

Committee: AUDIT AND REVIEW

Date: 9 November 2021

Report: ANNUAL RISK MANAGEMENT REVIEW

Purpose of the report

1. To provide Members with the opportunity to review the effectiveness of the arrangements for risk management, in line with the Authority's Risk Management Policy.

RECOMMENDATION

2. That Members agree that the Strategic Risk Register contains all identifiable higher level risks which the Audit & Review Committee requires to be monitored.

Strategic Planning Framework

3. The information and recommendation contained in this report are consistent with the Authority's statutory purposes and its approved strategic planning framework:
 - **Corporate Plan objective 37:** *'Operate governance arrangements that are fit for purpose, as reported through the Annual Governance Statement and the Annual Governance Report'*.

Background

4. The Authority's Risk Management Policy sets our approach to risk management and (via the Risk Registers) provides a coherent picture of all the corporate processes which help to make sure risks are managed to acceptable levels. The Policy applies a tiered approach involving:
 - a **Strategic Risk Register**, to demonstrate to the members of this committee that there is an active process for identifying and managing truly strategic risks;
 - an **Operational Risk Register**, designed to hold the details about how each risk and its components are controlled. This also demonstrates to other audiences that we have a detailed but proportionate approach to risk. These 'other audiences' include the external and internal auditors, UNISON and our insurers.

Risk Management Register; Annual Review

5. The Risk Management Policy states that this Committee should receive an annual report on risk management, to enable it to establish that the arrangements for risk management within the organisation remain appropriate and that the main risks facing the organisation are properly controlled. The chief sources of evidence that would assist in reaching such a conclusion are noted below.
6. The **External Auditor's Opinion**, covering all aspects of the Authority's work on its annual report and accounts (for the auditing cycle examining the accounts for the year ended 31 March 2021), is likely to conclude with an unqualified opinion on the way in which the Authority conducts and controls its activities.
7. The summary of the **Internal Audits** completed in 2021 by our contracted-out internal auditors was reported to this Committee in April. None of the reports identified significant weaknesses, and the 'level of assurance' over the controls examined was concluded to be 'substantial' (unchanged from the previous year). Whilst these internal audit reports recommended some improvements to the systems operated (which have now been implemented), there were no findings that added to either the Strategic or Operational Risk Registers.
8. The **Strategic Risk Register** is attached at **Appendix 1**, and has been reviewed by to ensure that it remains valid. No new strategic risks have been identified in the past year.
9. The **Operational Risk Register** is attached at **Appendix 2**. This has been updated following its review by the SMT in October 2021, and, whilst no new classes of risk have been identified since it was last reviewed by SMT in May 2021, a small number of additions or changes have been made to record particular risk management processes now underway. A Covid19-specific register is also included, though this is much reduced from the previous version because many of the risks associated with the pandemic are now covered by the main Operational Risk Register.

Conclusion

10. Risk management processes remain embedded within the Authority's work:
 - The Senior Management Team has undertaken its periodic reviews of the Operational and Strategic Risk Registers (in line with the Risk Management Policy);
 - Scheduled meetings with our insurance advisers have taken place, to make sure that we identify new risks as they emerge.

Richard Burnett
Director of Corporate Services

11 October 2021

Strategic Risk Register

This register records the 'higher level' or strategic risks facing the Authority and identifies who is responsible for managing them. Full details of how each risk is managed are set out in the Operational Risk Register.

