

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

23 November 2015

Risk Management Strategy Update

1. Purpose of the Report

- 1.1 To update Members on the Authority's Risk Management Strategy and to agree amendments to the Authority's Corporate Risk Register.

2. Background

- 2.1 The Authority's Corporate Risk Register is a working document and is approved at the March Authority meeting each year. The process that was undertaken to develop it was facilitated by NYCC's Insurance and Risk Management Team. The scheme of delegation gives responsibility to review and approve the Risk Management Strategy and Corporate Risk Register to this Committee (FRASC).
- 2.2 The risk register approved by Members includes a summary and a detailed document which includes a series of actions to be taken to reduce the risk levels.
- 2.3 The purpose of this report is to update Members on the progress made to date. It is not intended to be a complete review but to identify any significant variances from the plan which may impact on the Risk Category.
- 2.4 Overall progress on the Risk Register has been good. A summary of the risk register is attached as **Appendix A** to this report and the only significant issue to note is that:
- The Minerals Planning Risk has been reduced since the start of the financial year and progress on planned actions has been significant with the decision notice issued on the 19/10/2015 and resources secured from York Potash to cover the professional fees incurred in order to secure the s106 agreement. Officers will continue to monitor this risk and report any changes to Members including the risk to financial resources from other potential large scale minerals applications which may be received.
- 2.5 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. The Corporate Risk Register is not intended to capture all of these risks but to identify the potential strategic level risks.

3. Financial Implications

- 3.1 There are no financial implications resulting from this report.

4. Legal and Sustainability Implications

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

5. Recommendation

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

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Background documents to this report

File Ref.

1. 2014 Corporate Risk Register

North York Moors National Park Authority – Strategic

Risk Register: **Nov 2015 Review – detailed**
 Report Date: 21st October 2015 (cpc)

Phase 1 - Identification											
Risk Number	201/158	Risk Title	201/158 - Financial Strategy				Risk Owner	NYM CEO		Manager	NYM DIR CS
Description	Failure to manage and adapt effectively to any further reductions in funding results 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; focus on income generation and seeking opportunities to optimise income; be more opportunistic in approach to external funding; effective day to day financial management						Effectiveness		
Probability	H	Objectives	H	Financial	H	Services	H	Reputation	H	Category	1
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed	%	
Reduction	201/19 - Continue to manage expectations of Stakeholders (agencies, public, staff, volunteers etc) being overt about what we are doing and what we are stopping					All Mgt Board		Thu-31-Mar-16		50%	
Reduction	201/20 - Continue to monitor performance of the income generating services against monetary expectations					All Directors		Thu-31-Mar-16		50%	
Reduction	201/22 - Continue to link service delivery to performance and resources to ensure value for money and monitor outcomes					All Members / Mgt Board		Thu-31-Mar-16		50%	
Reduction	201/1281 - Complete Assessment contributions of current assets to NPA objectives and the possibilities of income generation					All Directors NYM CEO		Thu-31-Mar-16		60%	
Reduction	201/1282 - Preparation of realistic new MTFS and Business Plan 2016 - 2019					All Directors NYM CEO		Thu-31-Mar-16		25%	
Reduction	201/1283 - Establish Trust to bring new resources into NYM					All Directors NYM CEO		Thu-31-Mar-16		8%	
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		Thu-31-Mar-16		25%	
Reduction	201/1288 - External funding initiatives and Corporate Sponsorship with NPE, NPUK and other NPAs					All Directors NYM CEO		Thu-31-Mar-16		25%	
Reduction	201/1293 - Develop a Financial Framework to enable appropriate decision taking					NYM DIR CS		Thu-31-Mar-16		50%	
Reduction	201/1313 - Work on scenarios for possible future as part of developing MTFS Beyond					NYM CEO NYM DIR CS		Thu-31-Mar-16		50%	
Reduction	201/1314 - Develop a timetable for organisational development and consultation of changes and financial impacts					NYM DIR CS		Fri-31-Mar-17		0%	
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	H	Services	H	Reputation	M	Category	2



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Phase 5 - Fallback Plan		Action Manager
Fallback Plan	201/633 - Note: Many of the current control measures that were in place have expired or ran their course and cannot be replaced due to the uncertainty around the future funding	



North York Moors National Park Authority – Strategic

Risk Register: **Nov 2015 Review – detailed**
 Report Date: 21st October 2015 (cpc)

