

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

18 November 2019

### 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) and to agree any changes Members wish to make.

#### 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 19/20 were as follows;
- Risks relating to the Profile of the Park and Young People have been removed.
  - Fraud and Corruption risks have been incorporated within the Financial Strategy risk; and
  - The risk relating to Core Capacity has been widened in its scope and renamed Capacity and Skills.
- 2.3 The overall assessment of risk was considered on the basis of no further change in the financial risk thresholds (last increased in 2018) to take into account the Authority's improved, but increasingly complex, financial position with regard to earned income, reserves, current DEFRA Grant and external funding.

#### 3. Corporate Risk Register Update

- 3.1 The CRR for 2019/20 attached as **Appendix 1** includes details of a series of actions to be taken to reduce the risk levels and the progress made on these actions.
- 3.2 The progress made on managing the Category 1 and 2 risks is as follows;

**Capacity and Skills** – as reported at the last meeting, the actions being taken are having a beneficial effect. The review of administrative functions as reported to NPA on 30 September will help improve cross departmental working with a number of established processes being changed which will release a limited amount of productive capacity. A significant amount of recruitment has been completed and new staff have settled into their job roles. The steps being taken to limit new initiatives and concentrate on Departmental Action Plans are leading to previously agreed work programmes being completed. Continued effort will need to be put into managing the impact of major externally funded projects on 'core' staff, but improvements have been made in this area. The risk rating was reduced at the August meeting and Officers believe that this is fully justified, but do not wish to reduce it further at this stage.

**Wildlife Corridors** – A new departmental structure and focus on landscape scale projects has reprioritised this work and reduced the overall risk of non-achievement of objectives in this area. All key staff have now been recruited and work will commence over the winter to develop a programme of wildlife corridor work into the next Business Plan.

**Minerals and Waste Plan/Minerals Development Pressure** – delays to the progress of the Minerals and Waste Joint Plan were caused by the need for further consultation on the implications of the quashing of national policy supporting the benefits of shale gas as a transitional source of energy during a move to a low carbon economy. The Inspector has now confirmed that she is generally content with the precautionary approach taken in the Plan towards this issue and related impacts on the environment and local communities and it is expected that she will recommend shortly that formal public consultation takes place on modifications to the Plan. This is expected to enable adoption of the Plan around spring 2020. This, together with the continuing technical problems the Shale Gas industry is experiencing in relation to seismicity and the growing public opposition to the development of the industry generally, is likely to reduce the wider risks to the National Park and Authority from shale gas development.

- 3.3 Despite making several requests, Defra have not been able to give National Park Authorities any clarification regarding either the level of the 2020/21 settlement or the date when this will be confirmed. The budgeting process is therefore progressing on the basis of an increase in grant similar to those received in recent years.
- 3.4 Against the backdrop of continued political uncertainty in relation to Brexit, the Authority has now had the formal go ahead for the Environmental Land Management System (ELMS) test and trials development. This commenced on 1 October and DEFRA are funding a part-time officer to lead on this. As mentioned last time, until Brexit is resolved and the future arrangements for land management developed, this continues to be an area of considerable uncertainty for the National Park.
- 3.5 Members' views on the comments made within this report and Appendix are very welcome.

#### 4. **Financial Implications**

- 4.1 There are no financial implications resulting directly 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 2019/20 and agree any changes to the overall scores they believe are needed.