Category of Risk	Description	Risk Assessment (see explanation, below table)	Owner	Entry on Operational Risk Register
<i>Strategic & Commercial risks</i>				
1. Reputation damage	Damage that undermines relationships with key partners, sponsors or the workforce, to the extent that the Authority's objectives become undeliverable.	Manageable	Members / CEO	1
2. Partnerships	Failure to achieve objectives in an efficient / effective / economic manner or to identify joint liabilities.	Material	Members / CEO	2
<i>Economic & Financial risks</i>				
3. Failure of Defra Grant	Further significant cut (>5%) in Defra core grant, necessitating additional operational cut-backs.	Severe	CEO/ SMT	4
4. Other Funding Risks	Failure (i.e. absence or shortfall) of External 'Grant' Funding; Ineffective partnership with YDMT and FLD; Bad Debts; Shortfalls in earned income.	Severe	CEO/ SMT	4
<i>Organisational management & human factors</i>				
5. Loss of Key Staff	Inability to deliver corporate objectives or to maintain services at agreed / accepted levels.	Material	CEO/ SMT	15
6. Health & Safety	Risk to staff, Members, volunteers and the public where proper procedures are not followed.	Material	CEO/ Directors/ Section Heads	17
<i>Political and societal factors</i>				
7. Public liability	Professional advice (e.g. planning, agricultural-related) given proves to be inadequate, leaving the Authority with significant exposure. Also, public liability in relation to works undertaken by the Authority that provides services or recreational opportunities.	Manageable	MO/ DoCS	11
<i>Technical and operational risks</i>				
8. Loss of IT system and records	Arising through either failure of communication network, or systematic failure of server environment, or of the maintenance capacity of either; leads to inability of Authority to operate. Data Protection failure.	Severe	HoFR/ Snr IT Officer	26

Explanation of Risk Assessment and Evaluation

All identified risks are scored against the likelihood of their materialising and for their impact if they did materialise. The following three tables describe this scoring system:

Table 1 identifies the ‘likelihood’ criteria, **Table 2** the ‘impact’ characteristics, and **Table 3** combines these two factors to give an overall classification ranging from ‘Very Severe’ to ‘Manageable’.

Table 1

Risk Likelihood Ratings	
Probability	Criteria
Small	0-5% (extremely unlikely to occur)
Low	6-20% (unlikely but not impossible to occur)
Medium	21-50% (fairly likely to occur)
High	51-80% (more likely to occur than not)
Very High	>80% (almost certain to occur)

Table 2

Risk Impact Ratings	
Probability	Characteristics
Small	Minimal loss, delay, inconvenience or interruption. Easily and quickly resolved
Low	Minor loss, delay, inconvenience or interruption. Short to medium term effect
Medium	Significant waste of time and resources. Impact on operational efficiency, output and quality. Medium term effect which may be expensive to recover
High	Major impact on costs and objectives. Serious impact on output and/or quality and reputation. Medium to long-term effect and expensive to recover.
Very High	Critical impact on the achievement of objectives and overall performance. Huge impact on costs and/or reputation. Very difficult and possibly long-term to recover

Table 3

Impact	VH					
	H					Very Severe Risk
	M				Severe Risk	
	L			Material Risk		
	S		Manageable risk			
		S	L	M	H	VH
		Likelihood				

Table 3 identifies four classes of risk:

- **Very Severe Risks** are those which cause most concern: their materialisation would have a potentially disastrous impact on the Authority’s reputation or business continuity; immediate and comprehensive action would be required.

- **Severe** Risks are also of significant concern, and should be covered by contingency plans: their materialisation would be severe but not disastrous, and some immediate action would be required, along with the development of an appropriate action plan.
- **Material** Risks have consequences that are not severe and which can be managed by contingency plans and more detailed action plans which can be developed later. But such risks still need regular monitoring.
- **Manageable** Risks are those that are inherent in most activities; the consequences of their materialising are generally not important enough to affect the whole business, and they can be managed during delivery. The status of such risks will be reviewed periodically.

The scoring of particular risks is the responsibility of SMT, subject to any advice from the Audit & Review Committee. In determining the likelihood of a risk occurring, all factors, including existing control mechanisms, will be taken into account.

Operational Risk Management Register

The register lists all identified risks facing the Authority, whether strategic (key) risks and their components or the much larger population of lesser risks that we deal with on a day to day basis. 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]

