

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

5 February 2018

Risk Management Strategy Update

1. Purpose of the Report

- 1.1 To update Members on actions related to the Authority's Corporate Risk Register (CRR) in 2017/18 and explain the progress made towards developing the 2018/19 CRR.

2. Background

- 2.1 As Members are aware the Authority maintains a CRR which is considered on a quarterly basis by this Committee. The CRR was reviewed in January 2017 and was then subsequently approved by Members at the March National Park Authority meeting.

- 2.2 In addition to the strategic risk that was added in November 2016 in relation to the implementation of the Sirius Mineral Polyhalite Mine, further risks were added to the register including;

- Wildlife Corridors (Business Plan strategic priority);
- Profile of the Park (Business Plan strategic priority);
- Young People (Business Plan strategic priority);
- Minerals and Waste Development Framework;
- Volunteer Strategy; and
- Fraud and Corruption

3. Corporate Risk Register Update 2017/18

- 3.1 The CRR for 2017/18 attached as **Appendix 1** includes details of a series of actions to be taken to reduce the risk levels.
- 3.2 As members will be aware, the Director of Corporate Services was absent from work from July 2017 before leaving in October. While arrangements have been made to cover much of the resulting work, some actions, particularly in relation to the Fraud and Corruption risk have not been completed. Officers do not, however, regard this as a serious problem. Work on the risk reduction actions in relation to the Financial Strategy risk has continued.
- 3.3 Work on the other risks identified in the CRR has progressed as planned and no serious issues have been highlighted.

4. Corporate Risk Register 2018/19

- 4.1 The CRR has been updated by the Chief Executive, Directors and other senior managers in a process facilitated and advised by NYCC's Insurance and Risk Management Team on 26 January as the papers for this meeting were being published. The draft CRR (**Appendix 2** to this paper) will therefore be circulated separately.

- 4.2 After careful consideration, Officers are proposing that no risks should be removed from the CRR. Officers have taken the view, however, that work is progressing so well in relation to implementing the Business Plan priority on Young People and the implementation of the terms of the Section 106 Agreement in relation to Woodsmith Mine that both of these may be withdrawn from the CRR later in 2018/19.
- 4.3 The risks relating to the Local Plan and Minerals and Waste Development Framework have been combined as the risks in both of these relate largely to the consequences of failing to deliver the respective Plans in a timely fashion.
- 4.4 As noted in Paragraph 3.2 above, the arrangements for senior level financial input at Officer level have changed during the second half of 2017 and the limited time available has been used on work identified as a more immediate priority. These staffing changes are likely to be formalised in April 2018 and it is proposed that after this date the Fraud and Corruption and Financial Strategy risks be fully reviewed by the Head of Finance and brought back to Members for their consideration at the June meeting of this committee.
- 4.4 A new risk has been identified in relation to the Authority's capacity to continue to deliver an ever increasing and ambitious range of work, particularly in relation to external funding. Members' views on this would be particularly welcomed.
- 4.5 The overall assessment of risk has been considered on the basis of an increase in the financial risk thresholds to take into account the Authority's improved financial position with regard to earned income, reserves, current DEFRA Grant and external funding.
- 4.6 **Appendix 2** also includes a summarised version of the Strategic Risk Register and includes details of the current risk rating and the impact that the proposed risk reduction actions are likely to have on the rating. It also details the current risk rating compared with the rating from November 2017.
- 4.7 Officers discussed a number of other issues which may need to be added to the Risk Register in due course, but felt that they did not represent strategic risks to the Authority at the present time.

5. **Financial Implications**

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

6. **Legal and Sustainability Implications**

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

<h2>7. Recommendation</h2> <p>7.1 That Members note the contents of this report, discuss the proposed Register and suggest any amendments prior to submission to Authority in March.</p>

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Background documents to this report

File Ref.