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

1. FRASC Paper August 2019
2. NPA Paper March 2019

#### **File Ref.**

Risk Register: November 2019 – detailed

Phase 1 - Identification											
<b>Risk Number</b>	201/488	<b>Risk Title</b>	201/488 - Wildlife Corridors (Business Plan Strategic Priority)				<b>Risk Owner</b>	NYM CEO		<b>Manager</b>	NYM DIR CONSERV
<b>Description</b>	Failure to meet the ambition for wildlife corridors in the National Park resulting in animals and plants being restricted to their current range.					<b>Risk Group</b>			<b>Risk Type</b>		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>		Delivery plans formulated and responsibility for delivery linked into annual appraisal system for individuals; 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 consultants; 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.									
<b>Probability</b>	H	<b>Objectives</b>	H	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	M	<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>	201/23 - Refresh a Forward Delivery Plan to deliver Business Plan targets					NYM DIR CONSERV NYM Ho Nat Env	Tue-31-Mar-20	Thu-31-Oct-19	100%		
<b>Reduction</b>	201/24 - Discuss and agree individuals' delivery plans for the next year; Plans agreed through appraisals and monitored closely					NYM DIR CONSERV NYM Ho Nat Env	Tue-31-Mar-20		60%		
<b>Reduction</b>	201/25 - Review rationales to make sure that they are 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 (ongoing)					NYM DIR CONSERV NYM Ho Nat Env	Tue-31-Mar-20		30%		
<b>Reduction</b>	201/26 - Review Departmental delivery plan progress and budgets on a monthly basis					NYM DIR CONSERV NYM Ho Nat Env	Tue-31-Mar-20		60%		
<b>Reduction</b>	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	Tue-31-Mar-20		60%		
<b>Reduction</b>	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 through Ryevitalise and early thoughts for s106; also discussions with National Trust regarding Bransdale opportunities to be continued					NYM DIR CONSERV NYM Ho Nat Env	Tue-31-Mar-20		60%		
<b>Reduction</b>	201/34 - Continue to review our approach and priority for this area following Brexit, Ryevitalise and the ELMS					NYM DIR CONSERV	Tue-31-Mar-20		60%		
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	M	<b>Objectives</b>	H	<b>Financial</b>	M	<b>Services</b>	L	<b>Reputation</b>	L	<b>Category</b>	2
Phase 5 - Fallback Plan											
<b>Fallback Plan</b>									<b>Action Manager</b>		

Risk Register: November 2019 – detailed

Phase 1 - Identification											
Risk Number	201/527	Risk Title	201/527 - Capacity and Skills				Risk Owner	NYM CEO		Manager	NYM Mgt Team
Description	A lack of capacity and skills (including decision making and prioritisation) within 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 National Park purposes, reducing 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 in 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 has been established (e.g. finance and health and safety which are 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; there is some active management of workload through the formal 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	Tue-31- Mar-20		60%		
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 (ongoing)					NYM Members NYM Mgt Team	Tue-31- Mar-20		60%		
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	Tue-31- Mar-20		60%		
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	Tue-31- Mar-20		75%		
Reduction	201/1745 - Continue to articulate the message to all staff and Members about the complexity and apparent 'contradictions' in our budget so these are clearly understood (ongoing)					NYM Mgt Team	Tue-31- Mar-20		60%		
Reduction	201/1746 - Continue to develop 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	Mon-30- Sep-19		100%		
Reduction	201/1879 - Establish the revised Senior Leadership Team to widen the decision making in the organisation and improve communication with teams, including better explanation of the role of external funding in relation to core funded posts (ongoing)					NYM Mgt Team	Tue-31- Mar-20		100%		
Reduction	201/1880 - Ensure that there is effective communication, liaison and integrated working between teams in different Departments (ongoing)					NYM Mgt Team	Tue-31- Mar-20		60%		
Reduction	201/1881 - Ensure that annual Departmental Action Plans focus teams and individuals on essential work relating to the Business Plan targets					NYM Mgt Team	Mon-1- Apr-19		100%		
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	H	Financial	M	Services	H	Reputation	M	Category	2