No	RISK			COUNTER MEASURES		Risk post counter measures (see explanation, below table)	Proximity
	Risk description	Risk owner	Risk pre-counter measures (see explanation, below table)	Taken (including current controls)	Planned		
	Political/ Strategic / Commercial						
1	<p>Reputation damage. Identified matters include:</p> <p>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.</p> <p>Use of logo by businesses: 'association' problem if used inappropriately Involvement in national initiatives (e.g. National Parks Partnership).</p> <p>Reputational risk associated with illegal release (including by hackers etc.) of personal</p>	Members (esp. Chair) CEO	Manageable	<p>Declarations / registers of Personal Interests (including officers); employment clauses; statutory Officers; training and recruitment procedures (Members training on the effective chairing of Committee meetings, Dec 2020; media training for the Chairman, Deputy Chairman and Member Champions, Jan 2021); Member Code of Conduct; Member Officer Protocol (reviewed 2020) , Social Media Protocol for Members, Duties and Responsibilities of Members, job descriptions for Member Champions and Chairs, Complaints procedure; Standards Committee; Employee Code of Conduct; Communications Team; corporate Media Procedure & Protocol (adopted 2020); Equality Awareness Training; Customer Service Excellence Award . Annual related-party's transaction questionnaire. Planning Code of Good Practice. Bi-monthly Monitoring of media activity, SMT.</p> <p>Managed process for Logo: terms and conditions state that user rights can be withdrawn. Visual</p>	<p>Review and update the Authority's social media strategy (AP 20/21 36.4; Dec).</p> <p>Review and revise the Authority's Complaints, Compliments and Comments policy AP 21/22 37.6; Feb).</p> <p>Provide the agreed programme of Member training for 2021/22 (AP 21/22 39.3; Dec).</p> <p>Resolve the definition and processes concerning Politically-restricted posts (CBu, Sept).</p> <p>Complete consultation on options for the new Local Plan (change of use, local occupancy, housing viability) (AP 2021/22, 34.4; Oct) and Prepare a first full consultation draft for the new Local Plan (AP 2021/22, 34.9; Mar).</p>	Manageable	<p>Long term</p> <p>Specific</p>

RISK		COUNTER MEASURES					
No	Risk description	Risk owner	Risk pre-counter measures (see explanation, below table)	Taken (including current controls)	Planned	Risk post counter measures (see explanation, below table)	Proximity
	<p>information.</p> <p>'Lost opportunity' from poorly communicating the Authority's performance and / or position.</p> <p>FiPL: unable to honour commitments entered into with farmers and other landowners (see Section 4, 'Funding Risks', for more details).</p>			<p>Identity Guidelines updated, 2021.</p> <p>Data protection (GDPR) measures in place (with active review process) [March 2021 Internal Audit judged there to be 'substantial assurance' around our systems], CPI Compliance and Data Protection Policy. (reviewed May 2021).</p> <p>Annual reporting of Complaints and Compliments.</p> <p>Communications Strategy, March 2020.</p> <p>Planning Training for Members, May and Oct. 2021; Risk Management Training, July 2021.</p> <p>Full reassessment against the Customer Service Excellence standard, June 2021.</p>	<p>Having responded to the Local Government Review consultation, follow the Government's decision, ensuring that the NPA creates and develops strong working partnership arrangements with the new Unitary bodies. (AP 21/22 35.9; Mar).</p>		
2	<p>Partnerships: failure to achieve objectives or to identify joint liabilities (includes poor costing, lack of focus and accountability, and failure of key partners).</p> <p>Other bodies may withdraw from partnerships because of their own financial pressures / budget cuts.</p> <p>National Trails Partnership: failure to agree continuation of funding levels and how funding distributed, and/or match funding required (25%) isn't secured.</p>	Members (esp. Chair) CEO	Material	<p>Management processes; insurance cover; Authority scrutiny.</p> <p>Re-evaluation of involvement with partnerships every two years, and of the nature of the constitution of each partnership.</p> <p>Member Champion participation and feedback on partnership activity.</p> <p>NPMP produced by steering group that includes all key 'delivery bodies that operate in the Park, thus ensuring buy-in. Steering Group also monitors progress on objectives, and produces annual report to the NPA; 2020 annual progress report on 2019-24 NPMP.</p> <p>Memorandum of Understanding with YDMT; effectiveness of partnership reviewed each year.</p> <p>National Trails Partnership (Pennine Way, Pennine Bridleway).</p> <p>Westmorland Dales project partnership (YDNPA as accountable body) NLHF are flexible with schemes,</p>	<p>Annual progress reports on 2019-24 NPMP.</p> <p>Carry out a light touch review of the NPMP objectives (AP 21/22 34.7, Nov).</p> <p>Review Governance arrangements for partnerships to ensure that proportionate arrangements are in place (AP 21/22 37.5; Dec).</p> <p>Direct and regular engagement with lead project management partner (Friends of the Lake District).</p>	Manageable	Long Term

