Operational Risk Management Register (updated November 2024)

The register lists all identified operational risks facing the Authority. Operational risk is potential harm resulting from disruptions to day-to-day business operations. It also describes the counter measures (taken or planned) for dealing with these risks.

[Proximity = time frame for risk, e.g. long term, on-going, specific milestone]

	RISK			COUNTER MEASURES			
No	**Risk description**	**Risk owner**	**Risk pre-counter measures** (see explanation, below table) [Impact/ Likelihood]	**Taken (including current controls)**	**Planned**	**Target risk, post counter measures** (see explanation, below table) [Impact/ Likelihood]	**Proximity**
	Political/ Strategic / Commercial						
1	Reputation damage. Identified matters include: Members failing to take collective ownership for decisions the NPA makes, and public comments made by Members that run counter to Authority policy; failure to develop or implement appropriate policies. Involvement in national initiatives (e.g. National Parks Partnership). Reputational risk associated with illegal release (including by hackers etc.) of personal information.	Members (esp. Chair) CEO SMT	Manageable (L/M)	Declarations of gifts and hospitality / registers of Personal Interests (officers and Members); employment clauses; statutory Officers; HR policies and procedures, including training, recruitment and selection, disciplinary etc.; media training for CEO, Directors, Chair, Deputy Chair and Member Champions, Member Code of Conduct (updated December 2024); Member Officer Protocol, Social Media Protocol for Members, Duties and Responsibilities of Members, job descriptions for Member Champions and Chairs (delivery of Member training programme for 2023/24), Complaints procedure and policy (reviewed Feb 22); Standards Committee; Employee Code of Conduct; Communications Team; corporate Media Procedure & Protocol; EDI Awareness Training; Customer Service Excellence Award. Annual related-parties transactions questionnaire. Planning Code of Good Practice.	Provide the agreed programme of Member training for 2024/25 Completion of open, Member-led Local Plan process, including; Member Working Group to assess preferred allocated housing sites and new development boundaries (AP 26.3; Sept); Publish the “final publication” version of the draft Local Plan for public consultation (AP 26.6; Nov). Ensuring that the NPA maintains effective working partnership arrangements with the new Unitary bodies operating across Local Government.	Manageable (L/L)	Long term Specific

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	'Lost opportunity' from poorly communicating the Authority's performance and / or position. Garsdale Hawes multi-user route. Expectation raised following consultation that the YDNPA will be implementing this project. Sums involved are large and the capital project cannot be delivered until all of the preparatory landowner negotiation and legal works have been carried out.			IT security features – password protection, dual factor authentication, VPN, firewall, virus protection, IT policy and guidance. Bi-monthly monitoring of media activity at SMT meetings; Social Media Strategy (updated Dec 2023); Communications Strategy. Guidance to staff on declaring personal interests / managing personal conflicts, offers of gifts and hospitality, and carrying out work outside your contract of employment Successfully completed the annual assessment against the CSE standard Visual Identity Guidelines. Main website reviewed March 2023 to improve user experience. Data protection measures in place (with active review process). CPI Compliance and Data Protection Policy (reviewed May 2021). 'Politically restricted posts' (reviewed 2021) Annual reporting of Complaints and Compliments. Planning Training for Members, April and Oct. 2023; Risk Management Training, July 2021. Full reassessment against the Customer Service Excellence standard, July 2023.	Review of Communications Strategy (AP 31.3; Mar)		

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				Access to Information Statement, revised April 2022 NPE Standing Orders and Comms Unit review completed June 2023. Hawes Garsdale: Funding has been provided by the Authority to enable the completion of the necessary Creation Agreements/Creation Orders. Highways Authority have committed to adoption of the Hawes Garsdale route and assistance in assessing condition of the structures. Railway Paths Ltd have taken on liability for the major Viaduct along the route. Land Agent appointed and legal costs agreed, and costed plan for implementation completed. A Member Officer Working Group has been established to develop, guide and deliver the project, including a project plan with specific timeframes for the Authority approach to Creation Agreements/Creation Orders.			
2	Partnerships: Failure to achieve objectives or to identify joint liabilities (includes poor costing, lack of	Members (esp. Chair) CEO SMT	Material (M/M)	Management processes; insurance cover; Authority scrutiny. Re-evaluation of involvement with partnerships every two years.	Act as lead Authority for the Pennine Way and Pennine Bridleway National Trails Partnership and administer the	Manageable (L/L)	Long Term