1. FRASC Papers February, June, September and November 2017
2. NPA Paper March 2017

Risk Register: Final position for 2017/18

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 resulting in adverse national / international publicity and harm to the National Park and local residents. The authority:- a) fails to meet its obligations as a Planning Authority in discharging Planning Conditions; b) is unable to deliver the mitigating and compensatory elements of the Section 106 and this therefore causes harm to the Park; c) fails to plan sufficiently so that overall scale of dealing with the implementation of the development significantly disrupts the functioning of the rest of the organisation				Risk Group	Strategic		Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Sirius Minerals have satisfied a series of pre-commencement conditions and these have been confirmed by the Authority before the development commenced. Formal Commencement date was 4th May 2017. This ensured that the Authority had sufficient time to get resources in place for the mitigating action. Financial resources available; outline mitigation schemes developed in principle as part of the Section 106 agreement; knowledge and expertise in place; recruitment strategy implemented; close collaboration to ensure necessary resources are available to achieve alignment of project timetables; Community Forum in place; financial monitoring arrangements in place; timetable developed for resourcing, and establishing mechanisms for, the delivery of the marketing and tourism plans; Director of Implementation and senior mineral planning officer recruited;								
Probability	H	Objectives	H	Financial	H	Services	H	Reputation	H	Category	1
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	201/1308 - Set up financial monitoring arrangements					NYM DIR CS	Fri-31-Mar-17	Fri-31-Mar-17	100%		
Reduction	201/1309 - Develop and implement an action/business plan for marketing and tourism, public enjoyment and conservation aspects of S106 Agreement					NYM DIR PP	Sun-31-Dec-17	Mon-18-Dec-17	100%		
Reduction	201/1613 - Carry out appointments of Director of Implementation and senior mineral planning officer					NYM DoP	Tue-31-Jan-17	Sun-30-Apr-17	100%		
Reduction	201/1626 - Develop a timetable for resourcing, and establishing mechanisms for, the delivery of the marketing and tourism plans					NYM DIR PS	Fri-31-Mar-17	Fri-31-Mar-17	100%		
Reduction	201/1627 - Development of a timetable for establishing a delivery mechanism for the conservation aspects of the Section 106 agreement					NYM DIR PP	Sun-31-Dec-17	Mon-31-Jul-17	100%		
Reduction	201/1628 - Continue to work with Sirius Minerals to ensure a positive working relationship to enable the discharging of planning conditions and the commencement of the development to progress as smoothly as possible (ongoing)					NYM DIR PP	Sat-31-Mar-18	Sat-31-Mar-18	100%		
Reduction	201/1629 - Carry out recruitment requirements to manage the delivery of the terms of the Section 106 agreement					NYM CEO	Fri-31-Mar-17	Mon-31-Jul-17	100%		
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	H	Category	2
Phase 5 - Fallback Plan											
Fallback Plan									Action Manager		



