

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

16 November 2020

### Corporate Risk Register

#### 1. Purpose of the Report

- 1.1 To seek Members' views on proposed amendments to the Authority's 2020/21 Corporate Risk Register (CRR) and approve the updated Register.

#### 2. Background

- 2.1 The Authority's CRR was approved by Members at the Authority meeting in March 2020. Since then there has been very considerable unforeseen change caused by c-19 and the national reaction to the pandemic, which has had a significant knock-on effect to the Authority's finances and activities.
- 2.2 The purpose of this report is to outline Officers' views on the effect of the pandemic on the CRR and the additional risks created both by this and the external financial environment. The pandemic has now been significantly affected the UK for 8 months and it appears to be likely that this will continue well into 2021.
- 2.3 The effects of c-19 on the Authority's budgets have been well documented and Members approved a very significant in-year revision to the budget. The way in which staff have had to work in response to the pandemic has resulted in the biggest change to office based working practices since the widespread introduction of PCs well over 20 years ago.
- 2.4 C-19 restrictions have slowed the progress of most practical outdoor tasks due to the additional precautions put in place. In addition volunteering activity has been significantly reduced as a result of the wide ranging national measures put in place at different times since mid-March.
- 2.5 A report was presented to the September meeting of this Committee outlining Officers' initial thoughts on how this all impacted on the CRR for the remainder of the year. Members made a number of helpful comments some of which have been incorporated into this update of the CRR. Other wider ranging comments about the external environment will be considered further when the CRR is fully reviewed in January 2021.

#### 3. Corporate Risk Register 2020/21

- 3.1 The original CRR was updated by the Chief Executive and Senior Leadership Team, prior to discussion and approval at February FRASC and subsequent approval by the full Authority in March.
- 3.2 While there were no Category 1 risks, the annual review increased the number of Category 2 risks from three to five. Officers' assessment of the effect of c-19 and other factors on these risks is as follows;

**Climate Change Arrangements for the NPA** – no change at the moment. It is worth noting, however, that the successful implementation of greater home working following the pandemic provides an opportunity to significantly cut carbon emissions as result of commuting and, potentially, needing less office space in the medium to

longer term. Recruitment is currently underway to the Climate Change Officer role, jointly funded with Scarborough Borough Council.

- **Financial Strategy** – the increase in the risk category from 3 to 2 was as a result of continued external financial uncertainty for 2020/21 and this was before the nature of the pandemic became apparent. While a revised budget has been put in place to take account of lost income, there are longer term concerns about income generated by the Authority and the level of DEFRA grant settlement for 2021/22. The latter remains uncertain and the Medium Term Financial Strategy, covered elsewhere in the papers for this meeting, has reflected this with the consequent reduction of funds for a number of budgets. The Authority's revised budget balances and Officers believe that the financial risk for 2020/21 is under control and therefore propose that this risk level should remain at Category 2 this year, but will potentially increase to Category 1 next year.
- **Marine and Terrestrial Wildlife and Biodiversity** – no change.
- **Capacity and Resilience** – in 2019/20, this was reduced to a Category 2 risk. For this year, it was noted that careful management was still required to ensure that the Authority's ambitious work programme was delivered effectively. The effect of the pandemic has been to place considerable additional burden on several groups of staff to both deal with pandemic related work and deliver existing work programmes. Key staff members have been diverted to work almost exclusively on c-19 matters; communication within teams has remained good, but inter team communication has undoubtedly been made harder by most staff having little, if any, face to face contact with each other. This can, to a large extent, be replaced by the sensible use of available technology. The speed of transition from office to home based working, however, means that development work needs to be undertaken to ensure that all staff have the right skills in place to work and thrive in this new environment. It is Officers' view that the risk level here has increased considerably this year and it should return to a Category 1 risk.
- **Minerals Development Pressure on the Park** – no change, although a close eye will need to be kept on planning developments at a national level. The Boulby Mine planning application has now been received and is being assessed. There is a PPA to cover the costs of outside expertise, but there may be some additional future costs for the Authority for potential legal and s106 work.
- Both **Health and Safety** and the **Woodsmith Mine - Implementation** were rated as Category 3 risks. There is no change proposed for the latter.

The additional health and safety burdens, as a result of the pandemic, are considerable both in their scope and complexity as well as the repercussions if incorrect judgements are made. The significant impact of large numbers of additional visitors both at Sutton Bank and key sites around the National Park has been problematic at times and resources have been diverted away from other areas to manage the issues caused

Work in relation to health and safety matters for volunteers has concentrated on c-19 matters and not the wider communication plan envisaged. In view of the reduction in volunteering, Officers expect this action to be carried over into 2021/22. The Corporate Health and Safety assessment has been postponed to allow the new CEO sufficient time with the Authority to be able to play a meaningful role, but will be completed this year. Planned training with Members has not taken place due to the difficulties of meeting due to c-19, but Officers are keen that this should go ahead and Members' views on this would be welcome.

The additional workload to manage risk and the cost associated with c-19 are not likely to disappear at any point during 2020/21 and so it is proposed that this risk level should be raised to Category 2.

**4. Financial Implications**

4.1 There are no financial implications resulting directly from this report.

**5. Legal and Sustainability Implications**

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

**6. Recommendation**

6.1 That Members comment on Officers' proposals to amend the risk categories as outlined in part 3 of this report.

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**Background documents to this report**