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; 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					Effectiveness						
Probability	M	Objectives	L	Financial	M	Services	M	Reputation	H	Category	2			
Phase 3 - Risk Reduction Actions														
Reduction	201/193 - Continue SLA with NYCC to provide 'safety net' cover and access to more specialist health and safety expertise; contract now let					Action Manager	NYM DIR CS		Action by	Thu-31-Mar-16	Completed	Wed-1-Apr-15	%	100%
Reduction	201/206 - Continue to monitor external developments in Health and Safety					Action Manager	NYM DIR CS		Action by	Thu-31-Mar-16	Completed		%	50%
Reduction	201/1296 - Ensure volunteers are fully integrated and comply with H&S procedures and practices as the role of the volunteer is extended					Action Manager	NYM DIR CS		Action by	Thu-31-Mar-16	Completed		%	50%
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					Action Manager	NYM DIR CS		Action by	Thu-31-Mar-16	Completed		%	50%
Reduction	201/1304 - Implement action plan which includes issues arising from ATV accident on 22 October 2014 and wider investigation into H&S compliance					Action Manager	NYM DIR CS		Action by	Thu-31-Dec-15	Completed		%	90%
Reduction	201/1305 - Provide information for the progress report to members twice per year to allow scrutiny of actions (ongoing)					Action Manager	NYM DIR CS		Action by	Thu-31-Mar-16	Completed		%	0%
Reduction	201/1306 - Implement agreed annual health & safety action plan for 2015/16					Action Manager	NYM DIR CS		Action by	Thu-31-Mar-16	Completed		%	40%
Reduction	201/1308 - External audit of health & safety practice and implement recommendations					Action Manager	NYM DIR CS		Action by	Wed-30-Sep-15	Completed	Fri-31-Jul-15	%	100%
Reduction	201/1309 - Develop a more structured approach to health & safety training					Action Manager	NYM DIR CS		Action by	Thu-31-Dec-15	Completed		%	75%
Reduction	201/1312 - CEO and Directors to assess corporate H&S performance using LGA matrix					Action Manager	NYM DIR CS		Action by	Thu-31-Dec-15	Completed		%	0%
Reduction	201/1388 - Agree the scope of contracts/agreements with associate volunteer groups, community groups and others					Action Manager	NYM DIR CS NYM DIR PS		Action by	Thu-31-Mar-16	Completed		%	75%



North York Moors National Park Authority – Strategic

Risk Register: **Nov 2015 Review – detailed**

Report Date: 21st October 2015 (cpc)

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 CSNYM DIR PS		Thu-31-Mar-16		15%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	M	Services	M	Reputation	H	Category	3
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan											



North York Moors National Park Authority – Strategic

Risk Register: **Nov 2015 Review – detailed**

Report Date: 21st October 2015 (cpc)

Phase 1 - Identification											
Risk Number	201/148	Risk Title	201/148 - Minerals Planning (York Potash)			Risk Owner	NYM CEO		Manager	NYM DIR DM	
Description	Lack of capacity and resources both within the Authority and partner organisations to effectively manage the implementation of the Authority resolution to approve planning permissions etc by September 2015 in terms of the environmental and socio economic impacts which could result in negative impact on other Authority work, reputational damage both locally and nationally, potential judicial review and other legal action, negative financial impact, knock on effects to other work as resources transferred.				Risk Group	First, Second Purpose and Duty		Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Continuing engagement with Partner and other involved bodies; recovery of an element of costs through LGA sect 106; Legal and Environmental advisors in place; increased resources; public relations activity; financial planning; resolution to approve				Effectiveness				
Probability	L	Objectives	M	Financial	M	Services	L	Reputation	H	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	201/10 - Continue to liaise with DEFRA, CLG and other government departments to obtain support, advice and finance					NYM CEO	Thu-31-Dec-15		75%		
Reduction	201/13 - Continue to monitor costs and review adequacy of resources and keep a watch on planning workloads (ongoing)					NYM DIR CS NYM DoP	Sun-31-Jul-16		90%		
Reduction	201/15 - Continue to discuss the risks to income and increased expenditure regularly with Members and senior officers including financial planning scenarios.					NYM DIR CS	Thu-31-Mar-16		80%		
Reduction	201/861 - Monitor performance of specialist professional support and ensure appropriate measures are in place to maintain continuity of expertise					NYM DIR DM	Thu-31-Mar-16	Mon-19-Oct-15	100%		
Reduction	201/862 - Maintain close liaison with York Potash and its advisors					NYM CEO NYM DoP	Thu-31-Mar-16	Mon-19-Oct-15	100%		
Reduction	201/1279 - Plan for and seek resources to ensure internal capacity to manage the process of agreeing conditions, security arrangements and Project implementation					NYM CEO NYM DoP	Thu-31-Mar-16	Mon-19-Oct-15	100%		
Reduction	201/1387 - Plan for and seek resources to ensure ability to manage delivery of our Purposes should the Project be implemented.					NYM CEO NYM DoP	Thu-31-Mar-16		10%		
Reduction	319/1501 - Appoint a consultant to provide professional advice					NYM CEO	Fri-31-Jul-15	Sat-1-Aug-15	100%		
Reduction	319/1601 - Progress from the resolution to approve to issue a legal decision notice					NYM DoP	Wed-30-Sep-15	Mon-19-Oct-15	100%		
Reduction	319/1602 - Assessment of impacts arising from the implementation of the permission (ongoing)					NYM DoP	Sun-31-Jul-16		0%		
Reduction	319/1603 - Monitoring compliance with planning permission and the s 106 agreement (ongoing)					NYM DoP	Sun-31-Jul-16		0%		