North York Moors National Park Authority – Strategic

Appendix 1

Risk Register: Final position for 2017/18

Phase 1 - Identification											
Risk Number	201/490	Risk Title	201/490 - Young People (Business Plan Strategic Priority)				Risk Owner	NYM CEO		Manager	NYM DIR PS
Description	Failure to deliver targets relating to inspiring young people to understand and experience the North York Moors and be actively involved in its future					Risk Group			Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Education Strategy and Education Team; New Head of Education and Youth Engagement recruited; Explorer Club existing activity; Good working relationships with local authorities; Community Champions network; Additional resources and planned actions in new Business Plan; Apprenticeship programmes; Youth Engagement Officer recruited and working hours of Education Team and Explorer Club Coordinator expanded;								
Probability	H	Objectives	H	Financial	L	Services	L	Reputation	M	Category	1
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	201/190 - Recruit necessary staff eg. Youth Engagement Officer and expand working hours of Education Team and Explorer Club Coordinator					NYM DIR PS	Fri-30-Jun-17	Sun-30-Apr-17	100%		
Reduction	201/191 - Expand the Explorer Club including recruitment of Volunteer Leaders for Explorer Club					NYM DIR PS	Sat-31-Mar-18		80%		
Reduction	201/192 - Establish working relationships with key contacts in local authorities, relevant third sector organisations and youth groups					NYM DIR PS	Sat-31-Mar-18		90%		
Reduction	201/194 - Review the education strategy to ensure proactive engagement with young people in addition to the engagement through schools					NYM DIR PS	Sun-31-Mar-19		70%		
Reduction	201/204 - Develop and implement plans for young people's volunteer group (also see actions in Volunteer Strategy risk)					NYM DIR PS	Sun-30-Sep-18		80%		
Reduction	201/205 - Deliver expanded targeted transport scheme					NYM DIR PS	Sat-31-Mar-18		90%		
Reduction	201/210 - Refresh Apprenticeship Scheme					NYM DIR PS	Wed-31-Jan-18	Wed-31-Jan-18	100%		
Reduction	201/211 - Maximise benefits for young people in all major projects (ongoing)					NYM DIR PS	Sat-31-Mar-18		80%		
Reduction	201/212 - Investigate opportunities for working with the National Citizen Service					NYM DIR PS	Mon-31-Dec-18		70%		
Reduction	201/213 - Explore and develop opportunities for working with the David Ross Educational Trust					NYM DIR PS	Wed-31-Jan-18		40%		
Reduction	201/214 - Work with Public Health agencies to optimise health benefits arising from delivery of youth engagement activities (ongoing)					NYM DIR PS	Sat-31-Mar-18		70%		
Reduction	201/215 - Work with National Parks England to develop bid for funding for projects relating to young people and mental health					NYM DIR PS	Sat-31-Mar-18		30%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	L	Services	L	Reputation	L	Category	5
Phase 5 - Fallback Plan											
Fallback Plan										Action Manager	



Risk Register: Final position for 2017/18

Phase 1 - Identification											
Risk Number	201/488	Risk Title	201/488 - Wildlife Corridors (Business Plan Strategic Priority)				Risk Owner	NYM CEO		Manager	NYM DIR CONSERV
Description	Failure to establish wildlife corridors in the National Park resulting in inability for animals and plants to move around the landscape and flourish.					Risk Group			Risk Type		
Phase 2 - Current Assessment											
Current Control Measures		Delivery plans formulated and responsibility for delivery linked into annual appraisal system, using established delivery process and ways of working (agreed NPA grant procedures/criteria) compliant with state aid requirements, holding regular team meetings to review progress and share good practice, making most of established working relationships with partners and land managers, have additional capacity if required through local consultant, externally funded schemes contributing to wildlife corridor delivery, original rationales in place against which can judge progress of delivery, annual reporting to Members via NPA/Scrutiny Committee									
Probability	M	Objectives	H	Financial	M	Services	M	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	201/23 - Develop and implement delivery plans into longer term pipeline of works - ongoing					NYM DIR CONSERV	Wed-31-Jan-18		90%		
Reduction	201/24 - Review delivery so far and assess achievements so can help understand level of delivery on desired outcomes					NYM DIR CONSERV	Fri-30-Jun-17	Mon-31-Jul-17	100%		
Reduction	201/25 - Review rationales to make sure up to date with the ecological priorities of the North York Moors, current best practice and new understanding of target species requirements, whilst at the same time ensuring no harm is caused to non-target species and change is sustainable; completion dependent on appointment of Head of Natural Environment.					NYM DIR CONSERV	Sat-31-Mar-18		75%		
Reduction	201/26 - Further develop ongoing monitoring process – 1. Agreement objectives 2. Wider/longer term habitat change 3. Landscape functionality for species					NYM DIR CONSERV	Sat-31-Mar-18		60%		
Reduction	201/31 - Improve communication/promotion of habitat connectivity concepts and NPA's objectives/progress. Engage NPA staff/Members and the public and increase involvement. Much clearer process for assessing and monitoring performance					NYM DIR CONSERV	Sat-31-Mar-18		60%		
Reduction	201/32 - Look for opportunities to deliver effectively on a large scale and think strategically, whilst maintaining a legally compliant and value for money approach - ongoing					NYM DIR CONSERV	Sat-31-Mar-18		90%		
Reduction	201/34 - Consider and respond to external risks including changes to agri-environment support, impacts of Brexit, changes in land ownership, and pressure created by other targets (ongoing)					NYM DIR CONSERV	Sat-31-Mar-18		75%		
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	L	Services	L	Reputation	L	Category	4
Phase 5 - Fallback Plan											
Fallback Plan									Action Manager		