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	focus and accountability, and failure of key partners). Other bodies may withdraw from partnerships because of their own financial pressures / budget cuts. National Trails Partnership: failure to agree continuation of funding levels and how funding distributed, and/or match funding required (25%) isn't secured. Impact of reorganisation of local government in Cumbria and North Yorkshire, on partnerships involving predecessor bodies			Member Champion participation and feedback on partnership activity. NPMP produced by Partnership that includes all key 'delivery bodies that operate in the Park, thus ensuring buy-in. Partnership also monitors progress on objectives and produces annual report to the NPA. Memorandum of Understanding with YDMT; effectiveness of partnership reviewed each year. Tees-Swale Project Board includes YDNPA Director and meets regularly to review progress against targets. Project plan being adjusted with agreement of NLHF as a result. Monitoring of partnerships. Review of Governance arrangements for partnerships to ensure that proportionate arrangements are in place (Feb 22) Completed the annual progress reports on 2019-24 NPMP.	grant claims to partner bodies (AP 14.7; Mar) Working with Natural England to establish the Coast to Coast as a National Trail (AP 14.3; Dec and AP 14.8; Mar) Work with local partners, led by YDMT, through the 'Three Counties' programme steering group to complete pre-development phase planning work, in support of a potential resubmission of Stage 1 NLHF bid. Partnerships involving re-organised local authority services will be kept under review (action arising from review of partnerships completed in Feb 2022). Developing new HR arrangements to improve retention of project-based staff and increase flexibility to deal with short-term pressures when project officers leave externally funded programmes.		
3	New Govt and (adverse) change in approach to NPs in particular and the environment/conservation more widely.			National discussion, principally through NPE, in the delivery of current Govt's objectives; discussions took place with Opposition	Continued lobbying/influencing prior to and post-election. NPMP complete review and update of NPMP by June 2025.		

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				partiesaround the development of their approach to these issues. Meeting with Defra officials in September 2024 to understand the new Government's priorities.			
	Economic / Financial						
4	Funding and Budgeting Risks: Cuts to Defra grant and other external funding; bad debts; Inflation and other cost increases; Earned income shortfalls; failure to realise full value from asset disposals. DEFRA added £500k (£250k of which is Capital) to 24/25, there are no guarantees of this continuing. The additional funds are at risk of claw back if not spent by 31st March 2025. Defra is now directing the spend of its grant e.g. FiPL, creating challenges for those services which rely on core funding. Defra's contracting process (for both the core grant and FiPL) is late' each year, which means that we are paying for	CEO / SMT S/Heads	Severe (H/M)	External funding spending plans (including staffing) are matched against grants as they become available (limited reliance on other grants for core operations). Pipeline of external funding projects in continuous development; reviewed regularly by Section heads and reported to Finance and Resources Committee twice yearly. YDMT: joint working monitored through quarterly liaison meetings. MoU in place for fundraising/donations); NPP. Few commercial debtors, so minimal exposure. General controls: Partnership liaison; budgetary control and reporting (incl. to Senior Management and F&R Committee). Budget setting (especially long-term) and monitoring process. Staff and other costs management and review process in place, integrated with annual budget process.	External Audit opinion, covering controls: annual objective is for unqualified opinion (A&R Committee, July 2024 for 21/22 accounts) and to secure an external audit opinion for the delayed 22/23 audit by Dec 2024, and the delayed 23/24 audit by Feb 2025) (national delays in local government audit, backstop dates laid before Parliament September 2024). Continue to raise the issue of the format of the Core Grant and lack of inflationary increase with Defra, as opportunities arise. Identify alternative employment opportunities at the end of short term and other contracts where pension strain is a possibility. Continuing 'cultural shift' – placing a greater emphasis on income generation	Severe (M/M)	Ongoing Annual

