

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

7 September 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.
- 1.2 To update Members on the Corporate Services Departmental Action Plan.

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 changes are:
 - The issues around the Minerals Planning Risk since the decision in June have changed and as a result it is proposed that the risk category is changed to a 3 which is a medium risk. This is because at this point in time Officers are satisfied that the immediate workload, particularly on the detail of the decision notice and the s106 agreement can be managed through the arrangements made with Savills and Nabarro with the support of the dedicated in-house officer. Officers have also secured a commitment from York Potash Limited that the reasonable costs of finalising the s106 agreement will be funded by them and as a result the immediate risk to the Authority's own financial resources has been minimised. A further update will be given at the November meeting which may depending upon the situation result in this becoming high risk again. Officers will also continue to monitor 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. Departmental Risk Registers

- 3.1 Members agreed in March that the Strategic Risk Register would focus on a smaller number of extremely significant risks and that each department would develop departmental risk registers with the caveat the Health and Safety must feature on the

Strategic risk register and every departmental risk register. Each department has taken part in a workshop and the draft registers are being finalised.
A copy of the Corporate Services Risk Register is attached as **Appendix B** for Members to consider as agreed in the Authority meeting in March 2014.

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 contents of this report and the appendices making any amendments considered necessary.

Contact Officer:
Irene Brannon
Director of Corporate Services
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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: **Aug 2015 Review – detailed**Report Date: 10th Aug 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		30%	
Reduction	201/20 - Continue to monitor performance of the income generating services against monetary expectations						All Directors	Thu-31-Mar-16		30%	
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		30%	
Reduction	201/1281 - Complete Assessment contributions of current assets to NPA objectives and the possibilities of income generation						All Directors NYM CEO	Wed-30-Sep-15		50%	
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	Wed-30-Sep-15		10%	
Reduction	201/1313 - Work on scenarios for possible future as part of developing MTFS Beyond						NYM CEO NYM DIR CS	Wed-30-Sep-15		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



North York Moors National Park Authority – Strategic

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

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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: **Aug 2015 Review – detailed**

Report Date: 10th Aug 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											
							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	Thu-31-Mar-16	Wed-1-Apr-15	100%	
Reduction	201/206 - Continue to monitor external developments in Health and Safety						NYM DIR CS	Thu-31-Mar-16		30%	
Reduction	201/1296 - Ensure volunteers are fully integrated and comply with H&S procedures and practices as the role of the volunteer is extended						NYM DIR CS	Thu-31-Mar-16		40%	
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	Thu-31-Mar-16		40%	
Reduction	201/1304 - Implement action plan which includes issues arising from ATV accident on 22 October 2014 and wider investigation into H&S compliance						NYM DIR CS	Thu-31-Dec-15		40%	
Reduction	201/1305 - Provide information for the progress report to members twice per year to allow scrutiny of actions (ongoing)						NYM DIR CS	Thu-31-Mar-16		0%	
Reduction	201/1306 - Implement agreed annual health & safety action plan for 2015/16						NYM DIR CS	Thu-31-Mar-16		40%	
Reduction	201/1308 - External audit of health & safety practice and implement recommendations						NYM DIR CS	Wed-30-Sep-15	Fri-31-Jul-15	100%	
Reduction	201/1309 - Develop a more structured approach to health & safety training						NYM DIR CS	Thu-31-Dec-15		50%	
Reduction	201/1312 - CEO and Directors to assess corporate H&S performance using LGA matrix						NYM DIR CS	Thu-31-Dec-15		0%	
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-Apr-15		75%	



North York Moors National Park Authority – Strategic

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

Report Date: 10th Aug 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 CS NYM 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											
Fallback Plan									Action Manager		



North York Moors National Park Authority – Strategic

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

Report Date: 10th Aug 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	H	Financial	H	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		25%		
Reduction	201/13 - Continue to monitor costs and review adequacy of resources and keep a watch on planning workloads						NYM DIR CS NYM DoP	Thu-31-Mar-16		80%		
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		80%		
Reduction	201/862 - Maintain close liaison with York Potash and its advisors						NYM CEO NYM DoP	Thu-31-Mar-16		75%		
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		20%		
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		80%		
Reduction	319/1601 - Progress from the resolution to approve to issue a legal decision notice						NYM DoP	Wed-30-Sep-15		0%		
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%		

