun-31-Mar-19		85%		
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		60%		
Reduction	201/205 - Continue to deliver expanded targeted transport scheme					NYM DIR PS	Sun-31-Mar-19		50%		
Reduction	201/210 - Refresh Apprenticeship Scheme and implement proposals for Apprentice Ranger scheme					NYM DIR PS	Mon-31-Dec-18		875%		
Reduction	201/211 - Maximise benefits for young people in all major projects (ongoing)					NYM DIR PS	Sun-31-Mar-19		60%		
Reduction	201/212 - Continue to investigate and develop opportunities for working with the National Citizen Service					NYM DIR PS	Tue-31-Dec-19		80%		
Reduction	201/213 - Explore and develop opportunities for working with the David Ross Educational Trust					NYM DIR PS	Thu-31-Jan-19		50%		
Reduction	201/214 - Work with Public Health agencies to optimise health benefits arising from delivery of youth engagement activities (ongoing)					NYM DIR PS	Sun-31-Mar-19		540%		
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	Sun-31-Mar-19		20%		
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: September 2018 update - 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 Volunteering Team, Member commitment, strategy agreed, policies and procedures in place, volunteer liaison group, budget agreed, training for volunteers in place, Volunteer team in place; Code of Practice for volunteers; "My volunteering" volunteer management software implemented; training plan for staff and volunteers developed; refreshed volunteer recruitment mechanisms including website;									
Probability	M	Objectives	M	Financial	M	Services	M	Reputation	M	Category	4
Phase 3 - Risk Reduction Actions											
Reduction	Action Manager	Action by	Completed	%							
201/221 - Implement "My volunteering" volunteer management software and establish use by volunteers and across all departments (ongoing)	NYM DIR PS	Sun-31-Mar-19		760%							
201/222 - Implement and embed the 'One team' approach (ongoing)	NYM DIR PS	Tue-31-Mar-20		650%							
201/223 - Train all new starters (staff and volunteers) (ongoing)	NYM DIR PS	Sun-31-Mar-19		0%							
201/224 - Deliver the training plan for staff and volunteers (ongoing)	NYM DIR PS	Sun-31-Mar-19		975%							
201/225 - Develop role of and continue recruitment of Volunteer task leaders (ongoing)	NYM DIR PS	Sun-31-Mar-19		500%							
201/226 - Ensure all Associate Volunteer Groups are party to standard contractual arrangements (ongoing)	NYM DIR PS	Sun-31-Mar-19		500%							
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	Sun-31-Mar-19		0%							
201/229 - Deliver volunteering elements of all projects (ongoing)	NYM DIR PS	Sun-31-Mar-19		50%							
201/230 - Monitor volunteer strategy activity and adapt strategy appropriately (ongoing)	NYM DIR PS	Tue-31-Mar-20		50%							
201/1747 - Implement any actions arising from the Volunteer Health and Safety Survey	NYM DIR PS	Sun-31-Mar-19		7520%							
201/1748 - Deliver Youth Engagement programme	NYM DIR PS	Sun-31-Mar-19		540%							
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: September 2018 update - detailed

Phase 1 – Identification											
Risk Number	201/158	Risk Title	201/158 - Financial Strategy -			Risk Owner	NYM CEO		Manager	NYM HoF	
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	M	Objectives	M	Financial	M	Services	M	Reputation	M	Category	4
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 (ongoing)					All Mgt Board	Sun-31-Mar-19		60%		
Reduction	201/20 - Continue to monitor performance of the income generating services against monetary expectations (ongoing)					All Directors	Sun-31-Mar-19		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	Sun-31-Mar-19		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	Sun-31-Mar-19		50%		
Reduction	201/1283 - Support Trust (subject to NPA approval of resources)to bring new resources into the North York Moors					All Directors NYM CEO	Sun-31-Mar-19		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 (ongoing)					All Directors NYM CEO	Sun-31-Mar-19		50%		
Reduction	201/1288 - External funding initiatives and Corporate Sponsorship with NPE, NPUK and other NPAs (ongoing)					All Directors NYM CEO	Sun-31-Mar-19		50%		
Reduction	201/ <>- Continue to horizon scan to identify and quantify changes to assumptions which underpin the MTFS and annual budget (on-going)					NYM DIR CS	Sun-31-Mar-19		100%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	M	Services	M	Reputation	L	Category	5
Phase 5 - Fallback Plan											
Fallback Plan	Review and reduce discretionary spend items								Action Manager		



Risk Register: September 2018 update - detailed

Phase 1 – Identification											
<b>Risk Number</b>	201/495	<b>Risk Title</b>	201/495 - Fraud and Corruption –.			<b>Risk Owner</b>	NYM CEO		<b>Manager</b>	NYM HoF	
<b>Description</b>	Failure to detect and act upon fraudulent or corrupt activity resulting in financial loss to the authority.				<b>Risk Group</b>	Finance		<b>Risk Type</b>			
Phase 2 - Current Assessment											
<b>Current Control Measures</b>		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;									
<b>Probability</b>	L	<b>Objectives</b>	L	<b>Financial</b>	M	<b>Services</b>	L	<b>Reputation</b>	M	<b>Category</b>	5
Phase 3 - Risk Reduction Actions											
						<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>	<b>%</b>		
<b>Reduction</b>	201/1290 - Development of an annual Audit Plan to ensure that systems are tested					NYM DIR CS	-31-Aug-18		100%		
<b>Reduction</b>	201/1291 - Implement recommendations of agreed action plan as a result of annual Audit Plan work					NYM DIR CS	Sun-31-Mar-19		0%		
<b>Reduction</b>	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-19		0%		
<b>Reduction</b>	201/1295 - The continuation of the use of independent outside investigators to work on counter fraud activity (on-going)					NYM DIR CS	Sun-31-Mar-19		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>	None								<b>Action Manager</b>		