Risk Register: November 2019 – detailed

Phase 5 - Fallback Plan		Action Manager
Fallback Plan		

Risk Register: November 2019 – detailed

Phase 1 - Identification												
<b>Risk Number</b>	201/493	<b>Risk Title</b>	201/493 - Minerals Development Pressure on the Park					<b>Risk Owner</b>	NYM CEO		<b>Manager</b>	NYM DoP
<b>Description</b>	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, shale gas and potash) resulting in an inability to effectively assess the environmental impact with the socio economic benefits, negative impact on other Authority work; potential for reputational damage both locally and nationally, legal action, negative financial impact and knock on effects to other work as resources transferred						<b>Risk Group</b>	First and Second Purpose & Statutory Duty		<b>Risk Type</b>		
Phase 2 - Current Assessment												
<b>Current Control Measures</b>			Professional advice where appropriate, engagement with partner organisations 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;									
<b>Probability</b>	M	<b>Objectives</b>	H	<b>Financial</b>	H	<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>	201/13 - Continue to monitor costs and review adequacy of resources and keep a watch on planning workloads (ongoing)						NYM DIR CS NYM DoP	Tue-31- Mar-20		60%		
<b>Reduction</b>	201/196 - Proactively manage media interest and effectively communicate the National Park's position						NYM DoP	Tue-31- Mar-20		60%		
<b>Reduction</b>	201/199 - Continue to monitor new developments e.g. fracking, using planning officers society and peer groups effectively						NYM DoP	Tue-31- Mar-20		60%		
<b>Reduction</b>	201/201 - Proactive liaison and negotiation with mineral companies wishing to extract in the National Park						NYM DoP	Tue-31- Mar-20		25%		
<b>Reduction</b>	201/863 - Ongoing communications re progress to all stakeholders						NYM DoP	Tue-31- Mar-20		60%		
<b>Reduction</b>	201/864 - Appoint consultancy assistance to provide professional and technical advice where necessary						NYM CEO NYM DoP	Tue-31- Mar-20		50%		
<b>Reduction</b>	201/866 - Monitoring compliance with planning permissions and S 106 agreements where applicable (ongoing)						NYM DoP	Tue-31- Mar-20		60%		
<b>Reduction</b>	201/867 - Monitor performance of specialist professional support and ensure appropriate measures are in place to maintain continuity of expertise						NYM DoP	Tue-31- Mar-20		50%		
<b>Reduction</b>	201/868 - Plan for and seek resources to ensure ability to manage the planning application process and delivery of our Purposes						NYM DoP	Tue-31- Mar-20		100%		
<b>Reduction</b>	201/950 - Completion of a Joint Minerals and Waste Plan						NYM DoP	Sun-30- Jun-19		90%		
<b>Reduction</b>	201/1287 - Continue to assess the 'corporate Authority' approach in line with developing government policy and the requirements of a statutory planning Authority (on-going)						NYM DoP	Tue-31- Mar-20		60%		
Phase 4 - Post Risk Reduction Assessment												
<b>Probability</b>	M	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	L	<b>Reputation</b>	H	<b>Category</b>	2	

Risk Register: November 2019 – detailed

Phase 5 - Fallback Plan		Action Manager
Fallback Plan		

Risk Register: November 2019 – 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 with sufficient resilience. Failure to continue to develop and implement the Income generation strategy and property strategy. Failure to detect and act upon fraudulent or corrupt activity. Such failures may result in limiting the ability to deliver statutory purposes and financial loss to the Authority. Increasing external uncertainty may become a more significant factor over the next 12 months.					Risk Group	Finance	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Financial Strategy controls: High level of efficiency; low unit costs; restructure and refocus carried out recently; reserves reviewed for adequacy; established budget monitoring processes; engagement with Defra and other partners; focus on income generation and seeking opportunities to optimise income; more opportunistic in approach to external funding; effective day to day financial management; Financial Settlement from Defra received January 2016 to 2020; 4 year rolling MTFS in place in refreshed Business Plan 2017-2020; NYNP Charitable Trust established; Financial Framework developed to enable appropriate decision taking; Grants to third parties and future budget splits agreed; Fraud and Corruption controls: Financial Regulations, internal control checks for procurement, grants, income and expenses, effective separation of duties for Finance staff; well established Ethical Code, Staff and Member Codes of Conduct, regular audits (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; use of independent outside investigators to work on counter fraud activity;								
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	M	Category	2
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	Tue-31-Mar-20		60%	
Reduction	201/20 - Continue to monitor performance of the income generating services against monetary expectations (ongoing)						All Directors	Tue-31-Mar-20		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	Tue-31-Mar-20		60%	
Reduction	201/1281 - Complete assessment contributions of current assets to NPA objectives and the possibilities of income generation at NPA properties (enhanced income from car parks Mar 2019-22)						All Directors NYM CEO	Tue-31-Mar-20		35%	
Reduction	201/1283 - Provide support to the Trust to bring new resources into the North York Moors						All Directors NYM CEO	Tue-31-Mar-20		60%	
Reduction	201/1288 - External funding initiatives (ongoing)						All Directors NYM CEO	Tue-31-Mar-20		60%	
Reduction	201/1293 - Continue to horizon scan to identify and quantify changes to assumptions which underpin the MTFS and annual budget recognising the complexity and interdependencies (on-going)						NYM DIR CS	Tue-31-Mar-20		60%	
Reduction	201/1737 - Continue to implement recommendations from an agreed Counter Fraud action plan as a result of annual Audit Plan work.						NYM DIR CS	Tue-31-Mar-20		75%	
Reduction	201/1874 - Review outcome of LEP integration and funding opportunities including National Park review						NYM CEONYM CS EFONYM DIR CONSERV	Tue-31-Mar-20		25%	