North York Moors National Park Authority – Strategic

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

Report Date: 10th Aug 2015 (cpc)

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											
Fallback Plan								Action Manager			



North York Moors National Park Authority – Strategic

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

Report Date: 10th Aug 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 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		40%	
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%	
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%	



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Risk Register: **Aug 2015 Review – detailed**
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Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	L	Services	M	Reputation	L	Category	5
Phase 5 - Fallback Plan											
Fallback Plan										Action Manager	



North York Moors National Park Authority – Strategic

Risk Register: **Aug 2015 Review – summary**
 Report Date: 10th Aug 2015 (cpc)

Identity			Person		Classification												Fallback Plan			
Risk No	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre						RR		Post						FBPlan	Action Manager
					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	30/09/2015	M	M	H	H	M	2	N	
	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	30/04/2015	L	L	M	M	H	3	N	
- new -	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	H	H	L	H	3	13	31/07/2015	L	M	L	L	H	3	N	
	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	N	

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

List of Key Objectives for North York Moors National Park Authority – Corporate Services

Objectives	
*1	Ensure continuity of corporate services
2	Ensure appropriate financial systems and processes are in place
3	Provide financial guidance and support to service managers
4	Ensure IT resilience to enable delivery of corporate services
5	Ensure Business Continuity plans are fit for purpose
6	Take opportunities to work with Partners when <i>beneficial</i>
7	Ensure effective management of property and assets
8	Ensure Members, staff and volunteers have the correct skills, expertise and experience

Prepared by: Irene Brannon

Date: April 2015

* Significant objective

North York Moors National Park Authority – Corporate Services

Risk Register: **April 2015 Review – detailed draft 070515**

Report Date: 7th May 2015 (pw)

Phase 1 - Identification											
Risk Number	317/424	Risk Title	317/424 - Organisational Change				Risk Owner	NYM CEO		Manager	Mgt Team
Description	Failure to adequately develop, plan for and implement new ways of working within the organisation and Corporate Services 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; flexible IT arrangements, flexible working arrangements, some office sharing with other organisations, some self-sufficiency for Members in place, some offsite storage of data in place,					Effectiveness			
Probability	M	Objectives	H	Financial	L	Services	H	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	201/220 - Develop a new Business Plan for 2016-19					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	201/235 - Monitor the performance against the new income strategy and ensure other resources are included					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	201/236 - Ensure appropriate management capacity and practices are in place to enable new ways of working					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	201/237 - Continue the leadership development programme and initiatives					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	201/278 - Create a culture of bringing forward innovation and creativity to produce measured outcomes					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	201/866 - Put together a plan for DEFRA to justify backended cuts					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	201/1280 - Develop MTFS for 2016 - 2019					NYM DIR CS	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		0%		
Reduction	317/1419 - Put in place flexible arrangements to ensure sufficient people resource including contractors, volunteers to meet the Authority's priorities (ongoing)					NYM DIR CS	Sat-30-Apr-16		0%		
Reduction	317/1513 - Put in place flexible arrangements for the IT requirements of the services (ongoing)					NYM DIR CS	Sat-30-Apr-16		0%		
Reduction	317/1514 - Explore offsite storage for data and put in place agreed arrangements					NYM DIR CS	Thu-31-Dec-15		0%		
Reduction	317/1515 - Exploring options of sharing property space with other organisations and continuing to review use of the property within the services (ongoing)					NYM DIR CS	Sat-30-Apr-16		0%		



North York Moors National Park Authority – Corporate Services

Risk Register: **April 2015 Review – detailed draft 070515**

Report Date: 7th May 2015 (pw)