No	RISK		COUNTER MEASURES				Proximity
	Risk description	Risk owner	Risk pre-counter measures (see explanation, below table)	Taken (including current controls)	Planned	Risk post counter measures (see explanation, below table)	
	<p>a complex area, given the variety and number of grants, especially for 'new' grant streams where claims processes are new.</p> <p>Reliance on external funding has increased with decision to accept increased staff costs of up to ~55% of gross expenditure.</p> <p>B4RN Broadband loans /share tranches and Lune Rivers Trust loans fail to be repaid.</p> <p>The FiPL programme places significant time pressure on delivery in order to access the available budget.</p>			<p>appropriate to meet contingencies and support planned work which extends beyond any one financial year.</p> <p>Loans have been funded from Revenue (so no impact on operational objectives if loans fail). Active monitoring, and schedule of loans agreed that minimises the maximum exposure over the years of the project.</p> <p>Income Generation Strategy: income will have increased from ~£8m to ~£10m in 2021/22.</p> <p>Working with Defra, we have arrived at a solution for FiPL whereby any residue of budget allocated but not spent can be made available for future years' spending.</p>		<p>The FiPL process is being managed closely. We require FiPL applicants to ensure that any activity committed within a given year is completed and accounted for in that year, to avoid the problem of not being able to meet commitments because of year-end limitations.</p>	
5	<p>Failure in financial management (controls, recording, reporting); errors in budgeting; treasury management loss; working capital inadequacy. Risk of change in Finance Team personnel; operational failure of Payroll.</p>	Members / DoCS	Manageable	<p>(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 staff, there is a documented hand-over and induction, plus probationary review. (iv) Internal audit monitoring.</p> <p><u>General controls:</u> 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,</p>	<p>Maintain current controls.</p> <p>Prepare the three-year budget strategy to 2024/25 (Dec); Projections to 2026/27.</p> <p>Produce the Statutory Accounts for 2020/21, and achieve an unqualified external audit opinion (AP 21/22 37.2; Nov).</p> <p>Act as accountable body for the Westmorland Dales Landscape Partnership; AP 21/22, 5.2, Mar).</p> <p>Consider how best to approach the matter of a Financial Resilience Assessment. identifying a solution that</p>	Manageable	Ongoing

No	RISK		COUNTER MEASURES				Risk post counter measures (see explanation, below table)	Proximity
	Risk description	Risk owner	Risk pre-counter measures (see explanation, below table)	Taken (including current controls)	Planned			
				conclusion: substantial level of assurance, (March 2021). Exercise to map compliance with CIPFA's Financial Management Code completed 2020 Revised and restructured the internal financial reporting process (July 2021).	is appropriate and proportionate to our circumstances (RB, Dec).			
6	Failure to comply with financial standards	DoCS	Manageable	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.	Maintain current controls	Manageable	Ongoing	
7	<p>Pension Scheme: risk of mismanagement or runaway contribution costs.</p> <p>Failure to adhere to auto-enrolment rules, and subsequent fine (re: auto-enrolment on appointment and on the 3-year anniversary).</p> <p>Triennial valuation due 2022, to set future rates from April 2023; risk of increased contributions.</p> <p>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</p>	Members/DoCS	Manageable	<p><u>Controls:</u> 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.</p> <p>Auto-enrolment procedures in place, controlled by HR Manager and Payroll Clerk.</p> <p>Maintain Pension Discretions Policy and related policies (last updated December 2019).</p>	<p>Maintain active membership of NY Local Government Pension Fund Officer Group.</p> <p>Extra costs of dealing with McCloud case: government proposals (Queen's Speech, May 2021) proposed remedy that will use what was otherwise a potential to reduce pensioner contributions to fund increased pensioner costs. Union challenge underway.</p> <p>The risk of an increased contribution rate would need be considered if and when a reorganisation is planned. No action required at this time.</p>	Manageable	Current / Ongoing	