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	work before any grant payment can be made. With the increasing volumes of grant work, there is risk of failing to evidence sums claimed (risk of repayment / funding loss) Reliance on external funding has increased with decision to accept increased staff costs of up to ~55% of gross expenditure. Losing staff through budget cuts, which reduces the remaining staff's capacity to develop projects and find new income Inadvertently taking on material pension strain liabilities when recruiting long-term public sector workers to short term contracts.			We maintain sufficient cash holdings to cover the timing shortfall between the start of the financial year and the point at which Defra pays the first tranche of the core and FiPL grants (which should be 'funding in advance'). A watching brief needs to be maintained in the cash position, to predict any problem that might emerge. Ongoing review of Reserves and the Medium-Term Funding Strategy; ensures that Reserves are appropriate to meet contingencies and support planned work which extends beyond any one financial year. New Income Generation Strategy approved by Finance and Resources Committee in February 2023. Ensuring a proportion of overheads are embedded in externally funded projects. With additional funding from Defra, FiPL team has been increased. Now over-committing (by c10% of budget) to ensure funding spent even if some projects fall (covered by underspend on other budget lines).	and the way we manage and resource our work programmes and core costs. Developing project officer roles which are more dynamic and move between sections to avoid fixed term contracts for specific projects and introducing more flexible arrangements to fill short-term vacancies where there is an overriding business need.		

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5	Failure in financial management (controls, recording, reporting); errors in budgeting; investment loss; working capital inadequacy. Risk of change in Finance Team personnel; operational failure of Payroll. Failure to perform timely external audits, and to produce timely Statement of	Members / DoCS	Manageable (L/L)	(i) Working capital / cash flow can be adjusted by flexibility in the draw-down of Defra grant. (ii) Treasury Management policy is risk averse re: investments. (iii) For new finance staff, there is a documented hand-over and induction, plus probationary review. (iv) A detailed handbook is kept updated for all finance tasks. (v) Internal audit monitoring. General controls: budgeting and monitoring process; professionally qualified staff and experienced Members; Financial Regulations; External Audit; Defra reporting; Three-year budget (subject to annual re-setting). Annual Governance Statement (April); Unqualified [external] Audit Opinion (September, in 'normal' year). Payment Card Industry Data Security Standard: compliance in place. Internal Audit Annual Opinion of overall controls, conclusion: substantial level of assurance, (April 2024). A contingency reserve of 10% of budget is held. Draft accounts for both years have been prepared by the Head of Finance. All sets of accounts are published on the website and have been presented to Finance & Resources Committee for	Maintain current controls. Produce the three-year Medium Term Financial Strategy for 2025/26 to 2027/28 (AP 30.5; Mar) Secure an external audit opinion for the delayed 22/23 and 23/24 audit (AP 32.3; Sept) (national delays in local government audit). Publish the Annual Governance Statement (AP 32.6; Mar) The 2022/23 accounts have not been subject to full audit due to the alternate approach in the consultation allowing auditors to produce a Value for Money opinion at a minimum, to concentrate efforts onto the most recent set of accounts. We are expecting to receive a disclaimed/qualified audit for 2022/23 due to the lack of a full audit, which will have text to explain the circumstances surrounding this opinion.	Manageable (L/S)	Ongoing