**File Ref.**

1. FRASC Papers June, September and November 2019 and February, September 2020
2. NPA Paper March 2020



## North York Moors National Park Authority – Strategic

Risk Register: November 2020 update – detailed

| Phase 1 - Identification                 |  |                   |   |                  |   |                                      |                   |                   |                  |                       |   |
|--|--|-------------------|---|------------------|---|--------------------------------------|-------------------|-------------------|------------------|-----------------------|---|
| <b>Risk Number</b>                       | 201/560  | <b>Risk Title</b> | 201/560 - Climate Change Arrangements for the Park Authority  |                  |   |                                      | <b>Risk Owner</b> | NYM CEO           |                  | <b>Manager</b>        |   |
| <b>Description</b>                       | Failure to achieve net carbon zero or positive for the National Park Authority by 2030 resulting in inability to meet public expectations, and management of impact of extreme climate events.         |                   |   |                  |   | <b>Risk Group</b>                    | Strategic         |                   | <b>Risk Type</b> |                       |   |
| Phase 2 - Current Assessment             |  |                   |   |                  |   |                                      |                   |                   |                  |                       |   |
| <b>Current Control Measures</b>          |  |                   | Many long standing reductions in energy use; good working practices; secondary glazing in buildings where possible and appropriate; Members seminar arranged; member of All Parks Climate Change Action Group; decision made to procure carbon efficient/electric vehicles by 2024; Time given for rail/sea travel so no flights funded; carbon off setting programme by appropriate tree planting; |                  |   |                                      |                   |                   |                  |                       |   |
| <b>Probability</b>                       | H  | <b>Objectives</b> | M   | <b>Financial</b> | L | <b>Services</b>                      | M                 | <b>Reputation</b> | H                | <b>Category</b>       | 1 |
| Phase 3 - Risk Reduction Actions         |  |                   |   |                  |   |                                      |                   |                   |                  |                       |   |
|  |  |                   |   |                  |   | <b>Action Manager</b>                | <b>Action by</b>  | <b>Completed</b>  | <b>%</b>         |                       |   |
| <b>Reduction</b>                         | 201/18 - Re-boot management of volunteers and fleet mileage to further reduce carbon emissions   |                   |   |                  |   | NYM DIR PS<br>NYM Ho CS              | Wed-31-Mar-21     |                   | 50%              |                       |   |
| <b>Reduction</b>                         | 201/1282 - Initiate procurement to move to electric vehicles   |                   |   |                  |   | NYM CEO<br>NYM Ho CS                 | Tue-31-Mar-20     | Sat-31-Oct-20     | 100%             |                       |   |
| <b>Reduction</b>                         | 201/1289 - Carry out a volunteers skills audit to capture existing knowledge on climate changes to enable better sharing of knowledge  |                   |   |                  |   | NYM Ho CS                            | Wed-31-Mar-21     |                   | 20%              |                       |   |
| <b>Reduction</b>                         | 201/1290 - Develop and implement training on response to climate change issues and enhance skills and knowledge  |                   |   |                  |   | NYM DIR CONSERV<br>NYM Ho CS         | Wed-31-Mar-21     |                   | 0%               |                       |   |
| <b>Reduction</b>                         | 201/1295 - Update longstanding climate change policies for the Authority   |                   |   |                  |   | NYM DoP<br>NYM Ho SP<br>NYM Mgt Team | Wed-31-Mar-21     |                   | 0%               |                       |   |
| <b>Reduction</b>                         | 201/1392 - Continue to reduce energy use in buildings (ongoing)  |                   |   |                  |   | NYM DIR PS<br>NYM Ho CS              | Wed-31-Mar-21     |                   | 0%               |                       |   |
| <b>Reduction</b>                         | 201/1742 - Continue to reduce energy use in vehicles and other travel (ongoing)  |                   |   |                  |   | NYM DIR PS<br>NYM Ho CS              | Wed-31-Mar-21     |                   | 0%               |                       |   |
| <b>Reduction</b>                         | 201/1748 - Explore and find financial support to secure resources to carry out climate change work; continue to fund/recruit Climate Change Officer post jointly with Scarborough BC.                  |                   |   |                  |   | NYM Members<br>NYM Mgt Team          | Wed-31-Mar-21     |                   | 50%              |                       |   |
| <b>Reduction</b>                         | 201/1884 - Review grant criteria to encourage environmentally positive activity  |                   |   |                  |   | NYM Mgt Team                         | Wed-31-Mar-21     |                   | 0%               |                       |   |
| <b>Reduction</b>                         | 201/1885 - Continue to work with Partners to achieve net carbon zero (ongoing)   |                   |   |                  |   | NYM Mgt Team                         | Wed-31-Mar-21     |                   | 0%               |                       |   |
| <b>Reduction</b>                         | 201/1945 - Consider how the use of technology can ensure that the Authority's public services are delivered effectively with a significant element of home working for the majority of staff post c-19 |                   |   |                  |   | NYM Mgt Team                         | Wed-31-Mar-21     |                   | 25%              |                       |   |
| Phase 4 - Post Risk Reduction Assessment |  |                   |   |                  |   |                                      |                   |                   |                  |                       |   |
| <b>Probability</b>                       | M  | <b>Objectives</b> | M   | <b>Financial</b> | L | <b>Services</b>                      | M                 | <b>Reputation</b> | H                | <b>Category</b>       | 2 |
| Phase 5 - Fallback Plan                  |  |                   |   |                  |   |                                      |                   |                   |                  |                       |   |
| <b>Fallback Plan</b>                     |  |                   |   |                  |   |                                      |                   |                   |                  | <b>Action Manager</b> |   |