Risk Register: Final position for 2017/18

Phase 1 - Identification											
Risk Number	201/492	Risk Title	201/492 - Volunteer Strategy				Risk Owner	NYM CEO		Manager	NYM DIR PS
Description	Failure to deliver the Volunteer Strategy resulting in inability to support staff, maintain and enhance the delivery of services and outcomes including public health and engagement					Risk Group			Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Well established and respected Volunteer service, Member commitment, strategy agreed, policies and procedures in place, volunteer liaison groups, budget agreed, volunteer reserve list, training for volunteers in place, Volunteer team in place; Code of Practice for volunteers; "my volunteer" volunteer management software implemented; training plan for staff and volunteers developed;								
Probability	M	Objectives	H	Financial	M	Services	M	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	201/221 - Implement "my volunteer" volunteer management software and establish use by volunteers and across all departments					NYM DIR PS	Sat-31-Mar-18	Tue-31-Oct-17	100%		
Reduction	201/222 - Implement the 'One team' approach (ongoing)					NYM DIR PS	Tue-31-Mar-20		75%		
Reduction	201/223 - Develop a training plan for staff and volunteers					NYM DIR PS	Fri-30-Jun-17	Tue-31-Oct-17	100%		
Reduction	201/224 - Deliver the training plan for staff and volunteers (ongoing)					NYM DIR PS	Sat-31-Mar-18		90%		
Reduction	201/225 - Develop role of and continue recruitment of Volunteer task leaders (ongoing)					NYM DIR PS	Sat-31-Mar-18		90%		
Reduction	201/226 - Ensure all Associate Volunteer Groups are party to standard contractual arrangements (ongoing)					NYM DIR PS	Sat-31-Mar-18	Tue-31-Oct-17	100%		
Reduction	201/227 - Keep insurance/health and safety policies and procedures for volunteering under review and continue to check staff are aware of the policies and procedures (ongoing)					NYM DIR PS	Sat-31-Mar-18		80%		
Reduction	201/228 - Review and implement changes to volunteer recruitment mechanisms including website					NYM DIR PS	Sun-31-Dec-17		80%		
Reduction	201/229 - Deliver volunteering elements of all projects (ongoing)					NYM DIR PS	Sat-31-Mar-18		90%		
Reduction	201/230 - Monitor volunteer strategy activity and adapt strategy appropriately (ongoing)					NYM DIR PS	Sat-31-Mar-18		75%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	L	Services	L	Reputation	L	Category	5
Phase 5 - Fallback Plan											
Fallback Plan									Action Manager		



Risk Register: Final position for 2017/18

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.					Risk Group	Strategic		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			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;								
Probability	M	Objectives	H	Financial	M	Services	M	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed	%	
Reduction	201/233 - Continue to ensure adequate resources are in place for production of Local Plan (ongoing)						NYM DoP	Sat-31-Mar-18		85%	
Reduction	201/234 - Develop and implement a communication and engagement strategy for the Local Plan						NYM DoP	Sat-31-Mar-18	Mon-31-Jul-17	100%	
Reduction	201/279 - Manage the process of the Local Plan preparation (ongoing)						NYM DoP	Sat-31-Mar-18		75%	
Reduction	201/1282 - Ensure integration of the Local Plan with the Management Plan refresh and the Business Plan						NYM DoP	Sat-31-Mar-18		80%	
Reduction	201/1289 - Ensure effective liaison with key stakeholder organisations, business owners, residents and visitors						NYM DoP	Sat-31-Mar-18		60%	
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	L	Services	L	Reputation	L	Category	5
Phase 5 - Fallback Plan											
Fallback Plan									Action Manager		



