

# Audit and Risk Committee

08 February 2022

Agenda item number 11

## Corporate Risk Register- Review

Report by Senior Governance Officer

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### Summary

The Broads Authority's Risk Register is presented for the Committee's information.

### Recommendation

To note the updated Corporate Risk Register.

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## 1. Background

- 1.1. The Audit and Risk Committee's responsibilities for risk are set out in its [Terms of Reference](#).
- 1.2. The Corporate Risk Register (CRR) sets out the "across the board" risks that could threaten the Authority's core business and the way it operates. Below this are Directorate Risk Registers (DRR) which are managed by each Director and identify risk that could threaten day to day operational activities. Where a new risk identified within a directorate has a revised risk score above 16 (high risk) it is automatically referred to the CRR for monitoring by Management Team and this committee. If new mitigation measures put in place then reduce the risk's score to below 16 (moderate to low risk), the risk is removed from the CRR but retained on the DRR.
- 1.3. The CRR was last seen by committee in July as part of a biannual review cycle. However, as part of its consideration of the Corporate Partnership Register at the meeting on 21 September 2021, the Committee requested that the Corporate Risk Register be presented at every Audit and Risk Committee meeting.
- 1.4. The Authority also has a Risk Management Policy, which sets out the rules and standards for managing strategic and operational risk and guides staff in assessing, monitoring and managing risk. This policy is reviewed every two years and as it was last reviewed in January 2020, it is on the agenda for today's meeting (as a separate agenda item).
- 1.5. The Management Team has overall responsibility for the risk registers and policy and risk owners are responsible for reviewing and updating their individual risk. Every risk is reviewed regularly or when there is a significant change in circumstances.

## 2. Review of risk registers

- 2.1. The CRR was reviewed by Management Team in January 2022, following a review of the DRRs, and the updated register is at Appendix 1.
- 2.2. As a consequence of the risk score for reputation (related to planning function) in the Strategic Services Directorate increasing to a high risk, this has been amended in the CRR (risk no. 2 - reputation). In addition, the score for risk no. 10 (reputation - disruption to key project partnerships) has been amended from medium to high risk to reflect issues in the partnership agreement for the Nature for Climate Peatland Grant Scheme. Risk no. 7 (performance) has been deleted as this is not considered to be a corporate risk, as it is held on Strategic Services DRR being related specifically to planning.

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Date of report: 25 January 2022

Appendix 1 – Corporate Risk Register

## Broads Authority Corporate Risk Register (update January 2022)

Risk no.	Primary impact areas People, assets, finance, performance, reputation	Risk name Risk that may affect the BA	Risk description Impact on delivery of BA objectives, service delivery, reputation	Date first entered on risk register	Initial likelihood Score 1-5	Initial severity Score 1-5	Initial risk score Likelihood x severity	Tasks to mitigate risk Controls/safeguards/precautions to date, noting any other factors that may influence the risk	Revised likelihood Score 1-5	Revised severity Score 1-5	Revised risk score Likelihood x severity	Additional actions required What we plan to do within the next 12 months	Risk owner ultimately responsible for risk
1	People, performance	Loss of key staff	Loss of working knowledge, expertise and/or close partnership associations due to key staff leaving Authority or being unavailable for long periods.	19/8/2019	4	4	High risk 16	<p>Resilience plan in place for handover period when key staff leave Authority or are unavailable for significant periods.</p> <p>HR policies and procedures in place to monitor absence and to support staff retention.</p> <p>Electronic data storage under review to allow access to any officer's files.</p> <p>Business Continuity Plan in place with systems back up. Plan reviewed annually (or following significant incident).</p> <p>Remote server enables office-based staff to work from home if required (e.g. period of quarantine).</p>	3	3	Medium risk 9	<p>Implement MS Teams to share data across Authority more effectively.</p> <p>Implement hybrid working to increase flexible working options.</p> <p>Review Business Continuity Plan and report to ARC (July).</p>	Chief Executive
2	Reputation	Harmful actions undermining public confidence in Broads Authority	Reputational damage caused by comments or actions by Authority members or officers, with consequent harm to relationships with stakeholders and/or undermining of public confidence in Authority.	19/8/2019	<del>24</del>	4	Medium-high risk <del>168</del>	<p>Code of Conduct for Members in place containing Nolan Principles of Conduct, and training given to all Members.</p> <p><a href="#">Code of Practice for Members of the Planning Committee and officers (Sept 21)</a></p> <p>Code of Conduct for Officers included with HR policies.</p> <p>Director trained in Data Protection and GDPR; staff have specific data protection training, refreshed annually.</p> <p>Protocol on Member and Officer Relations in place. <a href="#">(updated 2021)</a>.</p> <p>Proactive communication policies relating to local and social media in place.</p> <p>Monitoring Officer and Deputy Monitoring Officer in place (service agreement with East Suffolk Council), with specialisms in Local Authority governance.</p>	<del>24</del>	<del>34</del>	Medium-high risk <del>166</del>	<p>Complete review and update of constitutional documents (incl. Code of Conduct <a href="#">Complaints Process</a>) and supporting guidance by end of <a href="#">March 2022</a>.</p> <p><a href="#">Possible actions following a review into the handling of the Haddiscoe planning applications</a></p>	Chief Executive
3	Assets	Loss of key physical assets	Damage to, loss of or malfunction to key assets, impacting on BA	19/8/2019	3	4	Medium risk 12	Asset Management Strategy in place.	3	2	Medium risk 6	<del>Implement action plan to consolidate</del>	Director of Operations