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	Accounts leading to miss-statements, potential errors, emissions or fraud.			scrutiny. This does not replace the scrutiny and testing which takes place during an external audit but every attempt to bring forward the delayed audits were unsuccessful due to a national shortage of Local Government Auditors. An unqualified external audit opinion for the delayed 2021/22 audit was achieved in July 2024. The Annual Governance Report was completed in November 2024. The draft Statutory Accounts for 2023/24 were produced in October 2024.	The audit and approval timetable for 2023/24 is also modified in line with the backstop dates laid before Parliament. These rules require the publication of our final, audited accounts for 2023/24 by 28 February 2025. As the statement of accounts was not subject to a full audit in 2022/23, this may have a knock-on effect for the 2023/24 accounts audit opinion due to unverified opening balances.		
6	Failure to comply with financial standards	DoCS	Manageable (L/L)	Professional officers, including Accountant and MO / Solicitor, to identify / interpret new legislation; Annual Governance Statement; input from in-house Treasurer, Members, Internal and External Audit. Oversight by Members, including those with directly relevant experience.		Manageable (L/S)	Ongoing
7	Pension Scheme: risk of mismanagement or runaway contribution costs. Failure to adhere to auto-enrolment rules, and subsequent fine (re: auto-enrolment on appointment and on a 3-yearly basis).	Members/ DoCS	Manageable (L/L)	Controls: Contracted-in to North Yorkshire LGPS, with contribution rates set by third party actuarial valuation. Risk assessment, and identification of counter measures, is integral to the scheme's funding strategy. Auto-enrolment procedures in place, controlled by Head of HR and Senior Administrator (Payroll) and reported to the Pensions Regulator (last auto-enrolment 2023).		Manageable (L/S)	Current / Ongoing

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	Changes to LGPS rules (Nov 2021): contribution rates may be directed to be increased outside the triennial revaluation process, where an organisation undergoes a material downsizing or reorganisation of its workforce, in order to ensure the long-term viability of that organisation's net Pension position.			Maintain Pension Discretions Policy and related policies. Triennial review of the Pension Scheme has been completed. Employer contribution rate set does not exceed that already allowed for within the budget/MTFS.	Review of the Pensions Discretion Policy by March 2025.		
8	Fraud, Corruption and Theft (including expenses and collusive supplier fraud).	MO/ DoCS	Manageable (L/L)	Controls: Internal Audit; Treasurer role; Financial Regulations and accounting processes, including budget monitoring and managerial control; Guidance to staff on declaring personal interests / managing personal conflicts, offers of gifts and hospitality, and carrying out work outside the contract of employment (updated April 2022); Gifts & Hospitality register; Employee and Member Codes of Conduct; Anti-Fraud, Bribery & Corruption Policy (updated September 2022); prescription and separation of duties, including Scheme of Delegation; Confidential Reporting (Whistle-blowing) Policy (updated December 2022). Identity checks to constrain recruitment fraud. Asset register reviewed annually; car park cash collection contract; alarm facilities and contracts; Insurance. Reference checking for new employees, and in relation to procurement activity (where appropriate).		Manageable (L/S)	Ongoing

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				Counter fraud awareness training for priority service areas was delivered by Veritau Corporate Fraud Team in October and November.			
	Legal and regulatory						
9	Members, or officers under delegation, make an illegal or inappropriate decision.	Members / MO/DMO	Manageable (L/L)	Member training and induction; Senior Officer guidance; External Audit; officer professional training / competence; Member experience; quality of officer reporting; Corporate Governance framework; Guidance to officers about the information Members need to support decision making. Requirements of the Data Transparency Code, Openness of Local Government Bodies Regulations. New Members receive appropriate training and induction. Annual review of Local Governance arrangements (Local Code of Corporate Governance). Production of an Annual Governance Report to Audit and Review Committee in November including a review of the Local Code of Corporate Governance. Scheme of Delegation.	Corporate governance work initiated through preparation of Annual Governance Statement (published as part of Annual Accounts in July) and Annual Governance report.	Manageable (L/S)	Ongoing