RISK		COUNTER MEASURES					
No	Risk description	Risk owner	Risk pre-counter measures (see explanation, below table)	Taken (including current controls)	Planned	Risk post counter measures (see explanation, below table)	Proximity
	organisation's net Pension position.						
8	Fraud, Corruption and Theft (including expenses and collusive supplier fraud).	MO/DoCS	Manageable	<u>Controls:</u> Internal Audit (including annual audit of expenses); Treasurer role; Financial Regulations and accounting processes, including budget monitoring and managerial control; Gifts & Hospitality register; Employee and Member Codes of Conduct; Anti-Fraud & Corruption Policy; prescription and separation of duties, including Scheme of Delegation; Confidential Reporting (Whistle-blowing) Policy. Identity checks to constrain recruitment fraud. Asset register reviewed annually; car park cash collection contract; alarm facilities and contracts; Insurance.	Policies and controls kept under regular review.	Manageable	Ongoing
	Legal and regulatory						
9	Members, or officers under delegation, make an illegal or inappropriate decision.	Members / MO/DMO	Manageable	<u>Controls:</u> 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). Scheme of Delegation, reviewed March 2021.	Corporate governance work initiated through preparation of Annual Governance Statement (published as part of Annual Accounts in July) and AG report. Produce an Annual Governance Report to include a review of the Local Code of Corporate Governance (A) 21/22 37.4; Nov).	Manageable	Ongoing
10	Contracting failure (failure to complete contract, either because contractor not competent, or failure of their	S/Heads / MO	Material	<u>Controls:</u> Financial Regulations. Procurement advice from Solicitor and Finance Team (Procurement training for budget managers completed Feb 2021). Project management	Maintain current processes. Review the Procurement Strategy and produce a Procurement Manual for	Manageable	Specific and Ongoing

	RISK			COUNTER MEASURES			
No	Risk description	Risk owner	Risk pre-counter measures (see explanation, below table)	Taken (including current controls)	Planned	Risk post counter measures (see explanation, below table)	Proximity
	business)			framework. Procurement Strategy; Internal Audit of Procurement. Active contract management. For construction contracts, maintain final retention payment until end of defects liability period.	officers (AP 2021/22, 37.9; Mar)		
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 / Manageable	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. Review and revise the Risk Assessment and Inspection Process for National Park owned car parks and amenity sites (March 2021)	Risk assessments kept under review and inspection processes updated in the light of claims. Insurance requirements are being kept under review, and will continue to be adjusted for increases in personnel / premises/ vehicles/ turnover, as required. Insurance re-procurement, 3+ years contract across all insurance requirements; process now underway (MC Feb)	Manageable	Ongoing
12	Risk of judicial review following failure to operate adequate processes (e.g. public consultations).	MO	Material / Manageable	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. Data Protection Policy. Complaints procedure (including process of referrals to Ombudsman)	Maintain current processes.	Manageable	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). The move to Blended	CEO/ SMT/S/ Heads	Material	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). Managed policy / strategy library. Internal Audit and other review processes (including performance improvement and major project reviews).	Specific risk assessments maintained for major 'standalone' projects: includes Westmorland Dales Landscape Partnership (risk management for this project is reviewed regularly); also Covid-specific RA. Project and programme reviews	Manageable	Ongoing

RISK		COUNTER MEASURES					
No	Risk description	Risk owner	Risk pre-counter measures (see explanation, below table)	Taken (including current controls)	Planned	Risk post counter measures (see explanation, below table)	Proximity
	Working presents a risk to the quality of the Authority's services, and may be associated with high level of costs (e.g. IT licenses). 'Planned' activities address these concerns.			<p>Annual Review of achievement of Authority objectives (progress review, October; annual review after year end, in July).</p> <p>Annual appraisal system for all officers (with 360-degree feedback on performance, for senior officers); Confidential Reporting Policy.</p> <p>Lessons learnt from Projects: formal reviews each year.</p> <p>Employee Code of Conduct.</p> <p>Retained the Customer Service Excellence standard following the annual re-accreditation process (2021).</p> <p>Carried out a staff survey on internal communications; action plan based on findings is underway.</p>	<p>planned for 2021 were agreed in April.</p> <p>Undertake a full reassessment against the <i>Investors in People</i> standard, and achieve re-accreditation (AP 20/21, 39.4; Feb).</p> <p>Analyse the impact of new planning software on the operation of the Development Management service (AP 21/22 29.4, Nov).</p> <p>Carry out a performance review of the core Development Management service (AP 21/22 29.8; Mar).</p> <p>Oversee the project review on the implementation of Agile, the Planning IT system (RB; Oct).</p> <p>Begin the roll-out of 'blended working' arrangements, ensuring that the services provided by the Authority are enhanced or, at worst, unaffected by these changes (AP 21/22 36.2; July; process to include formal and informal reviews).</p> <p>Organise a programme of corporate training for staff, including 'Managing Remotely' and 'Effective use of videoconferencing' (AP 21/22, 39.1; Dec).</p> <p>Complete the cyclical review of HR Policies, concentrating on those that are relevant to a move to 'blended working' and with a view to rationalising the numbers of policies and</p>		