# North York Moors National Park Authority – Strategic

Risk Register: November 2020 update – detailed

## Appendix 1

| Phase 1 - Identification         |  |            |  |           |   |                          |               |            |           |          |           |
|----------------------------------|--|------------|--|-----------|---|--------------------------|---------------|------------|-----------|----------|-----------|
| Risk Number                      | 201/158  | Risk Title | 201/158 - Financial Strategy   |           |   |                          | Risk Owner    | NYM CEO    |           | Manager  | NYM Ho CS |
| Description                      | Failure to implement the Medium Term Financial Strategy with sufficient resilience. Significant loss of income due to ongoing c-19 pandemic, failure to spend remaining budget on time due to c-19 restrictions and consequent failure to deliver agreed outputs. National financial issues as a result of c-19 adversely affecting future levels of National Park Grant and availability of external funding opportunities. Failure to continue to develop and implement the Income generation strategy and property strategy. Failure to detect and act upon fraudulent or corrupt activity. Such failures may result in limiting the ability to deliver statutory purposes and financial loss to the Authority. Increasing external uncertainty may become a more significant factor over the next 12 months. |            |  |           |   | Risk Group               | Finance       |            | Risk Type |          |           |
| Phase 2 - Current Assessment     |  |            |  |           |   |                          |               |            |           |          |           |
| Current Control Measures         |  |            | <p><b>Financial Strategy controls:</b> High level of efficiency; low unit costs; restructure and refocus carried out recently; reserves reviewed for adequacy; established budget monitoring processes; engagement with Defra and other partners; focus on income generation and seeking opportunities to optimise income; more opportunistic in approach to external funding; effective day to day financial management; Financial Settlement from Defra received January 2016 to 2020; 4 year rolling MTFS in place in refreshed Business Plan 2017-2020; NYNP Charitable Trust established; Financial Framework developed to enable appropriate decision taking; Grants to third parties and future budget splits agreed;</p> <p><b>Fraud and Corruption controls:</b> Financial Regulations, internal control checks for procurement, grants, income and expenses, effective separation of duties for Finance staff; well established Ethical Code, Staff and Member Codes of Conduct, regular audits (Internal and External), Whistleblowing Policy and external Officer; organisational culture through our corporate values and continued external scrutiny of day to day financial systems via the collaboration agreement with NYCC ; further resources secured for the management of financial affairs via the collaboration agreement; anti-virus software is regularly updated, electronic payment channels consistent with Payment Card Industry Standards; all systems backed up and disaster recovery arrangements tested; annual Audit Plan to ensure that systems are tested; Map compliance with the latest CIPFA Code and guidance; use of independent outside investigators to work on counter fraud activity;</p> |           |   |                          |               |            |           |          |           |
| Probability                      | H  | Objectives | M  | Financial | H | Services                 | M             | Reputation | H         | Category | I         |
| Phase 3 - Risk Reduction Actions |  |            |  |           |   |                          |               |            |           |          |           |
|                                  |  |            |  |           |   | Action Manager           | Action by     | Completed  | %         |          |           |
| Reduction                        | 201/19 - Manage expectations of Stakeholders (agencies, public, staff, volunteers etc) and ensure that additional resources are allocated in a clear and transparent way (ongoing)   |            |  |           |   | All Mgt Board            | Wed-31-Mar-21 |            | 50%       |          |           |
| Reduction                        | 201/20 - Continue to monitor performance of the income generating services against monetary expectations (ongoing)   |            |  |           |   | All Directors            | Wed-31-Mar-21 |            | 60%       |          |           |
| Reduction                        | 201/22 - Continue to link service delivery to performance and resources to ensure value for money and monitor outcomes   |            |  |           |   | All Members / Mgt Board  | Wed-31-Mar-21 |            | 60%       |          |           |
| Reduction                        | 201/1281 - Agree and deliver on precise targets for additional car park income generated as a result of new ventures   |            |  |           |   | All Directors<br>NYM CEO | Wed-31-Mar-21 |            | 0%        |          |           |
| Reduction                        | 201/1283 - Provide support to the Trust to bring new resources into the North York Moors   |            |  |           |   | All Directors<br>NYM CEO | Wed-31-Mar-21 |            | 60%       |          |           |
| Reduction                        | 201/1288 - Continue external funding initiatives (ongoing)   |            |  |           |   | All Directors<br>NYM CEO | Wed-31-Mar-21 |            | 60%       |          |           |
| Reduction                        | 201/1293 - Continue to horizon scan to identify and quantify changes to assumptions which underpin the MTFS and annual budget recognising the complexity and interdependencies (ongoing)   |            |  |           |   | NYM Ho CS                | Wed-31-Mar-21 |            | 60%       |          |           |

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Risk Register: November 2020 update – detailed

|   |  |  |               |                  |      |                 |   |                   |   |                       |   |
|---|--|--|---------------|------------------|------|-----------------|---|-------------------|---|-----------------------|---|
| <b>Reduction</b>                                | 201/1737 - Continue to implement recommendations from an agreed Counter Fraud action plan as a result of annual Audit Plan work. (ongoing)   | NYM Ho CS                                | Wed-31-Mar-21 |                  | 60%  |                 |   |                   |   |                       |   |
| <b>Reduction</b>                                | 201/1874 - Review outcome of LEP integration and funding opportunities including National Park review  | NYM CEO<br>NYM CS EFO<br>NYM DIR CONSERV | Wed-31-Mar-21 |                  | 0%   |                 |   |                   |   |                       |   |
| <b>Reduction</b>                                | 201/1876 - Provide financial training to budget managers (ongoing)   | NYM Ho CS                                | Wed-31-Mar-21 |                  | 50%  |                 |   |                   |   |                       |   |
| <b>Reduction</b>                                | 201/1879 - Implement the actions agreed as part of Veritau's annual internal audit.  | NYM Ho CS                                | Thu-30-Apr-20 | Sat-31-Oct-20    | 100% |                 |   |                   |   |                       |   |
| <b>Reduction</b>                                | 201/1890 - Develop, cost and agree a plan and terms for a review of internal processes and to replace the current system of processing invoices with an electronic system (accruing savings in staff time to be used to further improve support to Authority). | NYM Ho Finance                           | Tue-30-Jun-20 | Sat-31-Oct-20    | 100% |                 |   |                   |   |                       |   |
| <b>Reduction</b>                                | 201/1946 - Revise budget in-year to take account of loss of income due to c-19   | NYM Ho Finance                           | Fri-31-Jul-20 | Fri-31-Jul-20    | 100% |                 |   |                   |   |                       |   |
| <b>Reduction</b>                                | 201/1947 - More frequent budget monitoring of both income and expenditure  | NYM Ho Finance                           | Wed-31-Mar-21 |                  | 60%  |                 |   |                   |   |                       |   |
| <b>Phase 4 - Post Risk Reduction Assessment</b> |  |  |               |                  |      |                 |   |                   |   |                       |   |
| <b>Probability</b>                              | M  | <b>Objectives</b>                        | M             | <b>Financial</b> | H    | <b>Services</b> | M | <b>Reputation</b> | M | <b>Category</b>       | 2 |
| <b>Phase 5 - Fallback Plan</b>                  |  |  |               |                  |      |                 |   |                   |   |                       |   |
| <b>Fallback Plan</b>                            | 201/667 - Review and reduce discretionary spend items  |  |               |                  |      |                 |   |                   |   | <b>Action Manager</b> |   |