Reduction	317/1516 - Carry out a review of the toolkit for budget managers and implement changes				NYM DIR CS	Thu-31-Dec-15		0%			
Reduction	317/1517 - Enable further self-sufficiency for Members (ongoing)				NYM DIR CS	Sat-30-Apr-16		0%			
Reduction	317/1518 - 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	L	Objectives	M	Financial	L	Services	H	Reputation	L	Category	3
Phase 5 - Fallback Plan											
Fallback Plan								Action Manager			



North York Moors National Park Authority – Corporate Services

Risk Register: April 2015 Review – detailed draft 070515

Report Date: 7th May 2015 (pw)

Phase 1 - Identification											
Risk Number	317/434	Risk Title	317/434 - 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	M	Financial	M	Services	H	Reputation	M	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					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	201/206 - Continue to monitor external developments in Health and Safety					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	201/1296 - Ensure volunteers are fully integrated and comply with H&S procedures and practices as the role of the volunteer is extended					NYM DIR CS	Thu-31-Mar-16		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	Thu-31-Mar-16		0%		
Reduction	201/1304 - Implement action plan which includes issues arising from ATV accident on 22 October 2014 and wider investigation into H&S compliance					NYM DIR CS	Thu-31-Dec-15		0%		
Reduction	201/1305 - Report progress to members twice per year to allow scrutiny of actions (ongoing)					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	201/1306 - Implement agreed annual health & safety action plan for 2015/16					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	201/1308 - External audit of health & safety practice and implement recommendations					NYM DIR CS	Wed-30-Sep-15		0%		
Reduction	201/1309 - Develop a more structured approach to health & safety training					NYM DIR CS	Thu-31-Dec-15		0%		
Reduction	201/1312 - CEO and Directors to assess corporate H&S performance using LGA matrix					NYM DIR CS	Thu-31-Dec-15		0%		
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-Apr-15		0%		
Reduction	201/1389 - Ensure contracts/agreements are in place with associate volunteer groups, community					NYM DIR CS	Thu-31-Mar-16		0%		



North York Moors National Park Authority – Corporate Services

Risk Register: **April 2015 Review – detailed draft 070515**

Report Date: 7th May 2015 (pw)

	groups and others prior to commencement of tasks (ongoing)		NYM DIR PS				
Reduction	317/1507 - Organise and carry out refresher training for all managers		NYM DIR CS		Wed-30-Sep-15		0%
Reduction	317/1508 - Discuss, agree and carry out with Members, the appropriate level of training required		NYM DIR CS		Thu-31-Dec-15		0%
Phase 4 - Post Risk Reduction Assessment							
Probability	L	Objectives	L	Financial	M	Services	M
		Reputation	M	Category	5		
Phase 5 - Fallback Plan							
							Action Manager
Fallback Plan							



North York Moors National Park Authority – Corporate Services

Risk Register: April 2015 Review – detailed draft 070515

Report Date: 7th May 2015 (pw)

Phase 1 - Identification											
Risk Number	317/414	Risk Title	317/414 - Procurement Process				Risk Owner	NYM CEO		Manager	NYM DIR CS
Description	Failure to follow the required Procurement process and management of Contracts for goods and services resulting in legal challenge and failure to achieve value for money.					Risk Group	Procurement		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Financial Regulations, Contract Regulations including MEA, training, audit, select lists, confidential reporting, training carried out, SLA with specialist procurement organisation, legal services, contract management in place					Effectiveness			
Probability	M	Objectives	L	Financial	M	Services	L	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed	%	
Reduction	317/1399 - Review and implement processes (continued delay due to staff illness/absence)						NYM DIR CS	Thu-31-Mar-16		0%	
Reduction	317/1400 - Continue to deliver compulsory training and information						NYM DIR CS	Thu-31-Mar-16		0%	
Reduction	317/1401 - Continue to monitor procurement compliance						NYM DIR CS	Tue-31-Mar-15		0%	
Reduction	317/1487 - Implement EU changed procurement requirements						NYM DIR CS	Thu-31-Mar-16		0%	
Reduction	317/1488 - Consider electronic procurement portal shared with other NPAs						NYM DIR CS	Thu-31-Mar-16		0%	
Reduction	317/1511 - Ensure extra expertise is available within the organisation on procurement						NYM DIR CS	Thu-31-Dec-15		0%	
Reduction	317/1512 - Research available frameworks for the delivery of services						NYM DIR CS	Thu-31-Mar-16		0%	
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	L	Services	L	Reputation	M	Category	5
Phase 5 - Fallback Plan											
Fallback Plan									Action Manager		