Risk Register: **November 2019 – detailed**

<b>Reduction</b>	201/1875 - Secure further resources for the management of financial affairs via the collaboration agreement	NYM CEO NYM DIR CS	Sun-30-Jun-19	Sun-30-Jun-19	100%
<b>Reduction</b>	201/1876 - Develop and provide financial training to budget managers	NYM DIR CS	Mon-30-Sep-19		50%
<b>Phase 4 - Post Risk Reduction Assessment</b>					
<b>Probability</b>	M	<b>Objectives</b>	M	<b>Financial</b>	M
				<b>Services</b>	M
				<b>Reputation</b>	M
				<b>Category</b>	4
<b>Phase 5 - Fallback Plan</b>					
<b>Fallback Plan</b>	201/667 - Review and reduce discretionary spend items				<b>Action Manager</b>

Risk Register: November 2019 – detailed

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, visitors 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 Group; Health and Safety policies; risk assessments of all activities; annual corporate action plans; periodic reviews (internal and external); responsibility in job descriptions; training; policy and guidance documents; regular managerial monitoring; strengthened reporting processes and checks on compliance; Health and Safety champion and departmental reps on health and safety group which also includes a volunteer; external assessments; standard contract wordings with contractors; volunteers are briefed on H&S; Service Level Agreement with NYCC extended to provide additional expert 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; enhanced training for Managers; H&S performance assessed by Directors; All Departments have targets to carry out spot checks on staff, volunteers and contractors; Directors have individual spot check targets to support this; contracts/agreements with associate volunteer groups etc. agreed; Health and Safety survey results analysed to develop a plan to address any issues raised;									
<b>Probability</b>	L	<b>Objectives</b>	L	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	3
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 (ongoing)					<b>Action Manager</b>	NYM DIR CS	<b>Action by</b>	Tue-31-Mar-20	<b>Completed</b>	60%
<b>Reduction</b>	201/206 - Continue to monitor external developments in Health and Safety (ongoing)					<b>Action Manager</b>	NYM DIR CS	<b>Action by</b>	Tue-31-Mar-20	<b>Completed</b>	60%
<b>Reduction</b>	201/1296 - Ensure volunteers are fully integrated (also volunteer to become part of the H&S group) and continue to comply with H&S procedures and practices as the role of the volunteer is extended (ongoing)					<b>Action Manager</b>	NYM DIR CS NYM DIR PS	<b>Action by</b>	Tue-31-Mar-20	<b>Completed</b>	60%
<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 (ongoing)					<b>Action Manager</b>	NYM DIR CS	<b>Action by</b>	Tue-31-Mar-20	<b>Completed</b>	60%
<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>	Tue-31-Mar-20	<b>Completed</b>	60%
<b>Reduction</b>	201/1306 - Implement agreed annual health & safety action plan for 2019/20					<b>Action Manager</b>	NYM DIR CS	<b>Action by</b>	Tue-31-Mar-20	<b>Completed</b>	50%
<b>Reduction</b>	201/1314 - Review the health and safety training programme to ensure full compliance and identify any gaps in provision for paid staff/volunteers					<b>Action Manager</b>	NYM DIR CS	<b>Action by</b>	Sun-30-Jun-19	<b>Completed</b>	75%
<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)					<b>Action Manager</b>	NYM DIR CS NYM DIR PS	<b>Action by</b>	Tue-31-Mar-20	<b>Completed</b>	50%
<b>Reduction</b>	201/1741 - Ensure all relevant staff are aware of Construction Design Management Regs 2015 and how they apply to contractors, staff, volunteers and projects (ongoing)					<b>Action Manager</b>	NYM DIR CS	<b>Action by</b>	Tue-31-Mar-20	<b>Completed</b>	50%
<b>Reduction</b>	201/1743 - Continue to assess the effectiveness of the new Lone Working Policy across a range of different staff/volunteer functions. Use SLA provider for this purpose.					<b>Action Manager</b>	NYM DIR CS NYM DIR PS	<b>Action by</b>	Tue-31-Mar-20	<b>Completed</b>	25%
<b>Reduction</b>	201/1744 - Assess Corporate Health and Safety Performance using the LGA matrix and take actions as appropriate. (next assessment Oct 2020)					<b>Action Manager</b>	NYM DIR CS	<b>Action by</b>	Sat-31-Oct-20	<b>Completed</b>	0%
Phase 4 - Post Risk Reduction Assessment											

Risk Register: November 2019 – detailed

Probability	L	Objectives	L	Financial	M	Services	M	Reputation	H	Category	3
<b>Phase 5 - Fallback Plan</b>											
											Action Manager
Fallback Plan											