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Risk Register: **Nov 2015 Review – detailed**
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Reduction	319/1604 - Provide ongoing updates of progress to Members and staff					NYM DoP	Sun-31-Jul-16		40%		
Reduction	319/1605 - Ongoing communications re progress to all stakeholders					All Members / Mgt Board	Thu-31-Mar-16		40%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	L	Services	L	Reputation	H	Category	3
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan											



North York Moors National Park Authority – Strategic

Risk Register: **Nov 2015 Review – detailed**
 Report Date: 21st October 2015 (cpc)

Phase 1 - Identification											
Risk Number	201/394	Risk Title	201/394 - Organisational Change				Risk Owner	NYM CEO		Manager	Mgt Team
Description	Failure to adequately develop, plan for and implement new ways of working resulting in inability to meet financial savings requirements and deliver statutory purposes.					Risk Group		Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Leadership programme; existing values; staff, union, Member and volunteer communications; staff surveys; 'Free' external advise maximised;					Effectiveness			
Probability	M	Objectives	M	Financial	M	Services	M	Reputation	M	Category	4
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	201/207 - Implement the Volunteer Strategy (ongoing)					NYM DIR PS	Tue-31-Mar-20		50%		
Reduction	201/220 - Develop a new Business Plan for 2016-19					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	201/223 - Create and implement the NY Moors Trust					NYM CEO	Thu-31-Mar-16		8%		
Reduction	201/235 - Monitor the performance against the new income strategy and ensure other resources are included					NYM DIR CS NYM DIR PS	Thu-31-Mar-16		25%		
Reduction	201/236 - Monitor and adapt management and staff capacity and practices to enable new ways of working (ongoing)					NYM DIR CS NYM DIR PS	Thu-31-Mar-16		0%		
Reduction	201/237 - Continue the leadership development programme and initiatives					NYM DIR CS	Thu-31-Mar-16		25%		
Reduction	201/278 - Create a culture of bringing forward innovation and creativity to produce measured outcomes					NYM DIR CS NYM DIR PS	Thu-31-Mar-16		25%		
Reduction	201/866 - Put together a plan for DEFRA to justify backended cuts					NYM DIR CS	Thu-31-Mar-16		15%		
Reduction	201/1289 - Develop a contingency plan for a catastrophic cut in funding					All Directors NYM CEO	Thu-31-Mar-16		20%		
Reduction	201/1290 - Ensure flexibility in management, targets and staff and cash resources to enable creative reaction to opportunities for new ways to deliver					All Directors	Thu-31-Mar-16		25%		
Reduction	201/1390 - Develop a framework of business skills for staff and encourage entrepreneurship					All Directors	Thu-31-Mar-16		0%		
Reduction	201/1391 - Open discussions with other organisations to extend shared services and review current arrangements					NYM DIR CS	Thu-31-Mar-16		25%		
Reduction	201/1392 - Revise performance framework and indicators					All Directors	Thu-31-Mar-16		0%		



North York Moors National Park Authority – Strategic

Risk Register: **Nov 2015 Review – detailed**

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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	Thu-31- Mar-16		0%			
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											



North York Moors National Park Authority – Strategic

Risk Register: **Nov 2015 Review – summary**
 Report Date: 21st October 2015

Identity			Person		Classification													
Change	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre						RR		Post					
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat
◀▶	201/158 - Financial Strategy	Failure to manage and adapt effectively to any further reductions in funding results in limiting the ability to deliver Purposes.	NYM CEO	NYM DIR CS	H	H	H	H	H	1	11	31/03/2016	M	M	H	H	M	2
◀▶	201/203 - Health And Safety	Failure to meet Health and Safety statutory requirements and ensure the appropriate culture is embedded in relation to staff, Members, volunteers, service users and contractors resulting in possible loss of life/serious injuries, prosecution, claims, media attention, fines.	NYM CEO	NYM DIR CS	M	L	M	M	H	2	12	31/12/2015	L	L	M	M	H	3
◀▶	201/148 - Minerals Planning (York Potash)	Lack of capacity and resources both within the Authority and partner organisations to effectively manage the implementation of the Authority resolution to approve planning permissions etc by September 2015 in terms of the environmental and socio economic impacts which could result in negative impact on other Authority work, reputational damage both locally and nationally, potential judicial review and other legal action, negative financial impact, knock on effects to other work as resources transferred.	NYM CEO	NYM DIR DM	L	M	M	L	H	3	13	31/12/2015	L	M	L	L	H	3
◀▶	201/394 - Organisational Change	Failure to adequately develop, plan for and implement new ways of working resulting in inability to meet financial savings requirements and deliver statutory purposes.	NYM CEO	Mgt Team	M	M	M	M	M	4	14	31/03/2016	L	L	L	M	L	5

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

