

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

3 February 2020

Corporate Risk Register Update

1. Purpose of the Report

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| 1.1 To seek Members' views on the draft Corporate Risk Register (CRR) for 2020/2021. |
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2. **Background**

- 2.1 As Members are aware the Authority maintains a CRR which is updated annually and then considered regularly by this Committee after approval at the March Authority meeting.
- 2.2 The private verbal report presented at the December 2019 NPA gave an update of the external risks, outside the Authority's direct control, which are difficult to quantify in the formal CRR. Work has also continued on the Category 1 and 2 risk reduction factors since FRASC met in November. Work so far in 2020 has concentrated on the development of the CRR for 2020/21.

3. **Draft Corporate Risk Register 2020/21**

- 3.1 The CRR has been updated by the Chief Executive and Senior Leadership Team, in a process facilitated and advised by NYCC's Insurance and Risk Management Team on 10 January and a draft is attached as **Appendix 1** which also includes a summary of changes in risk level. The overall assessment of risk has been considered on the basis of no further change to the financial risk thresholds which take into account the Authority's current financial position with regard to earned income, reserves, assumed 2020/21 DEFRA Grant settlement and external funding.
- 3.2 The main changes to the CRR for 2020/21 are the addition of a risk covering the Authority's response to climate change and the removal of the risks in relation to the Volunteer Strategy and the Local Plan/Minerals and Waste Plan. The Wildlife Corridors risk has been considerably widened in its scope and renamed, so it is now Marine and Terrestrial Wildlife and Biodiversity.
- 3.3 Officers consider that the Volunteer Strategy is now well embedded and that the risks relating to volunteering are adequately covered in the Health and Safety risk that remains on the CRR (as a Category 3 risk). Work on the Local Plan and Minerals and Waste Development Framework is now well advanced and is therefore no longer considered a risk sufficient to be recorded in the CRR. A remaining relatively significant risk is the implementation of the terms of the s106 Agreement for Woodsmith mine. This remains in the CRR as a Category 3 risk.
- 3.4 While there are no Category 1 risks, the annual review has increased the number of Category 2 risks from three to five and these are now as follows;

Climate Change Arrangements for the NPA – the organisation has an implied nett carbon neutrality target by 2030, which will require very considerable effort and resources (financial and people) to achieve with significant reputational risks attached to lack of progress.

Financial Strategy – the increase in the risk category from 3 to 2 is as a result of continued uncertainty with regard to both the DEFRA grant settlement and pay award for the coming year which, at the time of writing this report, are both unknown.

Marine and Terrestrial Wildlife and Biodiversity – there is considerable national interest in the perceived effectiveness of national parks/ANOBs in protecting wildlife.

Capacity and Resilience – in 2019/20, this was reduced to a Category 2 risk, but careful management is still required to ensure that the Authority’s ambitious work programme is delivered effectively and it does not over-stretch itself. The title of this risk has removed the word ‘skills’ and replaced it with ‘resilience’ to reflect the fact that in many key work areas, there is high reliance on a single staff member. While there is not an easy answer to this, it does add to the level of risk.

Minerals Development Pressure on the Park – this remains as a Category 2 risk pending a decision on whether the current moratorium on fracking will become longer term Government policy. A planning application has been received as the current permission for Boulby potash mine moves towards its expiry date.

3.5 While Officers are confident that the risk reduction factors in these 5 risks will be effective, the consequences should one of the risks come to fruition still remain significant. Members will be aware that the first four risks in particular are inter-linked – a poor settlement would be almost certain to exacerbate the others.

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 note the contents of this report, discuss the proposed CRR and suggest any amendments prior to agreeing it for submission to Authority in March.

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Background documents to this report

File Ref.