## North York Moors National Park Authority – Strategic

Risk Register: November 2020 update – detailed

| Phase 1 - Identification                 |   |                   |  |                  |   |                                   |                   |                   |                  |                 |                 |
|--|---|-------------------|--|------------------|---|-----------------------------------|-------------------|-------------------|------------------|-----------------|-----------------|
| <b>Risk Number</b>                       | 201/488   | <b>Risk Title</b> | 201/488 - Marine and Terrestrial Wildlife and Biodiversity   |                  |   |                                   | <b>Risk Owner</b> | NYM CEO           |                  | <b>Manager</b>  | NYM DIR CONSERV |
| <b>Description</b>                       | Failure to increase marine and terrestrial wildlife and biodiversity in the Park resulting in a lesser variety of species, loss of reputation and financial impact.   |                   |  |                  |   | <b>Risk Group</b>                 |                   |                   | <b>Risk Type</b> |                 |                 |
| Phase 2 - Current Assessment             |   |                   |  |                  |   |                                   |                   |                   |                  |                 |                 |
| <b>Current Control Measures</b>          |   |                   | Delivery plans formulated and responsibility for delivery linked into annual appraisal system for individuals; using established delivery process and ways of working (agreed NPA grant procedures/criteria) compliant with state aid requirements; holding regular team meetings to review progress and share good practice; making most of established working relationships with partners and land managers; have additional capacity if required through local consultants; externally funded schemes contributing to wildlife corridor delivery, original rationales in place against which can judge progress of delivery; annual reporting to Members via NPA/Scrutiny Committee. |                  |   |                                   |                   |                   |                  |                 |                 |
| <b>Probability</b>                       | H   | <b>Objectives</b> | H  | <b>Financial</b> | M | <b>Services</b>                   | M                 | <b>Reputation</b> | M                | <b>Category</b> | 1               |
| Phase 3 - Risk Reduction Actions         |   |                   |  |                  |   |                                   |                   |                   |                  |                 |                 |
|  |   |                   |  |                  |   | <b>Action Manager</b>             | <b>Action by</b>  | <b>Completed</b>  | <b>%</b>         |                 |                 |
| <b>Reduction</b>                         | 201/23 - Refresh a Forward Delivery Plan to deliver Business Plan targets   |                   |  |                  |   | NYM DIR CONSERV<br>NYM Ho Nat Env | Tue-31-Mar-20     | Tue-31-Mar-20     | 100%             |                 |                 |
| <b>Reduction</b>                         | 201/24 - Discuss and agree individuals' delivery plans for the next year; Plans agreed through appraisals and monitored closely   |                   |  |                  |   | NYM DIR CONSERV<br>NYM Ho Nat Env | Tue-31-Mar-20     | Tue-31-Mar-20     | 100%             |                 |                 |
| <b>Reduction</b>                         | 201/25 - Review rationales to make sure that they are up to date with the ecological priorities of the North York Moors, current best practice and new understanding of target species requirements, whilst at the same time ensuring no harm is caused to non-target species and change is sustainable (ongoing)                 |                   |  |                  |   | NYM DIR CONSERV<br>NYM Ho Nat Env | Wed-31-Mar-21     |                   | 70%              |                 |                 |
| <b>Reduction</b>                         | 201/26 - Review Departmental delivery plan progress and budgets on a monthly basis  |                   |  |                  |   | NYM DIR CONSERV<br>NYM Ho Nat Env | Wed-31-Mar-21     |                   | 75%              |                 |                 |
| <b>Reduction</b>                         | 201/31 - Improve communication/promotion of habitat connectivity concepts and NPA's objectives/progress with NPA staff/Members, farmers and land owners to explain the benefits and encourage a proactive approach  |                   |  |                  |   | NYM DIR CONSERV                   | Wed-31-Mar-21     |                   | 75%              |                 |                 |
| <b>Reduction</b>                         | 201/32 - Continue to look for opportunities to deliver effectively on a large scale and think strategically, whilst maintaining a legally compliant and value for money approach; Ongoing through Ryevitalise and early thoughts for s106; also discussions with National Trust regarding Bransdale opportunities to be continued |                   |  |                  |   | NYM DIR CONSERV<br>NYM Ho Nat Env | Wed-31-Mar-21     |                   | 75%              |                 |                 |
| <b>Reduction</b>                         | 201/34 - Continue to review our approach and priority for this area following Brexit, Ryevitalise and the ELMS and look for further opportunities   |                   |  |                  |   | NYM DIR CONSERV                   | Wed-31-Mar-21     |                   | 75%              |                 |                 |
| <b>Reduction</b>                         | 201/190 - Work with others including Natural England to ensure their activities are aligned with Park Purposes  |                   |  |                  |   | NYM DIR CONSERV                   | Wed-31-Mar-21     |                   | 50%              |                 |                 |
| <b>Reduction</b>                         | 201/191 - Ensure forest design plans deliver Park Purposes  |                   |  |                  |   | NYM DIR CONSERV                   | Wed-31-Mar-21     |                   | 50%              |                 |                 |
| <b>Reduction</b>                         | 201/192 - Press DEFRA to include wildlife in the 8 point plan for National Parks  |                   |  |                  |   | NYM DIR CONSERV                   | Wed-31-Mar-21     |                   | 50%              |                 |                 |
| Phase 4 - Post Risk Reduction Assessment |   |                   |  |                  |   |                                   |                   |                   |                  |                 |                 |
| <b>Probability</b>                       | M   | <b>Objectives</b> | H  | <b>Financial</b> | M | <b>Services</b>                   | L                 | <b>Reputation</b> | L                | <b>Category</b> | 2               |
| Phase 5 - Fallback Plan                  |   |                   |  |                  |   |                                   |                   |                   |                  |                 |                 |

# North York Moors National Park Authority – Strategic

Risk Register: November 2020 update – detailed

## Appendix 1

|                      |  | Action Manager |
|----------------------|--|----------------|
| <b>Fallback Plan</b> |  |                |

