

North York Moors National Park Authority

21 February 2016

Risk Management Strategy Update

1. Purpose of the Report

- 1.1 To seek Members' approval for the Authority's Corporate Risk Register for 2016/17, subject to any amendments Members require.

2. Background

- 2.1 The Authority's Corporate Risk Register is a working document and is approved at the March Authority meeting each year. The process that was undertaken to develop it was facilitated by NYCC's Insurance and Risk Management Team. The scheme of delegation gives responsibility to review and approve the Risk Management Strategy and Corporate Risk Register to the Finance, Risk, Audit and Standards Committee (FRASC).
- 2.2 The risk register approved by Members includes a summary and a detailed document which includes a series of actions to be taken to reduce the risk levels.
- 2.3 Progress on the actions in the Strategic Risk Register is reported regularly to FRASC.
- 2.4 **Appendix 1** to the report is a draft of the proposed register for 2016/2017 for discussion by Members and approval subject to any agreed amendments. This has been prepared following discussion with NYCC Insurance and Risk Management Section and Directors. An early draft of this appendix was discussed at Finance, Risk, Audit and Standards Committee on 1 March 2016. The Objectives and thresholds remain unchanged from the 2015/16 register and will be reviewed following the preparation of the 2017-2020 Business Plan to ensure that these are aligned with revised priorities. Since the revised register has not yet been adopted the columns for actions completed have not yet been filled in.
- 2.5 Members will note that the Minerals Planning Risk which was included in the previous register has been removed from the Strategic Register following the completion of key actions and the absence of a challenge to the decision. Directors have again discussed this risk in detail and continue to feel that the risk should be monitored in the Planning Departmental Risk Register. Officers consider, however, that the development of the Local Plan is currently a more significant risk to capacity and resources. Members will be kept updated as part of the Monitoring at Finance, Risk, Audit and Standards Committee.
- 2.6 The remaining risks are consistent with those reported throughout 15/16 however, amendments have been made to the actions to reflect the impact of the National Park Grant Settlement, confirmation of which was received after the Register had been drafted. Further information on this is at Item 10 on this agenda. However, this is further positive news and serves to reduce the overall financial risks faced by the organisation.

2.7 Members are reminded that at any given time the Authority is facing many operational risks and actions are taken to mitigate against the crystallisation of these risks on a daily basis and key risks are recorded on the departmental risk registers. The Corporate Risk Register is not intended to capture all of these risks but to identify the potential strategic level risks.

2.8 Members are aware that over the next year Officers and Members will be working on a three year Business Plan and as part of the development of this the Risk Register will be completely reviewed to ensure it is aligned to priorities and emerging risks.

3. **Financial Implications**

3.1 There are no financial implications resulting from this report.

4. **Legal and Sustainability Implications**

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

5. **Recommendation**

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

Contact Officer:
Irene Brannon
Director of Corporate Services
01439 772700

Background documents to this report

File Ref.

North York Moors National Park Authority – Strategic

Appendix

Risk Register: **March 2016 Review – detailed draft 2016/17**
 Report Date: 29th February 2016 (pw)

Phase 1 - Identification											
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. IB to check second ranking with Chris					Risk Group		Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Policy team with limited capacity, existing dated core strategy, up to date Local Plan for Helmsley, Area Action Plan for Whitby Business Park, emerging Joint Minerals and Waste local Plan, a number of SPDs, NPPF, NPPG, National Parks circular, Head of Strategic Policy appointed, Members agreement to update,					Effectiveness			
Probability	H	Objectives	H	Financial	H	Services	M	Reputation	H	Category	1
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	319/1497 - Commencement of Local Plan and to develop and implement a project timetable and resource plan					NYM DoP	Fri-31-Mar-17		0%		
Reduction	319/1498 - Assessment of options for delivering the Local Plan					NYM DoP	Thu-30-Jun-16		0%		
Reduction	319/1593 - Induction of Planning Policy team to familiarise team with existing policies and identify gaps					NYM DoP	Thu-30-Jun-16		0%		
Reduction	319/1594 - Ensure adequate resources are in place for production of Local Plan					NYM DoP	Mon-31-Dec-18		0%		
Reduction	319/1608 - Develop and implement a communication and engagement strategy for the Local Plan					NYM DoP	Fri-31-Mar-17		0%		
Reduction	319/1609 - Manage the process of public examination and take into account any outcomes					NYM DoP	Mon-31-Dec-18		0%		
Reduction	319/1610 - Co-ordinate the work on the Local Plan with the work on the Management Plan refresh and the Business Plan					NYM DoP	Fri-31-Mar-17		0%		
Reduction	319/1611 - Ensure effective liaison with key stakeholder organisations, business owners, residents and visitors					NYM DoP	Fri-31-Mar-17		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	L	Services	L	Reputation	L	Category	5
Phase 5 - Fallback Plan											



Risk Register: **March 2016 Review – detailed draft 2016/17**
Report Date: 29th February 2016 (pw)

		Action Manager
Fallback Plan		



Risk Register: **March 2016 Review – detailed draft 2016/17**
 Report Date: 29th February 2016 (pw)