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10	Contracting failure (failure to complete contract, either because contractor not competent, or failure of their business)	S/Heads/ MO	Material (M/M)	Financial Regulations. Procurement advice from Director of Corporate Services and Finance Team (Procurement training for budget managers completed 2021 and 2023). Project management framework. Procurement Strategy (reviewed March 2022), Procurement Manual (live document) and template agreement and contract conditions; Internal Audit of Procurement. Active contract management. For construction contracts, maintain final retention payment until end of defects liability period. Purchase order terms and conditions.		Manageable (L/L)	Specific and Ongoing
11	Public liability. Risks to public whilst on our property or property we maintain (including PRoW under delegation agreements); or taking part in NPA-run activities; negligence / breach of statutory duty; corporate manslaughter.	Directors / MO/S/Heads	Material (M/M)	Facilities management and other maintenance work; third party liability insurance (and requirement that our contractors have this too); risk assessments for planned work, National Park Centres and Dales Countryside Museum and Car Parks. 'Safeguarding' policy (on protection of people from vulnerable groups). Accident monitoring. H&S Procedures (including CDM). Annual review of Public Liability insurance cover requirements in light of legal caseload. Insurance re-procurement, 3+ years contract (with possible +2-year extension embedded) across all insurance requirements; process completed Feb 2022 Training on occupiers' liability for key staff by our insurer.	Risk assessments are kept under review and inspection processes updated in the light of claims. Insurance requirements are kept under review and are adjusted for increases in personnel / premises/ vehicles/ turnover, as required.	Manageable (L/L)	Ongoing

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				Training on CDM Regs 2015 for key staff by our insurer.			
12	Risk of judicial review following failure to operate adequate processes (e.g. public consultations).	MO	Material (M/M)	Senior officer guidance, legal advice; Standing Orders; Financial Regulations; guidance on the roles of Members; advice to Members of the Planning Committee; written reports covering relevant issues. Complaints procedure (including process of referrals to Ombudsman) Enforcement Policy and Development Management Charter reviewed and updated in December 2022. Reviewed the Authority's processes for reporting planning decisions following a failure to record a comment from a consultee. Planning software system amended to ensure that the number of responses are always recorded and provides a prompt for the report author to address the responses in the report.	Maintain current processes.	Manageable (L/L)	Ongoing
	Organisational management and human factors						
13	Ineffective management: Failure to complete projects / meet targets; failure to follow agreed Policies and Strategies (procedural, operational and legal risk).	CEO/ SMT/S/Heads	Material (M/M)	Project management system, reviews of routine processes and for key projects, including performance improvement reviews; monitoring by Committee and SMT (including achievement of objectives and monitoring Performance Indicators, use of the Authority's project management framework). Managed policy / strategy library.	Specific risk registers maintained for major 'standalone' projects including Coast 2 Coast and Garsdale to Hawes. Provide all Senior Managers with bespoke training on Project Management.	Manageable (L/L)	Ongoing

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				Internal Audit and other review processes (including performance Improvement and major project reviews). Annual Review of achievement of Authority objectives (progress review, October; annual review after year-end, in July). Annual appraisal system for all officers (with 360-degree feedback on performance, for senior officers) and a programme of corporate training for staff; Confidential Reporting Policy. Lessons learnt from Projects: formal reviews each year. The Employee Code of Conduct was updated and adopted by Finance and Resources Committee in October 2024.	Review and update HR policies including Family friendly policies (AP 33.3; Mar) Developing project officer roles which are more dynamic and move between sections to avoid fixed term contracts for specific projects and introducing more flexible arrangements to fill short-term vacancies where there is an overriding business need.		
14	Inadequate staffing resources (including volunteers). Staffing insufficient for planned activity levels (especially in the light of surge in demand for land management expertise associated with national climate change mitigation programmes, FiPL and woodland creation). Links to Funding Risk, issue includes	CEO/ SMT/S/Heads	Material (L/M)	Recruitment and selection processes, including pre-employment health screening; 'Preventing Illegal Working'. Disclosure and Barring Service checks where critical / permissible; employment references. Training updates on recruitment to all staff involved in the recruitment process. Monitoring of recruitment (including equality). Benchmarking policy for salaries. Appropriate notice clause in employment contracts; developmental training, including management development, offered to staff to provide a degree of succession planning. Use of	Continue to monitor staff turnover, with quarterly reporting to F&R Committee meetings. Ensure that funding bids make proper allowance for required resources (rather than assumption that current staff have the capacity to deliver new programmes); this would contribute towards avoiding staff loss caused by workload or associated morale issues.	Manageable (L/L)	Specific and ongoing