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

North York Moors National Park Authority – Strategic

Risk Register: January 2020 Annual Review – detailed

Phase 1 - Identification											
Risk Number	201/560	Risk Title	201/560 - Climate Change Arrangements for the Park Authority				Risk Owner	NYM CEO		Manager	
Description	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.					Risk Group	Strategic		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			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;								
Probability	H	Objectives	M	Financial	L	Services	M	Reputation	H	Category	1
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	201/18 - Re-boot management of volunteers and fleet mileage to further reduce carbon emissions					NYM DIR PS NYM Ho CS	Wed-31- Mar-21		0%		
Reduction	201/1282 - Initiate procurement to move to electric vehicles					NYM CEO NYM Ho CS	Sun-31-Mar- 20		0%		
Reduction	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-30- Sep-20		0%		
Reduction	201/1290 - Develop and implement training on response to climate change issues and enhance skills and knowledge					NYM DIR CONSER VNYM Ho CS	Wed-30- Sep-20		0%		
Reduction	201/1295 - Update longstanding climate change policies for the Authority					NYM DoP NYM Ho SP NYM Mgt Team	Wed-31- Mar-21		0%		
Reduction	201/1392 - Continue to reduce energy use in buildings					NYM DIR PS NYM Ho CS	Wed-31- Mar-21		0%		
Reduction	201/1742 - Continue to reduce energy use in vehicles and other travel					NYM DIR PS NYM Ho CS	Wed-31- Mar-21		0%		
Reduction	201/1748 - Explore and find financial support to secure resources to carry out climate change work					NYM Members NYM Mgt Team	Wed-31- Mar-21		0%		
Reduction	201/1884 - Review grant criteria to encourage environmentally positive activity					NYM Mgt Team	Tue-31-Mar- 20		0%		
Reduction	201/1885 - Continue to work with Partners to achieve net carbon zero					NYM Mgt Team	Wed-31- Mar-21		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	L	Services	M	Reputation	H	Category	2
Phase 5 - Fallback Plan											
Fallback Plan										Action Manager	

North York Moors National Park Authority – Strategic

Risk Register: January 2020 Annual Review – detailed

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. 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			Financial Strategy controls: 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; Fraud and Corruption controls: 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;								
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		0%	
Reduction	201/20 - Continue to monitor performance of the income generating services against monetary expectations (ongoing)						All Directors	Wed-31-Mar-21		0%	
Reduction	201/22 - Continue to link service delivery to performance and resources to ensure value for money and monitor outcomes						All Members / Mgt Board	Wed-31-Mar-21		0%	
Reduction	201/1281 - Agree and deliver on precise targets for additional car park income generated as a result of new ventures						All Directors 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 NYM CEO	Wed-31-Mar-21		0%	
Reduction	201/1288 - Continue external funding initiatives (ongoing)						All Directors NYM CEO	Wed-31-Mar-21		0%	
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 (on-going)						NYM Ho CS	Wed-31-Mar-21		0%	

North York Moors National Park Authority – Strategic

Risk Register: **January 2020 Annual Review – detailed**

Reduction	201/1737 - Continue to implement recommendations from an agreed Counter Fraud action plan as a result of annual Audit Plan work.	NYM Ho CS	Wed-31-Mar-21		0%						
Reduction	201/1874 - Review outcome of LEP integration and funding opportunities including National Park review	NYM CEO NYM CS EFO NYM DIR CONSERV	Wed-31-Mar-21		0%						
Reduction	201/1876 - Provide financial training to budget managers	NYM Ho CS	Wed-30-Sep-20		0%						
Reduction	201/1879 - Implement the actions agreed as part of Veritau's annual internal audit.	NYM Ho CS	Thu-30-Apr-20		0%						
Reduction	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		0%						
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	M	Category	2
Phase 5 - Fallback Plan											
Fallback Plan	201/667 - Review and reduce discretionary spend items									Action Manager	