# North York Moors National Park Authority – Strategic

Risk Register: November 2020 update – detailed

## Appendix 1

| Phase 1 - Identification         |  |            |  |           |   |                             |               |               |      |          |              |
|----------------------------------|--|------------|--|-----------|---|-----------------------------|---------------|---------------|------|----------|--------------|
| Risk Number                      | 201/527  | Risk Title | 201/527 - Capacity and Resilience  |           |   |                             | Risk Owner    | NYM CEO       |      | Manager  | NYM Mgt Team |
| Description                      | A lack of capacity and Resilience (including decision making and prioritisation) within the Authority to support the ambitious externally funded work programme and Business Plan aspirations. This results in the potential not to effectively and efficiently plan/work smarter and further National Park purposes, reducing service quality and impact on the health and wellbeing of staff. The c-19 pandemic has significantly exacerbated potential risks, resulting in greater difficulties in ensuring effective communication, staff time being diverted away from BP targets to managing operational effects of the pandemic. Responsibility for managing the Authority's response has fallen unevenly and some key staff members are significantly stretched. |            |  |           |   | Risk Group                  |               | Risk Type     |      |          |              |
| Phase 2 - Current Assessment     |  |            |  |           |   |                             |               |               |      |          |              |
| Current Control Measures         |  |            | Business Plan to 2021 is very clear about the Authority's priorities; SLT now firmly established; some resilience and capacity in key areas has been established (e.g finance and health and safety which are managed via external agreements). Use of reserves for matched funding is carefully planned, prioritised and regularly reported to Members. There is a developing understanding of the impact our changing budget is having on core areas of work; there is some active management of workload through the formal appraisal scheme. |           |   |                             |               |               |      |          |              |
| Probability                      | H  | Objectives | H  | Financial | M | Services                    | H             | Reputation    | M    | Category | I            |
| Phase 3 - Risk Reduction Actions |  |            |  |           |   |                             |               |               |      |          |              |
|                                  |  |            |  |           |   | Action Manager              | Action by     | Completed     | %    |          |              |
| Reduction                        | 201/1734 - Ensure understanding of resource gaps and ability to fill those gaps and encourage and support teams to carry out cross team working (ongoing)  |            |  |           |   | NYM Members<br>NYM Mgt Team | Wed-31-Mar-21 |               | 60%  |          |              |
| Reduction                        | 201/1735 - Perform an analysis of current workforce to include succession planning and recruitment based on future strategic requirements and use to inform strategic workforce development plan   |            |  |           |   | NYM Mgt Team                | Wed-31-Mar-21 |               | 0%   |          |              |
| Reduction                        | 201/1736 - Members and senior officers to ensure that the focus of work is on delivering previously agreed BP targets (ongoing)  |            |  |           |   | NYM Members<br>NYM Mgt Team | Wed-31-Mar-21 |               | 60%  |          |              |
| Reduction                        | 201/1745 - Continue to articulate the message to all staff and Members about the complexity and apparent 'contradictions' in our budget so these are clearly understood (ongoing)  |            |  |           |   | NYM Mgt Team                | Wed-31-Mar-21 |               | 60%  |          |              |
| Reduction                        | 201/1746 - Continue to develop the financial collaboration agreement, (with additional resources from 1 April 2020) to ensure that information is timely, clear and understood by all involved   |            |  |           |   | NYM CEO                     | Wed-31-Mar-21 |               | 60%  |          |              |
| Reduction                        | 201/1880 - Ensure that there is effective communication, liaison and integrated working between teams in different Departments (ongoing)   |            |  |           |   | NYM Mgt Team                | Wed-31-Mar-21 |               | 25%  |          |              |
| Reduction                        | 201/1881 - Ensure that annual Departmental Action Plans focus teams and individuals on essential work relating to the Business Plan targets  |            |  |           |   | NYM Mgt Team                | Wed-1-Apr-20  | Wed-1-Apr-20  | 100% |          |              |
| Reduction                        | 201/1886 - Ensure that the legal services contract with Scarborough BC is renewed from 1 April 2020 for a period of 18 months  |            |  |           |   | NYM Ho CS                   | Tue-31-Mar-20 | Tue-31-Mar-20 | 100% |          |              |
| Reduction                        | 201/1887 - Carry out and complete a recruitment exercise to appoint to the post of Chief Executive   |            |  |           |   | NYM Ho CS                   | Tue-30-Jun-20 | Tue-30-Jun-20 | 100% |          |              |
| Reduction                        | 201/1888 - Carry out a light touch review of Business Plan (full review and update of the Business Plan and Management Plan to take place later in 2021)   |            |  |           |   | NYM Mgt Team                | Wed-31-Mar-21 |               | 25%  |          |              |
| Reduction                        | 201/1889 - Implement the various actions agreed via the Administration Review  |            |  |           |   | NYM Ho CS                   | Wed-31-Mar-21 |               | 25%  |          |              |

# North York Moors National Park Authority – Strategic

## Appendix 1

Risk Register: **November 2020 update – detailed**

|   |   |                           |               |                  |      |                 |   |                   |   |                       |   |
|---|---|---------------------------|---------------|------------------|------|-----------------|---|-------------------|---|-----------------------|---|
| <b>Reduction</b>                                | 201/1891 - Consider issues around delegation and integration across all teams (ongoing)                         | NYM Mgt Team              | Wed-31-Mar-21 |                  | 0%   |                 |   |                   |   |                       |   |
| <b>Reduction</b>                                | 201/1892 - Monitor impact of change of Chief Executive and ensure an appropriate induction plan is put in place | NYM Ho CS<br>NYM Mgt Team | Tue-30-Jun-20 | Tue-30-Jun-20    | 100% |                 |   |                   |   |                       |   |
| <b>Phase 4 - Post Risk Reduction Assessment</b> |   |                           |               |                  |      |                 |   |                   |   |                       |   |
| <b>Probability</b>                              | M   | <b>Objectives</b>         | H             | <b>Financial</b> | M    | <b>Services</b> | H | <b>Reputation</b> | M | <b>Category</b>       | 2 |
| <b>Phase 5 - Fallback Plan</b>                  |   |                           |               |                  |      |                 |   |                   |   |                       |   |
|   |   |                           |               |                  |      |                 |   |                   |   | <b>Action Manager</b> |   |
| <b>Fallback Plan</b>                            |   |                           |               |                  |      |                 |   |                   |   |                       |   |