No	RISK			COUNTER MEASURES		Risk post counter measures (see explanation, below table)	Proximity
	Risk description	Risk owner	Risk pre-counter measures (see explanation, below table)	Taken (including current controls)	Planned		
					consolidating their content (AP 21/22, 39.5; Mar).		
14	<p>Staffing (incl. Volunteer Resources Recruitment risk/difficulties.</p> <p>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).</p>	CEO/SMT/S/Heads	Manageable	<p>Recruitment processes, including pre-employment health screening; psychometric testing; '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.</p> <p>Managed through budgeting process</p> <p>Now hosting four 'internal' apprenticeships.</p> <p>Annual Report of volunteering activity (F&R Committee, May)</p> <p>5-year People Strategy (May 2021), to ensure that we have the skills, experience and knowledge to deliver high quality and efficient services, including through blended working.</p>	<p>liP action plan: additional detailed work scheduled for 2021/22</p> <p>Review the Volunteer Strategy (AP 21/22, 13.1; Dec)</p>	Manageable	Ongoing
15	Loss of key staff. Includes contingency planning for 'emergency' scenarios.	CEO/SMT/S/Heads	Material	<p>Notice clause in employment contracts; developmental training, including management development, offered to staff to provide a degree of succession planning. Use of secondments / 'acting up'; external contracting. Project management notes and recording, to assist hand-over. liP standard.</p> <p>Documentation which describes how to undertake key processes, e.g. Finance Manual, Legal Practice Manual. Part-time staff with some capacity for short-term cover. Recruitment of a pool of casual workers to cover occasional Reception shortfalls also available to provide some admin cover.</p>	Maintain current processes.	Manageable	Specific and ongoing
16	Failure to comply with employment and related	CEO/MO/Personn	Manageable	Professionally-qualified HR staff; Monitoring Officer; External Audit; guidance from central and local	Maintain current processes.	Manageable	Ongoing

RISK		COUNTER MEASURES					
No	Risk description	Risk owner	Risk pre-counter measures (see explanation, below table)	Taken (including current controls)	Planned	Risk post counter measures (see explanation, below table)	Proximity
	legislation. Liabilities arising from: harassment, bullying, sexual assault, other violence, discrimination; unfair dismissal.	el Manager		<p>government; interaction with, and advice from, UNISON; Equality Act Annual Statement of Compliance; Equality, Diversity & Inclusion Working Group-led Equality Impact Assessments of key projects and proposals. Availability of in-house legal expertise. Anti-harassment and anti-bullying policy.</p> <p>HR policies reviewed in line with the cycle set out in the People Strategy.</p> <p>Equality, diversity and inclusion training for officers and Members, as required (most recently, Dec 2020 with further sessions this Autumn.).</p> <p>ToR of EDI Working Group updated April 2021.</p>	<p>Planned schedule of reviews of HR policies, in line with People Management Strategy (March)</p> <p>Annual Equality Report, due December 2021.</p> <p>Monitor the results from Equality Impact Assessments to demonstrate that that we have taken these into account when assessing the 'Equity' aspect of the Value for Money (VfM) of service delivery. (Nov)</p>		Specific
17	Health & Safety; includes hazardous working (and personal security / lone working).	CEO/ Directors/Heads	Material	<p>Health & Safety procedures and policies, including appropriate training; compulsory risk assessment process; Safety Risk Register (actively maintained) to guard against physical / verbal abuse of staff; H&S working Group; Corporate Manslaughter Risk Matrix; Annual COSHH (Control of Substances Hazardous to Health) 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.</p> <p>H&S handbook kept under active review (along with associated risk assessments and the related H&S Strategic Action Plan, updated quarterly); Annual H&S report (May).</p>	<p>Maintain current processes.</p> <p>Covid19-related RAs being reviewed in response to changes in government guidance.</p>	Manageable	Ongoing
18	'Health' of buildings.	DoCS / Project & Estates Officer	Manageable	Regular inspection of properties. Asbestos assessment completed. Premises Management Plan developed to cover all building risks (including methane, DDA, structural and electrical safety;	<p>Maintain current processes.</p> <p>Ongoing planned maintenance and refurbishment of public toilets, to an</p>	Manageable	Ongoing Specific