Risk Register: Final position for 2017/18

Phase 1 - Identification											
Risk Number	201/203	Risk Title	201/203 - Health and Safety			Risk Owner	NYM CEO		Manager	NYM DIR CS	
Description	Failure to meet Health and Safety statutory requirements and ensure the appropriate culture is embedded in relation to staff, Members, volunteers, service users and contractors resulting in possible loss of life/serious injuries, prosecution, claims, media attention, fines.				Risk Group	Health and Safety		Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Health and Safety policies; risk assessments; annual action plans; periodic reviews (internal and external); responsibility in job descriptions; training; guidance documents; regular managerial monitoring; strengthened reporting processes and checks on compliance; Health and Safety champion and departmental reps; external assessments; standard contract wordings with contractors; volunteers are briefed on H&S; expertise SLA with NYCC extended in 2017/18 to provide additional support; routinely discussed at team meetings and Directors meetings; H&S Policies to ensure compliance with legislation reviewed including engaging an external specialist to review the framework periodically; external audit carried out 2017 on volunteer service health and safety processes; H&S performance assessed by Directors; All Departments have targets to carry out spot checks on staff, volunteers and contractors and Directors have individual spot check targets to support this; corporate H&S performance assessed using LGA matrix; scope of contracts/agreements with associate volunteer groups etc agreed; Health and Safety contract with NYCC; Health and Safety survey results analysed to develop a plan to address any issues raised;								
Probability	L	Objectives	L	Financial	M	Services	M	Reputation	H	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	201/193 - Continue SLA with NYCC to provide 'safety net' cover and access to more specialist health and safety expertise; contract now let					NYM DIR CS	Sat-31-Mar-18	Sun-30-Apr-17	100%		
Reduction	201/206 - Continue to monitor external developments in Health and Safety (ongoing)					NYM DIR CS	Sat-31-Mar-18		90%		
Reduction	201/1296 - Ensure volunteers are fully integrated and continue to comply with H&S procedures and practices as the role of the volunteer is extended (ongoing)					NYM DIR CS	Sat-31-Mar-18		90%		
Reduction	201/1303 - Engage and engender ownership in staff of Health & Safety via a series of different methods e.g. training, bulletin, posters, departmental meetings, team meetings (ongoing)					NYM DIR CS	Sat-31-Mar-18		90%		
Reduction	201/1305 - Provide information for the progress report to members quarterly to allow scrutiny of actions (ongoing)					NYM DIR CS	Sat-31-Mar-18		90%		
Reduction	201/1306 - Implement agreed annual health & safety action plan for 2017/18					NYM DIR CS	Sat-31-Mar-18		80%		
Reduction	201/1312 - Analyse the results of the Health and Safety survey to develop a plan to address any issues raised					NYM DIR CS	Fri-30-Jun-17	Mon-31-Jul-17	100%		
Reduction	201/1314 - Review the health and safety training programme to ensure full compliance and identify any gaps in provision for paid staff/volunteers					NYM DIR CS	Wed-31-Jan-18		75%		
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	Sat-31-Mar-18		90%		
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: Final position for 2017/18

Phase 1 - Identification											
Risk Number	201/491	Risk Title	201/491 - Minerals and Waste Development Framework				Risk Owner	NYM CEO		Manager	NYM DoP
Description	Failure to submit a Minerals and Waste Local Plan by end of March 2018 as the basis for development management decision-making resulting in risk of legal challenge through judicial review, and appeals resulting in financial and workload implications, adverse implications for the local economy and environment, risk of National Government passing on European fines					Risk Group		Risk Type			
Phase 2 - Current Assessment											
Current Control Measures		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;									
Probability	L	Objectives	H	Financial	H	Services	M	Reputation	H	Category	3
Phase 3 - Risk Reduction Actions											
Reduction	201/195 - Work closely with North Yorkshire County Council and City of York Council on joint Minerals and Waste Development Strategy					Action Manager	NYM DoP	Action by	Sat-31-Mar-18	Completed	95%
Reduction	201/196 - Continue to review progress against LDF milestones, review and update milestones as necessary, particularly in light of Duty to Co-operate					Action Manager	NYM DoP	Action by	Sat-31-Mar-18	Completed	85%
Reduction	201/199 - Continue to monitor new developments eg fracking, using planning officers society and peer groups effectively					Action Manager	NYM DoP	Action by	Sat-31-Mar-18	Completed	60%
Reduction	201/201 - Ensure access to high level legal input for review requirements					Action Manager	NYM DoP	Action by	Sat-31-Mar-18	Completed	80%
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					Action Manager	NYM DoP	Action by	Sat-31-Mar-18	Completed	60%
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	L	Reputation	H	Category	3
Phase 5 - Fallback Plan											
Fallback Plan										Action Manager	