North York Moors National Park Authority – Strategic

Risk Register: January 2020 Annual Review – detailed

Phase 1 - Identification											
Risk Number	201/488	Risk Title	201/488 - Marine and Terrestrial Wildlife and Biodiversity				Risk Owner	NYM CEO		Manager	NYM DIR CONSERV
Description	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.					Risk Group		Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			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.								
Probability	H	Objectives	H	Financial	M	Services	M	Reputation	M	Category	1
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	201/23 - Refresh a Forward Delivery Plan to deliver Business Plan targets					NYM DIR CONSERV NYM Ho Nat Env	Tue-31-Mar-20		0%		
Reduction	201/24 - Discuss and agree individuals' delivery plans for the next year; Plans agreed through appraisals and monitored closely					NYM DIR CONSERV NYM Ho Nat Env	Tue-31-Mar-20		75%		
Reduction	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 NYM Ho Nat Env	Wed-31-Mar-21		70%		
Reduction	201/26 - Review Departmental delivery plan progress and budgets on a monthly basis					NYM DIR CONSERV NYM Ho Nat Env	Wed-31-Mar-21		75%		
Reduction	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%		
Reduction	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 NYM Ho Nat Env	Wed-31-Mar-21		75%		
Reduction	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%		
Reduction	201/190 - Work with others including Natural England to ensure their activities are aligned with Park Purposes					NYM DIR CONSERV	Wed-31-Mar-21		0%		
Reduction	201/191 - Ensure forest design plans deliver Park Purposes					NYM DIR CONSERV	Wed-31-Mar-21		0%		
Reduction	201/192 - Press DEFRA to include wildlife in the 8 point plan for National Parks					NYM DIR CONSERV	Wed-31-Mar-21		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	H	Financial	M	Services	L	Reputation	L	Category	2

North York Moors National Park Authority – Strategic

Risk Register: January 2020 Annual Review – detailed

Phase 5 - Fallback Plan	
Fallback Plan	Action Manager

North York Moors National Park Authority – Strategic

Risk Register: January 2020 Annual Review – detailed

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.					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 NYM Mgt Team	Wed-31- Mar-21		0%		
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 NYM Mgt Team	Wed-31- Mar-21		0%		
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		0%		
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-30- Sep-20		0%		
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		0%		
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		0%		
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		0%		
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		0%		
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	Tue-31- Mar-20		0%		
Reduction	201/1889 - Implement the various actions agreed via the Administration Review					NYM Ho CS	Sun-31- May-20		0%		
Reduction	201/1891 - Consider issues around delegation and integration across all teams					NYM Mgt Team	Wed-31- Mar-21		0%		

North York Moors National Park Authority – Strategic

Risk Register: **January 2020 Annual Review – detailed**

Reduction	201/1892 - Monitor impact of change of Chief Executive and ensure an appropriate induction plan is put in place				NYM Ho CS NYM Mgt Team		Tue-30- Jun-20		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	H	Financial	M	Services	H	Reputation	M	Category	2
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan											

North York Moors National Park Authority – Strategic

Risk Register: January 2020 Annual Review – 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											
							Action Manager	Action by	Completed	%	
Reduction	201/13 - Continue to monitor costs and review adequacy of resources and keep a watch on planning workloads (ongoing)						NYM DoP NYM Ho CS	Wed-31-Mar-21		0%	
Reduction	201/196 - Proactively manage media interest and effectively communicate the National Park's position						NYM DoP	Wed-31-Mar-21		0%	
Reduction	201/199 - Continue to monitor new developments including the Government's moratorium on fracking using planning officers society and peer groups effectively						NYM DoP	Wed-31-Mar-21		0%	
Reduction	201/201 - Proactive liaison and negotiation with mineral companies wishing to extract in the National Park						NYM DoP	Wed-31-Mar-21		0%	
Reduction	201/863 - Ongoing communications re progress to all stakeholders						NYM DoP	Wed-31-Mar-21		0%	
Reduction	201/864 - Appoint consultancy assistance to provide professional and technical advice where necessary particularly around Boulby Potash Mining during 2020-21)						NYM CEO NYM DoP	Wed-31-Mar-21		0%	
Reduction	201/866 - Monitoring compliance with planning permissions and S 106 agreements where applicable (ongoing)						NYM DoP	Wed-31-Mar-21		0%	
Reduction	201/867 - Monitor performance of specialist professional support and ensure appropriate measures are in place to maintain continuity of expertise						NYM DoP	Wed-31-Mar-21		0%	
Reduction	201/868 - Plan for and seek resources to ensure ability to manage the planning application process and delivery of our Purposes						NYM DoP	Wed-31-Mar-21		0%	
Reduction	201/950 - Completion of a Joint Minerals and Waste Plan						NYM DoP	Sun-31-May-20		0%	
Reduction	201/1287 - Continue to assess the 'corporate Authority' approach in line with developing government policy and the requirements of a statutory planning Authority (on-going)						NYM DoP	Wed-31-Mar-21		0%	