Risk Register: November 2019 – 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			Compensation/mitigation plan in place; Financial resources available; annually reviewed key contribution security and restoration bond in place; appropriate knowledge and expertise in place; close collaboration to ensure necessary resources are available to achieve alignment of project timetables; Community Forum in place; financial monitoring arrangements in place; strict separation of 106 Sirius monies from core resources marketing and tourism plans in place; good relationship and clarity with Third Parties regarding the s106 agreement; arrangements set up for timely completion of annual and occasional legal agreements with both Sirius and with 3rd parties; external audit of management of s106 monies;								
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 CONSERV	Tue-31-Mar-20		60%		
Reduction	201/1738 - Ongoing Implementation of action plan for delivery of all compensatory aspects of S106 Agreement (ongoing)					NYM DIR CONSERV	Thu-30-Apr-20		60%		
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 CONSERV	Thu-30-Apr-20		60%		
Reduction	201/1740 - Implementation of the findings of the Tourism Impact Review (ongoing)					NYM DIR CONSERV	Tue-31-Mar-20		60%		
Reduction	201/1871 - Recruit new project manager					NYM DIR CONSERV	Tue-30-Apr-19	Tue-30-Apr-19	100%		
Reduction	201/1872 - Further integration with Conservation team					NYM DIR CONSERV	Mon-30-Sep-19	Thu-31-Oct-19	100%		
Reduction	201/1873 - Work with major landowners to identify woodland creation sites (ongoing)					NYM DIR CONSERV	Tue-31-Mar-20		60%		
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: November 2019 – detailed

Phase 1 - Identification											
<b>Risk Number</b>	201/492	<b>Risk Title</b>	201/492 - Volunteer Strategy				<b>Risk Owner</b>	NYM CEO		<b>Manager</b>	NYM DIR CS
<b>Description</b>	Failure to fully deliver the ambitions of Volunteer Strategy resulting in inability to support staff, maintain and enhance the delivery of services and outcomes including public health and engagement					<b>Risk Group</b>			<b>Risk Type</b>		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			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;								
<b>Probability</b>	M	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	M	<b>Category</b>	4
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>	<b>%</b>	
<b>Reduction</b>	201/222 - Implement and embed the 'One team' approach including opportunities for staff and volunteers to work together (ongoing)						NYM DIR CS	Tue-31-Mar-20		60%	
<b>Reduction</b>	201/223 - Combine induction training for new paid staff and volunteers (June 2019 and then ongoing)						NYM DIR CS	Sun-30-Jun-19		100%	
<b>Reduction</b>	201/224 - Review and deliver training for line managers responsible for Volunteers (June and then ongoing)						NYM DIR CS	Tue-31-Mar-20		60%	
<b>Reduction</b>	201/225 - Develop role of and continue recruitment and training of Volunteer task leaders (ongoing)						NYM DIR CS	Tue-31-Mar-20		60%	
<b>Reduction</b>	201/226 - Ensure all Associate Volunteer Groups are party to standard contractual arrangements (checked every 6 months) (ongoing)						NYM DIR CS	Tue-31-Mar-20		60%	
<b>Reduction</b>	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 CS	Tue-31-Mar-20		60%	
<b>Reduction</b>	201/229 - Deliver volunteering elements of all projects (ongoing)						NYM DIR CS	Tue-31-Mar-20		60%	
<b>Reduction</b>	201/230 - Monitor volunteer strategy activity and adapt strategy appropriately (ongoing)						NYM DIR CS	Tue-31-Mar-20		60%	
<b>Reduction</b>	201/1747 - Develop an action plan and undertake agreed work arising from the Volunteer Survey						NYM DIR CS	Sun-30-Jun-19	Thu-31-Oct-19	100%	
<b>Reduction</b>	201/1748 - Understand the current and long term implications of the Volunteer Strategy (and full cost of a volunteer) on budgets						NYM DIR CS	Mon-30-Sep-19		100%	
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>		