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	lack of staffing capacity to manage the workload that comes with the new funding.			secondments / 'acting up'; market rate supplements and external consultants. Project management notes and recording, to assist hand-over. IIP standard. Documentation which describes how to undertake key processes, e.g. Finance Manual, Procurement Manual, Part-time staff with some capacity for short-term cover. Recruitment of a pool of casual Information Advisors problematic. Visitor centres close when staff off sick and no casuals available. Effective and efficient recruitment and selection procedure and process in place, to prevent a delay in appointing a replacement. Now hosting three internally funded apprenticeships. 5-year People Strategy reviewed May 2021, to ensure that we have the skills, experience and knowledge to deliver high quality and efficient services, including through blended working. Clearer and more flexible 'Market Rate Supplement' policy approved by F&R Committee in May 2023and being applied to posts in the Land Management and Development Management teams. The Authority is maintaining the implementation of the IIP action plan.	Cultural shift – some roles will need to become more flexible and may require working across different disciplines or teams. Issues about perceived 'fairness' of new opportunities, and how this is achieved particularly to stay in line with employment law.		

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				Volunteers' competencies matrix revised December 2022 to inform a training plan that ensures volunteers and volunteer supervisors are appropriately trained, skilled and supported to undertake their roles effectively. Evaluation framework for measuring the impact of volunteering activities completed. Annual Report of volunteering activity (F&R Committee, May). Volunteering Strategy reviewed December 2021			
15	Failure to comply with employment and related legislation. Liabilities arising from: harassment, bullying, sexual assault, other violence, discrimination; unfair dismissal.	CEO/MO/ Personnel Manager	Manageable (L/L)	Professionally qualified HR staff; Monitoring Officer; External Audit; guidance from central and local government; interaction with, and advice from, UNISON; Equality Act Annual Statement of Compliance; Equality, Diversity & Inclusion Working Group; Equality Impact Assessments of key projects, policies and proposals. External legal expertise. Anti-harassment and anti-bullying policy. HR policies reviewed in line with the cycle set out in the People Strategy. Equality, diversity and inclusion training for officers and Members, as required.	Maintain current processes. Annual Equality Report, December 2024. Review of EDI policy by Feb 2025.	Manageable (S/S)	Ongoing Specific
16	Health, Safety and Wellbeing; includes hazardous working (and personal security / lone working).	CEO/ Directors S/Heads	Material (M/L)	Health, Safety and Wellbeing procedures and policies, including appropriate training; compulsory risk assessment process; Safety Risk Register (actively maintained) to guard against physical /	Maintain current processes.	Manageable (L/L)	Ongoing

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	Employer liability. Risks to employees working in our offices and out in the National Park. Negligence / breach of statutory duty; corporate manslaughter			verbal abuse of staff; Health, Safety and Wellbeing working Group; Corporate Manslaughter Risk Matrix; Annual COSHH (Control of Substances Hazardous to Heath) assessment carried out and register maintained; likewise, property-related H&S assessments maintained; insurance; annual reporting (including accidents) to F&R Committee. External review of Fire Safety, conducted periodically, with action plan for improvements. Buddy procedure for staff and volunteers lone working. Routine external H&S Audit of properties and systems undertaken by North Yorkshire. Areas for improvement added to H&S action plan with person responsible and date for action to be completed. IOSH leading safely training for Senior Management team. IOSH managing safely training for all managers Risk assessment training for all staff involved in preparing and reviewing risk assessments H&S handbook kept under active review to incorporate changes in legislation and learning from near misses and accidents (along with associated risk assessments and the related H&S Strategic Action Plan, updated quarterly); Annual Health, Safety and Wellbeing report to F&R Committee (May).	Managers undertaking IOSH managing safely refresher training Competency H&S framework for posts reviewed by line managers		