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; action plans; reviews; responsibility in job descriptions; training; guidance documents; regular monitoring; strengthened reporting processes and checks on compliance; Health and Safety champion and departmental reps; external assessments; standard contract wordings with contractors; volunteers are briefed on H&S; expertise SLA with NYCC; routinely discussed at team meetings and Directors meetings; H&S Policies to ensure compliance with EU and domestic legislation reviewed including engaging an external specialist to review the framework; external audit carried out 2015; H&S performance assessed by SMT					Effectiveness			
Probability	M	Objectives	L	Financial	M	Services	M	Reputation	H	Category	2
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	Fri-31-Mar-17		0%		
Reduction	201/206 - Continue to monitor external developments in Health and Safety					NYM DIR CS	Fri-31-Mar-17		0%		
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					NYM DIR CS	Fri-31-Mar-17		0%		
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					NYM DIR CS	Fri-31-Mar-17		75%		
Reduction	201/1305 - Provide information for the progress report to members quarterly to allow scrutiny of actions (ongoing)					NYM DIR CS	Fri-31-Mar-17		0%		
Reduction	201/1306 - Implement agreed annual health & safety action plan for 2016/17					NYM DIR CS	Fri-31-Mar-17		0%		
Reduction	201/1312 - CEO and Directors to assess corporate H&S performance using LGA matrix					NYM DIR CS	Thu-30-Jun-16	Tue-12-Jan-16	100%		
Reduction	201/1388 - Agree the scope of contracts/agreements with associate volunteer groups, community groups and others					NYM DIR CS NYM DIR PS	Thu-30-Jun-16		0%		
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	Fri-31-Mar-17		0%		



Risk Register: **March 2016 Review – detailed draft 2016/17**
 Report Date: 29th February 2016 (pw)

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: **March 2016 Review – detailed draft 2016/17**
 Report Date: 29th February 2016 (pw)

Phase 1 - Identification											
Risk Number	201/158	Risk Title	201/158 - Financial Strategy				Risk Owner	NYM CEO		Manager	NYM DIR CS
Description	Failure to plan manage and adapt effectively to developing and implementing the Medium Term Financial Strategy following the receipt of the National Park Grant Funding Settlement. 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;						Effectiveness		
Probability	M	Objectives	M	Financial	M	Services	M	Reputation	M	Category	4
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed	%	
Reduction	201/19 - 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		Fri-31-Mar-17		0%	
Reduction	201/20 - Continue to monitor performance of the income generating services against monetary expectations					All Directors		Fri-31-Mar-17		0%	
Reduction	201/22 - Continue to link service delivery to performance and resources to ensure value for money and monitor outcomes					All Members / Mgt Board		Fri-31-Mar-17		0%	
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					All Directors NYM CEO		Fri-31-Mar-17		0%	
Reduction	201/1282 - Preparation of new MTFS and Business Plan 2017 - 2020					All Directors NYM CEO		Sat-31-Dec-16		0%	
Reduction	201/1283 - Establish Trust to bring new resources into NYM					All Directors NYM CEO		Fri-31-Mar-17		0%	
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		Fri-31-Mar-17		0%	
Reduction	201/1288 - External funding initiatives and Corporate Sponsorship with NPE, NPUK and other NPAs					All Directors NYM CEO		Fri-31-Mar-17		0%	
Reduction	201/1293 - Develop a Financial Framework to enable appropriate decision taking					NYM DIR CS		Thu-30-Jun-16		0%	



Risk Register: **March 2016 Review – detailed draft 2016/17**
 Report Date: 29th February 2016 (pw)

Reduction	201/1313 - Work on options for possible future as part of developing MTFS Beyond				NYM CEO NYM DIR CS		Thu-30- Jun-16		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	M	Services	M	Reputation	L	Category	5
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan											



Risk Register: **March 2016 Review – detailed draft 2016/17**
 Report Date: 29th February 2016 (pw)

Phase 1 - Identification											
Risk Number	201/394	Risk Title	201/394 - Organisational Change				Risk Owner	NYM CEO		Manager	Mgt Team
Description	Failure to adequately develop, plan for and implement new ways of working resulting in inability to meet financial savings requirements and deliver statutory purposes.					Risk Group			Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Leadership programme; existing values; staff, union, Member and volunteer communications; staff surveys; 'Free' external advice maximised;					Effectiveness			
Probability	M	Objectives	M	Financial	M	Services	M	Reputation	M	Category	4
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	201/207 - Implement the Volunteer Strategy (ongoing)					NYM DIR PS	Tue-31-Mar-20		0%		
Reduction	201/220 - Develop a new Business Plan for 2017-20					NYM DIR CS	Sat-31-Dec-16		0%		
Reduction	201/223 - Create and implement the NY Moors Trust					NYM CEO	Fri-31-Mar-17		0%		
Reduction	201/235 - Monitor the performance against the new income strategy and ensure other resources are included					NYM DIR CS NYM DIR PS	Fri-31-Mar-17		0%		
Reduction	201/236 - Monitor and adapt management and staff capacity and practices to enable new ways of working (ongoing)					NYM DIR CS NYM DIR PS	Fri-31-Mar-17		0%		
Reduction	201/237 - Continue the leadership development programme and initiatives					NYM DIR CS	Fri-31-Mar-17		0%		
Reduction	201/278 - Create a culture of bringing forward innovation and creativity to produce measured outcomes					NYM DIR CS NYM DIR PS	Fri-31-Mar-17		0%		
Reduction	201/1290 - Ensure flexibility in management, targets and staff and cash resources to enable creative reaction to opportunities for new ways to deliver					All Directors	Fri-31-Mar-17		0%		
Reduction	201/1390 - Develop a framework of business skills for staff and encourage entrepreneurship					All Directors	Fri-31-Mar-17		0%		
Reduction	201/1391 - Open discussions with other organisations to extend shared services and review current arrangements					NYM DIR CS	Fri-31-Mar-17		0%		
Reduction	201/1392 - Revise performance framework and indicators					All Directors	Fri-31-Mar-17		0%		
Reduction	201/1393 - Use effective recruitment to bridge any gaps and complement and enhance the skills of existing staff to enable the cultural shift to take place					All Directors NYM CEO	Fri-31-Mar-17		0%		



Risk Register: **March 2016 Review – detailed draft 2016/17**
 Report Date: 29th February 2016 (pw)

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