North York Moors National Park Authority – Strategic

Risk Register: January 2020 Annual Review – detailed

Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	M	Services	L	Reputation	H	Category	2
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan											

North York Moors National Park Authority – Strategic

Risk Register: January 2020 Annual Review – detailed

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.					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	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; (ongoing)					NYM Ho CS	Wed-31-Mar-21		0%		
Reduction	201/1296 - Ensure volunteers are fully integrated and continue to comply with H&S procedures and practices as the role of the volunteer is extended (ongoing)					NYM DIR PS NYM Ho CS	Wed-31-Mar-21		0%		
Reduction	201/1303 - Engage and engender ownership in staff of Health & Safety via a series of different methods e.g. training, bulletin, posters, departmental meetings, team meetings (ongoing)					NYM Ho CS	Wed-31-Mar-21		0%		
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		0%		
Reduction	201/1306 - Implement agreed annual health & safety action plan for 2020/21					NYM Ho CS	Wed-31-Mar-21		0%		
Reduction	201/1389 - Ensure contracts/agreements are in place with associate volunteer groups, community groups and others prior to commencement of tasks (ongoing)					NYM DIR PS NYM Ho CS	Wed-31-Mar-21		0%		
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 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					NYM Ho CS NYM Ho Vol Service	Wed-31-Mar-21		0%		
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	Sat-31-Oct-20		0%		
Reduction	201/1747 - Ensure appropriate training is provided to elected Members relating to compliance with H&S procedures and practices					NYM Ho CS	Wed-30-Sep-20		0%		

North York Moors National Park Authority – Strategic

Risk Register: January 2020 Annual Review – detailed

Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	M	Services	M	Reputation	H	Category	3
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan											

North York Moors National Park Authority – Strategic

Risk Register: January 2020 Annual Review – detailed

Phase 1 - Identification											
Risk Number	201/464	Risk Title	201/464 - Woodsmith 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 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					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		0%		
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		0%		
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		0%		
Reduction	201/1740 - Implementation of the findings of the Tourism Impact Review (ongoing)					NYM DIR CONSERV	Wed-31-Mar-21		0%		
Reduction	201/1873 - Work with major landowners to identify woodland creation sites (ongoing)					NYM DIR CONSERV	Wed-31-Mar-21		0%		
Reduction	201/1893 - Monitor ongoing situation of Sirius Minerals' development funding					NYM DIR CONSERV	Wed-31-Mar-21		0%		
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: January 2020 Annual Review – 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
- new -	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	10	31/03/2020	M	M	L	M	H	2
▲	201/158 - Financial Strategy	Failure to implement the Medium Term Financial Strategy with sufficient resilience. 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	12	30/04/2020	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	31/03/2020	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.	NYM CEO	NYM Mgt Team	H	H	M	H	M	1	13	1/04/2020	M	H	M	H	M	2
◀▶	201/493 - Minerals Development Pressure on the Park	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	31/05/2020	M	M	M	L	H	2
◀▶	201/203 - Health and Safety	Failure to meet Health and Safety statutory requirements and ensure the appropriate culture is embedded in relation to staff, Members, volunteers, visitors and contractors resulting in possible loss of life/serious injuries, prosecution, claims, media attention, fines.	NYM CEO	NYM Ho CS	L	L	M	M	H	3	10	30/09/2020	L	L	M	M	H	3

North York Moors National Park Authority – Strategic

Risk Register: January 2020 Annual Review – 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
◀▶	201/464 - Woodsmith Mine - Implementation	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	Mgt Team	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