North York Moors National Park Authority – Corporate Services

Risk Register: April 2015 Review – detailed draft 070515

Report Date: 7th May 2015 (pw)

Phase 1 - Identification											
Risk Number	317/420	Risk Title	317/420 - NY Moors Trust				Risk Owner	NYM CEO		Manager	NYM DIR CS
Description	Failure to establish and implement the North York Moors Trust resulting in an inability to provide adequate support service to the Trust.					Risk Group		Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Specialist legal advice, Members approval in principle, key officers tasked with forward planning,					Effectiveness			
Probability	M	Objectives	L	Financial	H	Services	L	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	317/1423 - Develop and implement governance arrangements relating to Secretariat, IT and financial controls					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	317/1425 - Appoint expertise in charity funding and promotion					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	317/1426 - Ensure adequate internal capacity for tasks involved in running the Trust					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	317/1427 - Manage staff expectations and potential concerns					NYM DIR CS	Thu-31-Mar-16		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	M	Services	L	Reputation	L	Category	5
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan											



North York Moors National Park Authority – Corporate Services

Risk Register: April 2015 Review – detailed draft 070515

Report Date: 7th May 2015 (pw)

Phase 1 - Identification											
Risk Number	317/433	Risk Title	317/433 - Financial Control				Risk Owner	NYM CEO		Manager	NYM DIR CS
Description	Failure to have effective financial controls to assist the Authority in managing the budget effectively results in suboptimal use of budget, criticism.					Risk Group				Risk Type	
Phase 2 - Current Assessment											
Current Control Measures			Reserves reviewed for adequacy, budget monitoring processes,, Effective day to day financial management, external and internal audit regime, Quarterly reporting to Members, some financial training, Finance Regulations,						Effectiveness		
Probability	M	Objectives	H	Financial	H	Services	H	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	317/1491 - Carry out further training for budget managers including development of toolkit					NYM DIR CS	Thu-31-Dec-15		0%		
Reduction	317/1492 - Carry out review of budget monitoring reports for managers					NYM DIR CS	Wed-30-Sep-15		0%		
Reduction	317/1527 - Carry out review of Finance Regulations					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	317/1528 - Implement revised reports for Members					NYM DIR CS	Wed-30-Sep-15		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	L	Category	5
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan											



North York Moors National Park Authority – Corporate Services

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Report Date: 7th May 2015 (pw)

Phase 1 - Identification											
Risk Number	317/415	Risk Title	317/415 - Fraud and Corruption				Risk Owner	NYM CEO		Manager	NYM DIR CS
Description	Failure to detect and act upon fraudulent or corrupt activity resulting in financial loss to the authority.					Risk Group	Finance		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures		Financial Regulations, internal control checks including separation of duties, training, Ethical Code, Code of Conduct, Audit, Complaints, Confidential Reporting and effective staff recruitment, Whistleblowing Policy, organisational culture through our values, Monitoring Officer training carried out						Effectiveness			
Probability	L	Objectives	M	Financial	L	Services	M	Reputation	H	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	317/1402 - Continue to respond positively where practical to Internal Audit recommendations					NYM DIR CS		Thu-31-Mar-16		0%	
Reduction	317/1403 - Review and carry out Member training on code of conduct					NYM DIR CS		Thu-31-Dec-15		0%	
Reduction	317/1489 - Map compliance with the latest CIPFA Code and guidance and draw up an action plan					NYM DIR CS		Thu-31-Mar-16		0%	
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	L	Services	M	Reputation	H	Category	3
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan											



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Report Date: 7th May 2015 (pw)