## North York Moors National Park Authority – Strategic

Risk Register: November 2020 update – detailed

| Phase 1 - Identification                 |  |            |   |           |            |   |                      |            |           |               |           |     |
|--|--|------------|---|-----------|------------|---|----------------------|------------|-----------|---------------|-----------|-----|
| Risk Number                              | 201/493  | Risk Title | 201/493 - Minerals Development Pressure on the Park |           |            |   | Risk Owner           | NYM CEO    |           | Manager       | NYM DoP   |     |
| Description                              | Lack of capacity and resources both within the Authority and partner organisations to deal with the complex issues relating to the actual/potential extraction of minerals (conventional, shale gas and potash) resulting in an inability to effectively assess the environmental impact with the socio economic benefits, negative impact on other Authority work; potential for reputational damage both locally and nationally, legal action, negative financial impact and knock on effects to other work as resources transferred   |            |   |           | Risk Group | First and Second Purpose & Statutory Duty |                      | Risk Type  |           |               |           |     |
| Phase 2 - Current Assessment             |  |            |   |           |            |   |                      |            |           |               |           |     |
| Current Control Measures                 | Professional advice where appropriate, engagement with partner organisations and other involved bodies, recovery of an element of costs through appropriate mechanisms such as Planning Performance Agreement; Legal and Environmental advisors in place, public meetings held when appropriate, regular advice and reporting to Members, dialogue with Govt and local MPs where appropriate; impact assessment on National Park Purposes and possible mitigation measures carried out, public relations activity, financial planning where appropriate, continued commitment to impartiality and objectivity in the determination process; firm "corporate Authority" approach to Fracking in or under the National Park; |            |   |           |            |   |                      |            |           |               |           |     |
| Probability                              | M  | Objectives | H   | Financial | H          | Services                                  | M                    | Reputation | H         | Category      | 2         |     |
| Phase 3 - Risk Reduction Actions         |  |            |   |           |            |   |                      |            |           |               |           |     |
| Reduction                                | 201/13 - Continue to monitor costs and review adequacy of resources and keep a watch on planning workloads (ongoing)   |            |   |           |            | Action Manager                            | NYM DoP<br>NYM Ho CS |            | Action by | Wed-31-Mar-21 | Completed | %   |
| Reduction                                | 201/196 - Proactively manage media interest and effectively communicate the National Park's position (ongoing)   |            |   |           |            | Action Manager                            | NYM DoP              |            | Action by | Wed-31-Mar-21 | Completed | 60% |
| Reduction                                | 201/199 - Continue to monitor new developments including the Government's moratorium on fracking using planning officers society and peer groups effectively (ongoing)   |            |   |           |            | Action Manager                            | NYM DoP              |            | Action by | Wed-31-Mar-21 | Completed | 60% |
| Reduction                                | 201/201 - Proactive liaison and negotiation with mineral companies wishing to extract in the National Park (ongoing)   |            |   |           |            | Action Manager                            | NYM DoP              |            | Action by | Wed-31-Mar-21 | Completed | 60% |
| Reduction                                | 201/863 - Ongoing communications re progress to all stakeholders   |            |   |           |            | Action Manager                            | NYM DoP              |            | Action by | Wed-31-Mar-21 | Completed | 60% |
| Reduction                                | 201/864 - Maintain access to consultancy assistance to provide professional and technical assistance where needed, as well as access to legal advice where necessary, particularly around Boulby Potash Mining during 2020-21.   |            |   |           |            | Action Manager                            | NYM CEO<br>NYM DoP   |            | Action by | Wed-31-Mar-21 | Completed | 60% |
| Reduction                                | 201/866 - Monitoring compliance with planning permissions and S 106 agreements where applicable (ongoing)  |            |   |           |            | Action Manager                            | NYM DoP              |            | Action by | Wed-31-Mar-21 | Completed | 60% |
| Reduction                                | 201/867 - Monitor performance of specialist professional support and ensure appropriate measures are in place to maintain continuity of expertise (ongoing)  |            |   |           |            | Action Manager                            | NYM DoP              |            | Action by | Wed-31-Mar-21 | Completed | 60% |
| Reduction                                | 201/868 - Plan for and seek resources to ensure ability to manage the planning application process and delivery of our Purposes (ongoing)  |            |   |           |            | Action Manager                            | NYM DoP              |            | Action by | Wed-31-Mar-21 | Completed | 60% |
| Reduction                                | 201/950 - Completion of a Joint Minerals and Waste Plan. Progress to adoption following consultation on main modifications late 2020/early 2021 and subject to final Inspector's report. Adoption expected Spring 2021.  |            |   |           |            | Action Manager                            | NYM DoP              |            | Action by | Wed-31-Mar-21 | Completed | 75% |
| Reduction                                | 201/1287 - Continue to assess the 'corporate Authority' approach in line with developing government policy and the requirements of a statutory planning Authority (ongoing)  |            |   |           |            | Action Manager                            | NYM DoP              |            | Action by | Wed-31-Mar-21 | Completed | 60% |
| Phase 4 - Post Risk Reduction Assessment |  |            |   |           |            |   |                      |            |           |               |           |     |
| Probability                              | M  | Objectives | M   | Financial | M          | Services                                  | L                    | Reputation | H         | Category      | 2         |     |

**North York Moors National Park Authority – Strategic**

Risk Register: **November 2020 update – detailed**

| Phase 5 - Fallback Plan |                |
|-------------------------|----------------|
|                         |                |
|                         | Action Manager |
| Fallback Plan           |                |

# North York Moors National Park Authority – Strategic

Risk Register: November 2020 update – detailed

## Appendix 1

| Phase 1 - Identification         |  |   |                             |           |            |                                 |               |            |         |           |   |
|----------------------------------|--|---|-----------------------------|-----------|------------|---------------------------------|---------------|------------|---------|-----------|---|
| Risk Number                      | 201/203  | Risk Title  | 201/203 - Health and Safety |           |            |                                 | Risk Owner    | NYM CEO    | Manager | NYM Ho CS |   |
| Description                      | Failure to meet Health and Safety statutory requirements and ensure the appropriate culture is embedded in relation to staff, Members, volunteers, visitors and contractors resulting in possible loss of life/serious injuries, prosecution, claims, media attention, fines. The c-19 pandemic has resulted in significant health and safety issues to manage, using national advice that changes frequently. An outbreak of c-19 amongst staff or volunteers could result in reputational damage and have a strong adverse effect on work programmes |   |                             |           | Risk Group | Health and Safety               | Risk Type     |            |         |           |   |
| Phase 2 - Current Assessment     |  |   |                             |           |            |                                 |               |            |         |           |   |
| Current Control Measures         |  | Health and Safety Group; Health and Safety policies; risk assessments of all activities; annual corporate action plans; periodic reviews (internal and external); responsibility in job descriptions; training; policy and guidance documents; regular managerial monitoring; strengthened reporting processes and checks on compliance; Health and Safety champion and departmental reps on health and safety group which also includes a volunteer; external assessments; standard contract wordings with contractors; volunteers are briefed on H&S; Service Level Agreement with NYCC extended to provide additional expert support; routinely discussed at team meetings and Directors meetings; H&S Policies to ensure compliance with legislation reviewed including engaging an external specialist to review the framework periodically; enhanced training for Managers; H&S performance assessed by Directors; All Departments have targets to carry out spot checks on staff, volunteers and contractors; Directors have individual spot check targets to support this; contracts/agreements with associate volunteer groups etc agreed; Health and Safety survey results analysed to develop a plan to address any issues raised; |                             |           |            |                                 |               |            |         |           |   |
| Probability                      | M  | Objectives  | M                           | 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; (ongoing)  |   |                             |           |            | NYM Ho CS                       | Wed-31-Mar-21 |            | 60%     |           |   |
| 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 PS<br>NYM Ho CS         | Wed-31-Mar-21 |            | 60%     |           |   |
| 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 Ho CS                       | Wed-31-Mar-21 |            | 50%     |           |   |
| Reduction                        | 201/1305 - Provide information for the progress report to members quarterly to allow scrutiny of actions (ongoing)   |   |                             |           |            | NYM Ho CS                       | Wed-31-Mar-21 |            | 60%     |           |   |
| Reduction                        | 201/1306 - Implement agreed annual health & safety action plan for 2020/21   |   |                             |           |            | NYM Ho CS                       | Wed-31-Mar-21 |            | 45%     |           |   |
| 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 PS<br>NYM Ho CS         | Wed-31-Mar-21 |            | 60%     |           |   |
| Reduction                        | 201/1741 - Develop and implement a programme of communication on health and safety matters for volunteers, using a variety of different communication methods (plan to be developed by 31 May 2020, implementation then ongoing)   |   |                             |           |            | NYM Ho CS<br>NYM Ho Vol Service | Wed-31-Mar-21 |            | 0%      |           |   |
| Reduction                        | 201/1743 - Assess the effectiveness of volunteer Task Day Leaders (TDL) training by; a) organising regular meetings of TDLs with h&s as an agenda item; b) regular spot checking of activities which are led by TDLs; c) develop (by 31 May) and implement a timetable for the above 2 activities (ongoing)  |   |                             |           |            | NYM Ho CS<br>NYM Ho Vol Service | Wed-31-Mar-21 |            | 45%     |           |   |
| Reduction                        | 201/1744 - Assess Corporate Health and Safety Performance using the LGA matrix and take actions as appropriate. (next assessment Oct 2020)   |   |                             |           |            | NYM Ho CS                       | Wed-31-Mar-21 |            | 0%      |           |   |