Risk Register: November 2019 – detailed

Phase 1 - Identification											
Risk Number	201/460	Risk Title	201/460 - Local Plan including Minerals and Waste Development Framework				Risk Owner	NYM CEO	Manager	NYM DoP	
Description	Failure to achieve adoption of an up to date strategic planning document (Local Plan and Minerals and Waste Joint Plan) within a reasonable timescale (Jun 2019) resulting in challenges to planning decisions and gaps in policy causing difficulties in decision making, potential direct Government intervention and harm to National Park Purposes.					Risk Group	Strategic	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures		Local Plan: 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; Local Plan submission to PINS completed; Minerals and Waste: 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 held Feb-April 2018. Further consideration of national policy changes on Shale Gas with EIP recalled in September 2018 and January 2019, Successful legal challenge to national shale gas policy leading to further consultation on the Plan required, Adoption expected December 2019;									
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	M	Category	5
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 (Min and Waste)					NYM DoP	Sun-30-Jun-19		90%		
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 (Min and Waste)					NYM DoP	Sun-30-Jun-19		90%		
Reduction	201/233 - Continue to ensure adequate resources are in place for production of Local Plan (ongoing)					NYM DoP	Tue-31-Mar-20		100%		
Reduction	201/279 - Manage the process of the Local Plan preparation (ongoing)					NYM DoP	Tue-31-Mar-20		90%		
Reduction	201/1282 - Ensure integration of the Local Plan with the Management Plan refresh and the Business Plan					NYM DoP	Tue-31-Mar-20		90%		
Reduction	201/1289 - Ensure effective liaison with key stakeholder organisations, business owners, residents and visitors (Local Plan)					NYM DoP	Tue-31-Mar-20		90%		
Reduction	201/1742 - Ensure Publication Plan is submitted to PINS (Local Plan)					NYM DoP	Sun-31-May-20		100%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	M	Services	L	Reputation	M	Category	5
Phase 5 - Fallback Plan											
Fallback Plan									Action Manager		

Risk Register: November 2019 update – summary

Identity			Person		Classification													
Risk No	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
	<b>201/488 - Wildlife Corridors (Business Plan Strategic Priority)</b>	Failure to meet the ambition for wildlife corridors in the National Park resulting in animals and plants being restricted to their current range.	NYM CEO	NYM DIR CONSERV	H	H	M	M	M	1	7	31/03/2020	M	H	M	L	L	2
	<b>201/527 - Capacity and Skills</b>	A lack of capacity and skills (including decision making and prioritisation) within 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 National Park purposes, reducing 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 in delivering their core functions and supporting project delivery.	NYM CEO	NYM Mgt Team	H	H	M	H	M	1	9	1/04/2019	M	H	M	H	M	2
	<b>201/493 - Minerals Development Pressure on the Park</b>	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, shale gas and potash) resulting in an inability to effectively assess the environmental impact with the socio economic benefits, negative impact on other Authority work; potential for reputational damage both locally and nationally, legal action, negative financial impact and knock on effects to other work as resources transferred	NYM CEO	NYM DoP	M	H	H	M	H	2	11	30/06/2019	M	M	M	L	H	2
	<b>201/158 - Financial Strategy</b>	Failure to implement the Medium Term Financial Strategy with sufficient resilience. Failure to continue to develop and implement the Income generation strategy and property strategy. Failure to detect and act upon fraudulent or corrupt activity. Such failures may result in limiting the ability to deliver statutory purposes and financial loss to the Authority. Increasing external uncertainty may become a more significant factor over the next 12 months.	NYM CEO	NYM DIR CS	M	M	H	M	M	2	11	30/06/2019	M	M	M	M	M	4
	<b>201/203 - Health and Safety</b>	Failure to meet Health and Safety statutory requirements and ensure the appropriate culture is embedded in relation to staff, Members, volunteers, visitors 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	11	30/06/2019	L	L	M	M	H	3

Risk Register: November 2019 update – summary

Identity			Person		Classification													
Risk No	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
	<b>201/464 - Sirius Minerals Polyhalite Mine - Implementation</b>	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	NYM CEO	Mgt Team	L	H	H	H	H	3	7	30/04/2019	L	M	H	M	H	3
	<b>201/492 - Volunteer Strategy</b>	Failure to fully deliver the ambitions of 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 CS	M	M	M	M	M	4	10	30/06/2019	L	L	L	L	L	5
	<b>201/460 - Local Plan including Minerals and Waste Development Framework</b>	Failure to achieve adoption of an up to date strategic planning document (Local Plan and Minerals and Waste Joint Plan) within a reasonable timescale (Jun 2019) resulting in challenges to planning decisions and gaps in policy causing difficulties in decision making, potential direct Government intervention and harm to National Park Purposes.	NYM CEO	NYM DoP	L	M	M	M	M	5	7	30/06/2019	L	L	M	L	M	5

Key	
	Risk Ranking has worsened since last review.
	Risk Ranking has improved since last review
	Risk Ranking is same as last review
<b>- new -</b>	New or significantly altered risk