Risk Register: Final position for 2017/18

Phase 1 - Identification												
Risk Number	201/495	Risk Title	201/495 - 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 for procurement, grants, income and expenses, effective separation of duties for Finance staff, Ethical Code, Staff and Member Codes of Conduct, Audit (Internal and External), Whistleblowing Policy and external Officer, organisational culture through our corporate values and continued external scrutiny of day to day financial systems via the collaboration agreement with NYCC ; anti virus software is regularly updated, electronic payment channels consistent with Payment Card Industry Standards; all systems backed up and disaster recovery arrangements tested; annual Audit Plan to ensure that systems are tested; Map compliance with the latest CIPFA Code and guidance;									
Probability	L	Objectives	L	Financial	M	Services	L	Reputation	H	Category	3	
Phase 3 - Risk Reduction Actions												
						Action Manager	Action by	Completed	%			
Reduction	201/1290 - Development of an annual Audit Plan to ensure that systems are tested					NYM DIR CS	Thu-31-Aug-17	Mon-31-Jul-17	100%			
Reduction	201/1291 - Implement recommendations of agreed action plan as a result of annual Audit Plan work					NYM DIR CS	Sat-31-Mar-18		0%			
Reduction	201/1292 - Development of a Fraud Strategy to identify linkage with existing policies and practice. Make recommendations and report back to FRASC					NYM DIR CS	Wed-31-Jan-18		0%			
Reduction	201/1295 - The continuation of the use of independent outside investigators to work on counter fraud activity					NYM DIR CS	Sat-31-Mar-18		0%			
Reduction	201/1304 - Map compliance with the latest CIPFA Code and guidance and draw up an action plan					NYM DIR CS	Fri-30-Jun-17	Fri-30-Jun-17	100%			
Phase 4 - Post Risk Reduction Assessment												
Probability	L	Objectives	M	Financial	L	Services	M	Reputation	H	Category	3	
Phase 5 - Fallback Plan												
Fallback Plan									Action Manager			