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				HR and Health, Safety and Wellbeing procedures in place and regularly reviewed. Advice and guidance sought from insurers as appropriate,			
17	'Health' of buildings.	DoCS / Project & Estates Officer	Manageable (L/L)	Regular inspection of properties. Asbestos assessment completed. Premises Management Plan developed to cover all building risks (including methane, DDA, structural and electrical safety; methane, Radon, Fire risk, asbestos, vermin infestation, Legionnaires Disease). 'Review' process to ensure all management plans are active. The acquisition of a plot at the Langcliffe Quarry Enterprise Centre was completed in July 2024.	Maintain current processes. Ongoing planned maintenance and refurbishment of public toilets, to an annual cycle set in Property Strategy. Construction of a new Southern area ranger base.	Manageable (L/S)	Ongoing Specific
18	Officer stress and mental well-being.	CEO	Manageable (L/L)	Performance appraisal and management processes; Risk assessments; confidential Occupational Health advice; Employee Assistance Programme (EAP) including counselling service (confidential support service); organisational culture; HR policies including Capability / Improving Performance, Flexitime Scheme and Flexible Working; management process for sickness absence, managing mental health, managing Stress guidelines, emotional intelligence, and HSE Stress Risk Assessment. Changes to core hours implemented in December 2023 to help officers with managing work/life-balance. Overview reporting of Authority-wide sickness levels (quarterly); Mental Health awareness	Maintain current processes.	Manageable (L/S)	Specific

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				training available for all staff. Promotion of free and confidential mental health support available through Able Futures. Introduction and promotion of support available from trained internal Mental Health First Aiders. Access to Neurequity, a free mental health educational and information resource portal. Training on Building Resilience / Awareness, delivered by the Samaritans, June 2022.			
19	Physical risk from attack by a member of the public, in the field and at offices or NPVCs.	CEO/ SMT/S/Heads	Manageable (L/S)	Policies in place for off-site working. De-escalation training provided to all public facing officers. Process for notifying officers about potential risks of personal harm when visiting certain sites (Safety Risk Register). Buddy system in place; Lone working risk assessment. Process reviewed and updated, May 2021. Introduction of personal locator beacons (PLBs) in 2022, given to staff to enable them to raise the alarm with emergency services if necessary.	Maintain current processes.	Manageable (S/S)	Specific
20	Industrial Action	CEO	Manageable (L/S)	Relationship with Unison managed through regular Joint Consultative Forum meetings. At the annual staff meeting in November 2023, Unison was supported by the Authority during its drive to recruit employees to join the union and union information is now supplied in the welcome email sent to new starters. Given that Unison is the body with which the Authority consults on employment matters, a healthy membership is considered to be key for ensuring that Unison is representative of the staff body.	Maintain current processes.	Manageable (S/S)	Ongoing