	RISK			COUNTER MEASURES			
No	Risk description	Risk owner	Risk pre-counter measures (see explanation, below table)	Taken (including current controls)	Planned	Risk post counter measures (see explanation, below table)	Proximity
				methane, Radon, Fire risk, asbestos, vermin infestation, Legionnaires Disease). 'Review' process to ensure all management plans are active.	annual cycle set in Property Strategy (under review: Strategy for next 5 years to be set in Dec 2021).		
19	Officer stress and mental well-being.	CEO	Manageable	<p>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 and Flexible Working; management process for sickness absence. Managing Stress guidelines and HSE Stress Risk Assessment.</p> <p>Overview reporting of Authority-wide sickness levels (quarterly); Mental Health awareness training available for all staff, Managing Mental Health sessions for line managers. 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.</p>	Maintain current processes.	Manageable	Specific
20	Physical risk from attack by a member of the public, in the field and at offices.	CEO/ SMT/S/ Heads	Manageable	Policies in place for off-site working. De-escalation training provided at NPCs and for Rangers and Planners. 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.	Maintain current processes.	Manageable	Specific
21	Industrial Action (at time of writing, 2021/22 annual inflationary pay increase was a potential source of dispute).	CEO	Manageable	Relationship with Unison managed through regular Joint Consultative Forum meetings.	Maintain current processes.	Manageable	Ongoing
	Environmental factors / acts of God						
22	Physical damage or deterioration to NPA assets.	DoCS + Director	Manageable	<u>Controls</u> : insurance; maintenance work (including dedicated staff and budgets); fire safety reviewed	Maintain current processes.	Manageable	Ongoing

RISK		COUNTER MEASURES					
No	Risk description	Risk owner	Risk pre-counter measures (see explanation, below table)	Taken (including current controls)	Planned	Risk post counter measures (see explanation, below table)	Proximity
		s		regularly; Emergency maintenance arrangements; IT back up and contingency plans. Re-roofing and other repairs to Yoredale meeting rooms scheduled for 2021/22 now complete.	Review and revise the 5-year Property Strategy to support the future requirements of blended working and further carbon reductions (AP 21/22, 39.8; Feb) Undertake flood protection measures at the Dales Countryside Museum (AP 21/22 39.2; Jul).		
23	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	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 NYCC/CCC (which retain financial responsibility for large bridges).	Staff respond appropriately to events; severe weather issues dealt with as they occur. Ongoing works (incl. using funding from NYCC) on flood repair works following late summer 2019 flood damage; to be completed in 2021/22.	Manageable	Ongoing
24	Carbon emissions	Director s	Manageable	Corporate emissions reduction targets and active monitoring; plan of capital works to premises completed March 2021.	Put in place new working practices to support reductions in greenhouse gas emissions from office energy use and business travel (AP 21/22, 40.2; Dec).	Manageable	Ongoing
	Technical / operational / infrastructure risks						
25	Loss of IT system and records. Greater reliance now placed on access to videoconferencing.	Head of F&R/Snr IT Officer	Severe	Systems capable of independent operation (network resilience); disaster recovery plan. WAN contract designed to provide additional capacity and resilience. A basic payroll can be run if the in-house 'main' system is unavailable, ensuring that officers will at least be paid their basic salary. Tills at NPCs can operate independently of the main Retail system (main system updates on reconnection) IT Strategy 2017-2022 in place. Latest Website redevelopment completed 2021	Annual Reviews of IT functionality by Internal Audit. Review and revise the 5-year IT Strategy, to incorporate changes necessary to support the move to effective blended working (AP 21/22, 39.9; Feb); process so far has seen the move to MS365.	Manageable	Ongoing