Risk Register: Final position for 2017/18

Phase 1 - Identification											
Risk Number	201/489	Risk Title	201/489 - Profile of the Park (Business Plan Strategic Priority)				Risk Owner	NYM CEO		Manager	NYM DIR PS
Description	Failure to raise the profile of the National Park by promoting tourism, sustaining and improving tourism activity, and conveying NPA messages, including inability to secure necessary resources resulting in loss of opportunity to raise awareness and deliver our Second Purpose and Duty					Risk Group	Second Purpose		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Failure to raise the profile of the National Park by promoting tourism, sustaining and improving tourism activity, and conveying NPA messages, including inability to secure necessary resources resulting in loss of opportunity to raise awareness and deliver our Second Purpose and Duty, CCF Funding secured,								
Probability	L	Objectives	H	Financial	L	Services	L	Reputation	M	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	201/27 - Continue to focus on influencing Welcome to Yorkshire and other Partners (Visit England, Scarborough BC, Visit Britain, NYM Tourism Network, LEP) to promote NPs effectively (ongoing)					NYM CEO NYM DIR PS	Sat-31-Mar-18		90%		
Reduction	201/28 - Continue to develop status of NP in promotional media (ongoing)					NYM DIR PS	Sat-31-Mar-18		90%		
Reduction	201/29 - Continue to develop work on North York Moors brand and ensure consistency (ongoing)					NYM DIR PS	Sat-31-Mar-18		90%		
Reduction	201/30 - Continue search for opportunities for positive National Media coverage (ongoing)					NYM DIR PS	Sat-31-Mar-18		90%		
Reduction	201/33 - Work to influence appropriate agencies and potential funders to improve road signage and boundary signs for the NP as a destination					NYM DIR PS	Sat-31-Mar-18		90%		
Reduction	201/197 - Implement Events Plan (annually)					NYM DIR PS	Sat-31-Mar-18	Wed-31-Jan-18	100%		
Reduction	201/198 - Develop and implement the Communications Strategy (postponed to 18/19)					NYM DIR PS	Sat-31-Mar-18		0%		
Reduction	201/200 - Deliver the Destination Moors and Dales Project and strengthen the role of NYM Destination Partnership					NYM DIR PS	Sun-31-Mar-19		75%		
Reduction	201/216 - Secure round 4 of CCF Funding					NYM DIR PS	Fri-30-Jun-17	Mon-31-Jul-17	100%		
Reduction	201/218 - Deliver tourism and local distinctiveness grant scheme (annually)					NYM DIR PS	Sat-31-Mar-18		90%		
Reduction	201/219 - Continue to update and improve website					NYM DIR PS	Sat-31-Mar-18		75%		
Reduction	201/231 - Deliver / develop recreational and tourism elements of TELOI and RyeVitalise (annually)					NYM DIR PS	Sat-31-Mar-18		90%		
Reduction	201/232 - Ensure future major projects include consideration of promotion if applicable (ongoing)					NYM DIR PS	Sat-31-Mar-18		75%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	L	Services	L	Reputation	L	Category	5
Phase 5 - Fallback Plan											
Fallback Plan											
	Action Manager										



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 in the Business Plan. Failure to continue to develop and implement the Income generation strategy and property strategy. Such failures may result in limiting the ability to deliver Purposes.					Risk Group	Finance	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			High level of efficiency; low unit costs; restructure and refocus carried out; reserves reviewed for adequacy; budget monitoring processes; engagement with Defra and other partners; focus on income generation and seeking opportunities to optimise income; be more opportunistic in approach to external funding; effective day to day financial management; Financial Settlement from Defra received January 2016 to 2020; MTFs in place in refreshed Business Plan 2017-2020; NY Moors Trust established; Financial Framework developed to enable appropriate decision taking; Grants to third parties and future budget splits agreed;								
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	M	Category	5
Phase 3 - Risk Reduction Actions											
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)					Action Manager	All Mgt Board	Action by	Sat-31-Mar-18	Completed	90%
Reduction	201/20 - Continue to monitor performance of the income generating services against monetary expectations (ongoing)					Action Manager	All Directors	Action by	Sat-31-Mar-18	Completed	90%
Reduction	201/22 - Continue to link service delivery to performance and resources to ensure value for money and monitor outcomes					Action Manager	All Members / Mgt Board	Action by	Sat-31-Mar-18	Completed	90%
Reduction	201/1281 - Complete assessment contributions of current assets to NPA objectives and the possibilities of income generation and prepare and implement Business Plans for Visitors' Centres including Feasibility Study at SB - Key action					Action Manager	All Directors NYM CEO	Action by	Sat-31-Mar-18	Completed	50%
Reduction	201/1283 - Implement Trust to bring new resources into the North York Moors					Action Manager	All Directors NYM CEO	Action by	Sat-31-Mar-18	Completed	Wed-31-Jan-18 100%
Reduction	201/1287 - Greater usage of existing mechanism to increase funding within the National Park through planning and work with LEP to develop spatial plan to develop funding opportunities (ongoing)					Action Manager	All Directors NYM CEO	Action by	Sat-31-Mar-18	Completed	90%
Reduction	201/1288 - External funding initiatives and Corporate Sponsorship with NPE, NPUK and other NPAs (ongoing)					Action Manager	All Directors NYM CEO	Action by	Sat-31-Mar-18	Completed	50%
Reduction	201/1293 - Develop a plan for refurbishment and maintenance work of Old Vicarage & Beaconsfield Premises					Action Manager	NYM DIR CS	Action by	Wed-31-Jan-18	Completed	70%
Reduction	201/1294 - Grants to third parties – undertake process and rates review					Action Manager	NYM DIR CONSERV	Action by	Sat-31-Mar-18	Completed	0%
Reduction	201/1313 - Grants to third parties – agree future budget splits					Action Manager	NYM DIR CS	Action by	Sun-30-Apr-17	Completed	Tue-28-Feb-17 100%
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	M	Services	M	Reputation	L	Category	5
Phase 5 - Fallback Plan											