Phase 1 - Identification											
Risk Number	317/416	Risk Title	317/416 - Legal Action against Authority (non Health & Safety)				Risk Owner	NYM CEO		Manager	NYM DIR CS
Description	Successful legal action against the Authority as a result of members of the public to whom we owe a duty of care (including vulnerable groups) come to harm plus potential wrong doing against other organisations through the Authority's actions, inactions, or decisions across all of the Authority's activities					Risk Group	Corporate Core		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Legal services contract, insurance plan, risk training for Members, staff and volunteers, permit to work for contractors, Performance of legal services monitored,					Effectiveness			
Probability	L	Objectives	L	Financial	H	Services	L	Reputation	M	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	317/1404 - Develop day to day approach to the management of small contracting companies					NYM DIR CS	Tue-31-Mar-15	Tue-31-Mar-15	100%		
Reduction	317/1405 - Maintain up to date Strategic Risk Assessments					All Directors	Sat-30-Apr-16		0%		
Reduction	317/1406 - Analysis of new risks in the development of the next Business Plan					All Directors	Thu-31-Mar-16		0%		
Reduction	317/1407 - Continue to monitor performance against the contract for legal services					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	317/1509 - Support development of departmental risk registers to ensure early identification of emerging risks and methods of control					NYM DIR CS	Wed-30-Sep-15		0%		
Reduction	317/1510 - Review arrangements for legal services where there is a conflict of interest and put revised arrangements in place					NYM DIR CS	Wed-30-Sep-15		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	H	Services	L	Reputation	L	Category	3
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan											



North York Moors National Park Authority – Corporate Services

Risk Register: **April 2015 Review – detailed draft 070515**

Report Date: 7th May 2015 (pw)

Phase 1 - Identification											
Risk Number	317/419	Risk Title	317/419 - Business Continuity Planning				Risk Owner		Manager		
Description	Failure to update and test comprehensive and effective business continuity plans including ICT disaster recovery throughout the Authority resulting in inability to recover delivery of services following for example loss of premises, records or IT systems, etc and criticism.					Risk Group		Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			DR arrangements for IT, alternative work arrangements, business recovery plan, key responsible people, alternative premises, improvements to IT systems to ensure resilience, agreement with YDNPA and others to ensure continuation of services, virtualisation of servers, external review (ZM) carried out, Maintenance of appropriate reserves to provide additional capacity to cope with emergency situations. Bellwin for NPAs now in place, bridge design changed, active fire prevention work, lessons learned fed into Disaster Plans, Fire Liaison Panels, BCPs of supply chain checked through procurement process						Effectiveness		
Probability	L	Objectives	H	Financial	M	Services	H	Reputation	M	Category	3
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed	%	
Reduction	317/1408 - Ensure synergy between business continuity plan and ICT disaster recovery plan						NYM DIR CS	Thu-31-Dec-15		0%	
Reduction	317/1409 - Carry out exercise to test ICT DR plan						NYM DIR CS	Thu-31-Mar-16		0%	
Reduction	317/1418 - Consider integration of NYMNPA plans with Partners' BC and DR plans						NYM DIR CS	Thu-31-Mar-16		0%	
Reduction	317/1420 - Discussion and agreed action in relation to continuity planning at Directors' and Management Meetings						All Directors	Thu-31-Dec-15		0%	
Reduction	317/1421 - Utilise the advice and expertise of ZM to carry out a walkthrough of the disaster recovery exercise						NYM DIR CS	Thu-31-Dec-15		0%	
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	H	Financial	M	Services	M	Reputation	L	Category	3
Phase 5 - Fallback Plan											
Fallback Plan									Action Manager		



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Report Date: 7th May 2015 (pw)