	RISK			COUNTER MEASURES			
No	**Risk description**	**Risk owner**	**Risk pre-counter measures** (see explanation, below table) [Impact/ Likelihood]	**Taken (including current controls)**	**Planned**	**Target risk, post counter measures** (see explanation, below table) [Impact/ Likelihood]	**Proximity**
	Environmental factors / acts of God						
21	Physical damage or deterioration to NPA assets.	DoCS + Directors	Manageable (L/L)	Controls: insurance; maintenance work (including dedicated staff and budgets); fire safety reviewed regularly; Emergency maintenance arrangements; IT back up and contingency plans. 5-year Property Strategy revised December 2021; flood protection measures at the Dales Countryside Museum completed 2021/22. Replacement of equipment and plant on a rolling cycle.	Maintain current processes.	Manageable (L/S)	Ongoing
22	Adverse weather and other events (significant snowfall; inland flooding, moorland fires); impact is also on 'outside' project work, such as Rights of Way; damage to under-maintained bridges, leading to RoW degradation.	DoCS + Directors	Manageable (L/S)	Controls: home working capacity (now significantly enhanced, following introduction of blended working); gritting policy for car parks and annual risk assessments; member of North Yorkshire Wildfire Group. Re; bridges: via discussions with NYC/W&FC (which retains financial responsibility for large bridges). Introduction of MS Teams has reduced need to travel for meetings.	Staff respond appropriately to events; severe weather issues dealt with as they occur. Produce an updated climate change adaptation plan, as part of the next National Park Management Plan.	Manageable (S/S)	Ongoing
23	Carbon emissions	Directors	Manageable (L/L)	Corporate emissions reduction targets and active monitoring; Review of working practices to support reductions in greenhouse gas emissions from office energy use and business travel, completed November 2021.	Continue to complete remaining actions identified in the carbon reduction plan Switch to predominantly electric vehicle fleet in 2024/25.	Manageable (S/S)	Ongoing

	RISK			COUNTER MEASURES			
No	**Risk description**	**Risk owner**	**Risk pre-counter measures** (see explanation, below table) [Impact/ Likelihood]	**Taken (including current controls)**	**Planned**	**Target risk, post counter measures** (see explanation, below table) [Impact/ Likelihood]	**Proximity**
				A number of actions in the carbon reduction and sustainability action plan have now been completed including the preparation and research for a move to an electric fleet in 2024/25. Employee Voice group is taking the lead on some employee initiatives to achieve behavioural changes to some working practices (e.g. car sharing). The wording 'Support the Authority in reducing its carbon emissions by adopting greener working practices in line with Authority policies' has been added to all job descriptions.	Produce an updated organisational Carbon Reduction Plan for the period 2025-2030. (AP 35.1; Mar)		
	Technical / operational / infrastructure risks						
24	Loss of integrity of IT systems and records. Far greater reliance now placed on access to videoconferencing (risk of that not functioning effectively).	Head of F&R/Snr IT Officer	Severe (H/M)	Corporate Data is backed up several times a day and is replicated between our two main offices. Tape backups are performed weekly and stored off-network in a secure location. Systems capable of independent operation (network resilience); disaster recovery plan. WAN contract designed to provide additional capacity and resilience. 5- year IT Strategy reviewed and updated December 2022 Latest Website redevelopment completed 2021.	Work with departmental stakeholders to develop a structured SharePoint environment to enable staff to migrate their documents into the cloud (AP 34.3; Mar)	Manageable (M/L)	Ongoing

	RISK			COUNTER MEASURES			
No	**Risk description**	**Risk owner**	**Risk pre-counter measures** (see explanation, below table) [Impact/ Likelihood]	**Taken (including current controls)**	**Planned**	**Target risk, post counter measures** (see explanation, below table) [Impact/ Likelihood]	**Proximity**
				Review of the implementation of MS365 reported to SMT in January 2024.			
25	Business continuity - Unauthorised access and data security. Risk of cybercrime includes Viruses / hacking / sabotage.	SMT/Head of Finance/ ICT Manager	Material (M/L)	Firewall and virus control software; password control; back-ups at main server sites. Access control procedures. Encryption processes. Data Protection awareness; Staff declaration of compliance with IT security policies. The move to MS365 (with added mobile security) now complete, providing enhanced protection against unauthorised access. Should we become the victim of a ransomware attack, the ICT disaster recovery procedure (see Business Continuity Plan) would see us rebuilding the system using tape records (a very similar operation to that needed if the building hosting our servers was to burn down). Security software (implemented 2021) for Authority equipment, focusing on support for the move to blended working	Implement two factor security authentication on Authority devices.	Manageable (L/L)	Ongoing

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