Risk Register: Final position for 2017/18

Fallback Plan		Action Manager








Risk Register: Final position for 2017/18 - summary

Risk No	Risk Title	Identity Risk Description	Person		Classification													
			Risk Owner	Risk Manager	Pre						RR		Post					
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat
◀▶	201/464 - Sirius Minerals Polyhalite Mine - Implementation	Failure to deliver the terms of the Section 106 agreement and effectively manage the planning implementation aspects of the development 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	H	H	H	H	H	1	7	31/01/2018	M	M	H	M	H	2
◀▶	201/490 - Young People (Business Plan Strategic Priority)	Failure to deliver targets relating to inspiring young people to understand and experience the North York Moors and be actively involved in its future	NYM CEO	NYM DIR PS	H	H	L	L	M	1	12	31/01/2018	L	L	L	L	L	5
◀▶	201/488 - Wildlife Corridors (Business Plan Strategic Priority)	Failure to establish wildlife corridors in the National Park resulting in inability for animals and plants to move around the landscape and flourish.	NYM CEO	NYM DIR CONSERV	M	H	M	M	M	2	7	31/01/2018	M	M	L	L	L	4
◀▶	201/492 - Volunteer Strategy	Failure to deliver the Volunteer Strategy resulting in inability to support staff, maintain and enhance the delivery of services and outcomes including public health and engagement	NYM CEO	NYM DIR PS	M	H	M	M	M	2	10	31/12/2017	L	L	L	L	L	5
◀▶	201/460 - Local Plan	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.	NYM CEO	NYM DoP	M	H	M	M	H	2	5	31/03/2018	L	L	L	L	L	5
◀▶	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	L	L	M	M	H	3	9	31/01/2018	L	L	M	M	H	3
◀▶	201/491 - Minerals and Waste Development Framework	Failure to submit a Minerals and Waste Local Plan by end of March 2018 as the basis for development management decision-making resulting in risk of legal challenge through judicial review, and appeals resulting in financial and workload implications, adverse implications for the local economy and environment, risk of National Government passing on European fines	NYM CEO	NYM DoP	L	H	H	M	H	3	5	31/03/2018	L	M	H	L	H	3
◀▶	201/495 - Fraud and Corruption	Failure to detect and act upon fraudulent or corrupt activity resulting in financial loss to the authority.	NYM CEO	NYM DIR CS	L	L	M	L	H	3	5	31/01/2018	L	M	L	M	H	3



Risk Register: Final position for 2017/18 - 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
	201/489 - Profile of the Park (Business Plan Strategic Priority)	Failure to raise the profile of the National Park by promoting tourism, sustaining and improving tourism activity, and conveying NPA messages, including inability to secure necessary resources resulting in loss of opportunity to raise awareness and deliver our Second Purpose and Duty	NYM CEO	NYM DIR PS	L	H	L	L	M	3	13	31/03/2018	L	M	L	L	L	5
	201/158 - Financial Strategy	Failure to implement the Medium Term Financial Strategy in the Business Plan. Failure to continue to develop and implement the Income generation strategy and property strategy. Such failures may result in limiting the ability to deliver Purposes.	NYM CEO	NYM DIR CS	L	M	M	M	M	5	10	31/01/2018	L	L	M	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