## North York Moors National Park Authority – Strategic

Risk Register: November 2020 update – detailed

|   |  |                   |               |                  |     |                 |   |                   |   |                 |                       |
|---|--|-------------------|---------------|------------------|-----|-----------------|---|-------------------|---|-----------------|-----------------------|
| <b>Reduction</b>                                | 201/1747 - Ensure appropriate training is provided to elected Members relating to compliance with H&S procedures and practices   | NYM Ho CS         | Wed-31-Mar-21 |                  | 0%  |                 |   |                   |   |                 |                       |
| <b>Reduction</b>                                | 201/1948 - Ensure that all key tasks are risk assessed in relation to c-19 and that these are reviewed frequently, taking the latest national advice into account  | NYM Ho CS         | Wed-31-Mar-21 |                  | 60% |                 |   |                   |   |                 |                       |
| <b>Reduction</b>                                | 201/1949 - Review the provision of procurement and budgets for c-19 PPE  | NYM Ho CS         | Wed-31-Mar-21 |                  | 60% |                 |   |                   |   |                 |                       |
| <b>Reduction</b>                                | 201/1950 - Ensure timely communication of c-19 health and safety information   | NYM Ho CS         | Wed-31-Mar-21 |                  | 60% |                 |   |                   |   |                 |                       |
| <b>Reduction</b>                                | 201/1951 - Managing the effect of greatly increased numbers of visitors to key spots in the National Park. This relates to the health and safety of staff interacting with visitors who may be very assertive, clearing up hazardous waste after busy weekends | NYM DIR PS        | Wed-31-Mar-21 |                  | 60% |                 |   |                   |   |                 |                       |
| <b>Phase 4 - Post Risk Reduction Assessment</b> |  |                   |               |                  |     |                 |   |                   |   |                 |                       |
| <b>Probability</b>                              | M  | <b>Objectives</b> | M             | <b>Financial</b> | M   | <b>Services</b> | M | <b>Reputation</b> | H | <b>Category</b> | 2                     |
| <b>Phase 5 - Fallback Plan</b>                  |  |                   |               |                  |     |                 |   |                   |   |                 | <b>Action Manager</b> |
| <b>Fallback Plan</b>                            |  |                   |               |                  |     |                 |   |                   |   |                 |                       |

# North York Moors National Park Authority – Strategic

Risk Register: November 2020 update – detailed

## Appendix 1

| Phase 1 - Identification                 |   |            |  |           |   |                 |               |            |           |                |         |
|--|---|------------|--|-----------|---|-----------------|---------------|------------|-----------|----------------|---------|
| Risk Number                              | 201/464   | Risk Title | 201/464 - Woodsmith Mine - Implementation  |           |   |                 | Risk Owner    | NYM CEO    |           | Manager        | NYM DoC |
| Description                              | Failure to deliver the terms of the Section 106 agreement and effectively manage the planning implementation aspects of the development including any subsequent permissions resulting in adverse national / international publicity and harm to the National Park and local residents.<br>The authority:-<br>a) fails to meet its obligations as a Planning Authority in discharging Planning Conditions;<br>b) is unable to deliver the mitigating and compensatory elements of the Section 106 and this therefore causes harm to the Park;<br>c) fails to plan sufficiently so that overall scale of dealing with the implementation of the development significantly disrupts the functioning of the rest of the organisation |            |  |           |   | Risk Group      | Strategic     |            | Risk Type |                |         |
| Phase 2 - Current Assessment             |   |            |  |           |   |                 |               |            |           |                |         |
| Current Control Measures                 |   |            | Compensation/mitigation plan in place; Financial resources available; annually reviewed key contribution security and restoration bond in place; appropriate knowledge and expertise in place; close collaboration to ensure necessary resources are available to achieve alignment of project timetables; Community Forum in place; financial monitoring arrangements in place; strict separation of 106 Sirius monies from core resources marketing and tourism plans in place; good relationship and clarity with Third Parties regarding the s106 agreement; arrangements set up for timely completion of annual and occasional legal agreements with both Sirius and with 3rd parties; external audit of management of s106 monies; new project manager recruited; further integration with Conservation team achieved; |           |   |                 |               |            |           |                |         |
| Probability                              | L   | Objectives | H  | Financial | H | Services        | H             | Reputation | H         | Category       | 3       |
| Phase 3 - Risk Reduction Actions         |   |            |  |           |   |                 |               |            |           |                |         |
|  |   |            |  |           |   | Action Manager  | Action by     | Completed  | %         |                |         |
| Reduction                                | 201/1628 - Continue to work with Sirius Minerals /or successor company to ensure a positive working relationship to enable the discharging of planning conditions and the commencement of the development to progress as smoothly as possible (ongoing)   |            |  |           |   | NYM DIR CONSERV | Wed-31-Mar-21 |            | 60%       |                |         |
| Reduction                                | 201/1738 - Ongoing Implementation of action plan for delivery of all compensatory aspects of S106 Agreement (ongoing)   |            |  |           |   | NYM DIR CONSERV | Fri-30-Apr-21 |            | 60%       |                |         |
| Reduction                                | 201/1739 - Ensure robust processes are followed and seek external advice where risk areas are identified in relation to major scheme changes (ongoing)  |            |  |           |   | NYM DIR CONSERV | Fri-30-Apr-21 |            | 60%       |                |         |
| Reduction                                | 201/1740 - Implementation of the findings of the Tourism Impact Review (ongoing)  |            |  |           |   | NYM DIR CONSERV | Wed-31-Mar-21 |            | 60%       |                |         |
| Reduction                                | 201/1873 - Work with major landowners to identify woodland creation sites (ongoing)   |            |  |           |   | NYM DIR CONSERV | Wed-31-Mar-21 |            | 60%       |                |         |
| Reduction                                | 201/1893 - Monitor ongoing situation of Sirius Minerals' development funding  |            |  |           |   | NYM DIR CONSERV | Wed-31-Mar-21 |            | 60%       |                |         |
| Phase 4 - Post Risk Reduction Assessment |   |            |  |           |   |                 |               |            |           |                |         |
| Probability                              | L   | Objectives | M  | Financial | H | Services        | M             | Reputation | H         | Category       | 3       |
| Phase 5 - Fallback Plan                  |   |            |  |           |   |                 |               |            |           |                |         |
| Fallback Plan                            |   |            |  |           |   |                 |               |            |           | Action Manager |         |