RISK		COUNTER MEASURES					
No	Risk description	Risk owner	Risk pre-counter measures (see explanation, below table)	Taken (including current controls)	Planned	Risk post counter measures (see explanation, below table)	Proximity
26	Unauthorised access and data security. Risk of cybercrime includes Viruses / hacking / sabotage.	Head of F&R/ Snr IT Officer	Material	<p>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.</p> <p>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 & Disaster Recovery 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).</p>	<p>Implement security software for Authority equipment, focusing on support for the move to blended working (AP 21/22, 39.3; Aug)</p> <p>Over the next year we will be making more use of our 365 licensing to better protect our remote equipment (enrolling all mobile devices in MDM Solution included with MS365).</p>	Manageable	Ongoing

COVID-19 (October 2021)

RISK		COUNTER MEASURES					
No	Risk description	Risk owner	Risk pre-counter measures (see explanation, below table)	Taken (including current controls)	Planned	Risk post counter measures (see explanation, below table)	Proximity
	Political/ Strategic / Commercial						
1	Inability to operate Authority or Committee meetings, due to lock-down.	CEO	Material	'In person' committees recommenced in May 2021, with full risk assessment (and appropriate Covid risk-limitation measures) in place.	Awaiting Government response to the Call for Evidence on Remote Meetings to see whether changes to the law will be enacted to permit future committee meetings by VC (not imminent.)	Manageable	Ongoing
2	Communications: failure to successfully articulate an	CEO/ Comms Manager	Material	High degree of proactive media engagement and coverage, leading to widespread (including	Continue with proportionate and proactive approach, on an 'as	Manageable	Ongoing

RISK		COUNTER MEASURES					
No	Risk description	Risk owner	Risk pre-counter measures (see explanation, below table)	Taken (including current controls)	Planned	Risk post counter measures (see explanation, below table)	Proximity
	<p>appropriate policy on Covid matters (esp. re; visitors) to the public.</p> <p>Failing to balance concerns of local residents against the wider public's aspirations to be able to visit the countryside (and risk alienating either group of stakeholders).</p>	, Head of Rangers etc.		<p>national) and positive coverage of our approach. Very significant increase in uptake on social media channels, following positive approach taken to Comms.</p> <p>Developed strong 'respect' message.</p> <p>Work with other agencies (incl. local police) to help to manage the message to visitors.</p> <p>Premises have re-opened in line with the government's 'road map' but with measures in place to ensure that they remain Covid secure.</p>	required' basis.		
3	Risk of failing to deliver corporate plan actions for 2021/22, either because of insufficient time or continuing restrictions.	CEO/Dir PS	Manageable	Action Plan 2021/22 prepared in the light of the ongoing situation, with what are considered to be realistic targets for the expected recovery trajectory (gradual and permanent easing of pandemic effects) for the year.	Ongoing monitoring of Action Plan. Continue to deal with the impacts of the Pandemic and implement the recommendations from the Authority's performance review (AP 21/22 35.4, Dec).	Manageable	Ongoing
Organisational management and human factors							
4	Health & Safety	CEO / Dir PS	Material	<p>Risk assessments in place for premises and activities: task based assessments; site visits, workshops premises, National Park Centres, contractors working at sites; controls over visiting Authority premises: restricted access to premises introduced; sharing of equipment minimised (including vehicles), and enhanced cleaning regimes in place.</p> <p>PPE made available to staff where required as part of risk assessment</p> <p>Home working arrangements: assessments of suitability in place (signed off by managers), DSE considerations; option to take home chair if required as part of DSE assessment.</p>	<p>Ensure that work premises and practices have appropriate systems to limit the risk of Covid19 infection, in line with current status of Government guidance (all new guidance is monitored regularly, and advice on its implementation is obtained from the Authority's external H&S adviser) where necessary.</p> <p>Risk assessments for activities kept under review and regularly updated in the light of changing Government guidance.</p>	Manageable	Ongoing