Phase 1 - Identification											
Risk Number	317/431	Risk Title	317/431 - Asset Management				Risk Owner	NYM CEO		Manager	NYM DIR CS
Description	Failure to manage the operational properties of the Authority up to 2020 resulting in inability to make appropriate savings and income together with ineffective use of capital resources.					Risk Group		Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Asset management inventory, property terrier, maintenance plans, property strategy, IT strategy,					Effectiveness			
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	M	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	317/1490 - Complete Assessment contributions of current assets to NPA objectives and the possibilities of income generation					NYM DIR CS	Wed-30-Sep-15		0%		
Reduction	317/1521 - Develop new partnerships and maintain existing partnerships to share operational buildings (ongoing)					NYM DIR CS	Sat-30-Apr-16		0%		
Reduction	317/1522 - Further develop flexible working to enable hot desking and touch down spaces					NYM DIR CS	Sat-30-Apr-16		0%		
Reduction	317/1523 - Ensure adequate capital resources to maintain vehicle fleet and IT hardware (ongoing)					NYM DIR CS	Sat-30-Apr-16		0%		
Reduction	317/1524 - Identify resources to fund significant maintenance and improvement projects					NYM DIR CS	Thu-31-Dec-15		0%		
Reduction	317/1525 - Assist other departments in implementing property plans (visitor centres and Levisham Estate) (ongoing)					NYM DIR CS	Sat-30-Apr-16		0%		
Reduction	317/1526 - Identify opportunities to reduce assets (ongoing)					NYM DIR CS	Sat-30-Apr-16		0%		
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		



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Report Date: 7th May 2015 (pw)

Phase 1 - Identification											
Risk Number	317/430	Risk Title	317/430 - Performance Management				Risk Owner	NYM CEO		Manager	NYM DIR CS
Description	Failure to put in place an effective performance management framework leading to misalignment with the Authority's Purpose, the Department's aims, poorer service delivery, public dissatisfaction, criticism, suboptimal working and lost opportunities and reduced ability to meet savings requirements.					Risk Group		Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Performance management framework, performance family, local indicators agreed by Members. Nominated Performance staff member, information collated and reported to management team monthly and Members twice annually, Business Plan performance targets, annual report to Scrutiny committee, annual report, part of National Parks joint improvement group					Effectiveness			
Probability	M	Objectives	M	Financial	L	Services	L	Reputation	L	Category	4
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	317/1412 - Review performance indicators as part of the Business Plan process					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	317/1422 - Consult with stakeholders and agree a new set of headline indicators					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	317/1424 - Continue to improve the Scrutiny reporting arrangements					NYM DIR CS	Sat-31-Dec-16		0%		
Reduction	317/1455 - Ensure better use of performance results to drive better outcomes (ongoing)					NYM DIR CS	Sat-30-Apr-16		0%		
Reduction	317/1520 - Review process for collection of performance data to identify more efficient practices					NYM DIR CS	Thu-31-Mar-16		0%		
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		



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Phase 1 - Identification											
Risk Number	317/418	Risk Title	317/418 - Information Governance - DPA and FOI				Risk Owner	NYM CEO		Manager	NYM DIR CS
Description	Ineffective information governance arrangements lead to unauthorised disclosure of personal and sensitive data, poor quality or delayed responses to FOI requests, and inability to locate key data upon which the Authority relies resulting in loss of reputation, poor decision making, fine, etc					Risk Group	Information Governance		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			DP registration, Expert legal advice, post logging system, existing processes, internal communications guide, IT security policy, security measures in place, regular review of retention policies, training, training toolkit in place, compliance of Transparency Code,					Effectiveness			
Probability	L	Objectives	L	Financial	L	Services	L	Reputation	M	Category	5
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	317/1410 - Ongoing review and communication of retention policy					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	317/1411 - Continue periodic training events on information governance					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	317/1413 - Work with internal audit on Information Governance audit and action recommendations					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	317/1414 - Conduct work on archiving and offsite storage for data and put in place agreed arrangements					NYM DIR CS	Thu-31-Dec-15		0%		
Reduction	317/1415 - Proportionate response to actions/comments made by the ICO in response to any complaints					NYM DIR CS	Thu-31-Mar-16		0%		
Reduction	317/1416 - Discuss Issues at Management Team when necessary					NYM DIR CS	Sat-30-Apr-16		0%		
Reduction	317/1417 - Implement requirements of Transparency Code					NYM DIR CS	Sat-31-Jan-15	Wed-31-Dec-14	100%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	L	Services	L	Reputation	M	Category	5
Phase 5 - Fallback Plan											
Fallback Plan									Action Manager		