## North York Moors National Park Authority – Strategic

Risk Register: November 2020 update – summary

| 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 |
| ◀▶       | 201/560 - Climate Change Arrangements for the Park Authority | Failure to achieve net carbon zero or positive for the National Park Authority by 2030 resulting in inability to meet public expectations, and management of impact of extreme climate events.   | NYM CEO        |                 | H    | M   | L   | M    | H   | 1   | 11  | 31/03/2021  | M    | M   | L   | M    | H   | 2   |
| ◀▶       | 201/158 - Financial Strategy                                 | Failure to implement the Medium Term Financial Strategy with sufficient resilience. Significant loss of income due to ongoing c-19 pandemic, failure to spend remaining budget on time due to c-19 restrictions and consequent failure to deliver agreed outputs. National financial issues as a result of c-19 adversely affecting future levels of National Park Grant and availability of external funding opportunities. Failure to continue to develop and implement the Income generation strategy and property strategy. Failure to detect and act upon fraudulent or corrupt activity. Such failures may result in limiting the ability to deliver statutory purposes and financial loss to the Authority. Increasing external uncertainty may become a more significant factor over the next 12 months. | NYM CEO        | NYM Ho CS       | H    | M   | H   | M    | H   | 1   | 14  | 31/03/2021  | M    | M   | H   | M    | M   | 2   |
| ◀▶       | 201/488 - Marine and Terrestrial Wildlife and Biodiversity   | Failure to increase marine and terrestrial wildlife and biodiversity in the Park resulting in a lesser variety of species, loss of reputation and financial impact.  | NYM CEO        | NYM DIR CONSERV | H    | H   | M   | M    | M   | 1   | 10  | 31/03/2021  | M    | H   | M   | L    | L   | 2   |
| ◀▶       | 201/527 - Capacity and Resilience                            | A lack of capacity and Resilience (including decision making and prioritisation) within the Authority to support the ambitious externally funded work programme and Business Plan aspirations. This results in the potential not to effectively and efficiently plan/work smarter and further National Park purposes, reducing service quality and impact on the health and wellbeing of staff. The c-19 pandemic has significantly exacerbated potential risks, resulting in greater difficulties in ensuring effective communication, staff time being diverted away from BP targets to managing operational effects of the pandemic. Responsibility for managing the Authority's response has fallen unevenly and some key staff members are significantly stretched.   | NYM CEO        | NYM Mgt Team    | H    | H   | M   | H    | M   | 1   | 13  | 31/03/2021  | M    | H   | M   | H    | M   | 2   |

## North York Moors National Park Authority – Strategic

Risk Register: November 2020 update – summary

| 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 |
| ◀▶       | <b>201/493 - Minerals Development Pressure on the Park</b> | Lack of capacity and resources both within the Authority and partner organisations to deal with the complex issues relating to the actual/potential extraction of minerals (conventional, shale gas and potash) resulting in an inability to effectively assess the environmental impact with the socio economic benefits, negative impact on other Authority work; potential for reputational damage both locally and nationally, legal action, negative financial impact and knock on effects to other work as resources transferred  | NYM CEO    | NYM DoP      | M              | H   | H   | M    | H   | 2   | 11  | 31/03/2021  | M    | M   | M   | L    | H   | 2   |
| ▲        | <b>201/203 - Health and Safety</b>                         | Failure to meet Health and Safety statutory requirements and ensure the appropriate culture is embedded in relation to staff, Members, volunteers, visitors and contractors resulting in possible loss of life/serious injuries, prosecution, claims, media attention, fines. The c-19 pandemic has resulted in significant health and safety issues to manage, using national advice that changes frequently. An outbreak of c-19 amongst staff or volunteers could result in reputational damage and have a strong adverse effect on work programmes  | NYM CEO    | NYM Ho CS    | M              | M   | M   | M    | H   | 2   | 14  | 31/03/2021  | M    | M   | M   | M    | H   | 2   |
| ◀▶       | <b>201/464 - Woodsmith Mine - Implementation</b>           | Failure to deliver the terms of the Section 106 agreement and effectively manage the planning implementation aspects of the development including any subsequent permissions resulting in adverse national / international publicity and harm to the National Park and local residents. The authority:- a) fails to meet its obligations as a Planning Authority in discharging Planning Conditions; b) is unable to deliver the mitigating and compensatory elements of the Section 106 and this therefore causes harm to the Park; c) fails to plan sufficiently so that overall scale of dealing with the implementation of the development significantly disrupts the functioning of the rest of the organisation | NYM CEO    | NYM DoC      | L              | H   | H   | H    | H   | 3   | 6   | 31/03/2021  | L    | M   | H   | M    | H   | 3   |

| 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            |