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			operations/ duties and public access or services (e.g. navigation, moorings, Mutford Lock, rail bridges, Port of Norwich).					Integrated Access Strategy and Moorings Strategy in place (updated 2019). Rail bridges: Legal undertaking in place with Network Rail regarding bridge maintenance and operations. BA in Working Group with Norfolk County Council, New Anglia and Network Rail. Insurance in place for equipment and buildings over £250 - cover includes business interruption for Yare House and Dockyard. Landowner negotiations processes in place. Programmed inspection regime in place and regular maintenance carried out.				network of mooring provision across system  Review Integrated Access Strategy action plan.	
4	Finance	Reduction in income	Uncertainty about National Park and/or Navigation funding, as any reduction would affect our ability to deliver our duties, e.g. <ul style="list-style-type: none"> <li>Awaiting NPG funding confirmation from Defra</li> <li>Loss of toll income due to changes to/ impacts on local tourism industry)</li> </ul> <p>Loss of money as a result of fraud incident against the BA, including cybercrime</p>	19/8/2019	3	5	Medium risk 15	Regular contact with Government (DEFRA) regarding Comprehensive Spending Review. Consideration of external funding opportunities to plug any gaps. Regular input to Government consultations. Prudent budgeting for Navigation and National Park expenditure. Reserves in place to mitigate against sudden drop in income. Significant blocks of work delivered through external funds won by Authority. Training in cybercrime given to all budget holders.	2	3	Medium risk 6	Model expenditure options depending on proposed grant settlement and toll increases (Sept 2022).  Review impact of Covid-19 restrictions on boat numbers and levels of Authority reserves (monthly and in advance of tolls setting process).  Review minimum reserve levels in summer 2022 to mitigate any future pandemic impacts.	<a href="#">Chief Financial Officer</a> <a href="#">Director of Finance</a>

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												Achieve cyber essentials accreditation.	
5	People, performance	Large-scale public health crisis	Significant public health crisis (e.g. pandemic), where Government imposed measures affect the continuity of the BA's operational services and prevent visitors accessing the Broads for prolonged periods.  (also see risk no.4)	02/07/2020	5	5	High Risk 25	<p>Strict adherence to Government guidance and mitigation measures in place for staff, volunteers and members.</p> <p>Yare House, TICs and remote offices and facilities risk assessed and WFH measures in place for staff (where role allows). Key services (Safety Management) maintained within executive area.</p> <p>Clear and concise internal and external communications in place.</p> <p>Business continuity/disaster recovery plan and incident reporting system in place and reviewed regularly. Incident response team meet as required to determine appropriate actions, services and measures to respond to crisis.</p> <p>Broads Authority convened to establish emergency powers and delegated powers needed to run the Authority.</p> <p>Communication links in place with relevant Government departments to assess measures, clarify advice and safeguard funding.</p> <p>Key services, budgets and reserves reviewed to safeguard delivery of Broads Plan priorities and externally funded projects.</p>	5	4	High Risk 20	<p>Review <del>opening</del><del>going use of of</del> head office at Yare House and staff working patterns as COVID <del>restrictions</del><del>situati on evolves. ease;</del> <del>keep measures in place to return to lockdown</del> <del>restrictions if required.</del></p>	Chief Executive
6	Performance	Failure to meet statutory purposes or requirements of other relevant legislation	Underperformance in achieving, or conflict between, our statutory purposes resulting in legal issues or adverse impacts on the Broads and stakeholders (e.g. contravening Habitats Directive, loss of navigation access).	19/8/2019	3	5	Medium risk 15	<p>Provision of external legal services and Monitoring Officer (MO) in place.</p> <p>Constitutional documents in place and regularly reviewed.</p> <p>Strategic plans (incl. Broads Plan) and Broads Local Plan subject to review and to Sustainability Appraisal/SEA and Habitats Regulations Assessment.</p>	2	2	Low risk 4	<p>Monitor external legal and MO services on a quarterly basis.</p> <p><del>Launch</del> <del>consultation of the Draft Review</del> Broads Plan (timetable to BA <del>May July 2021</del>2). <del>Continue</del><del>commenc</del></p>	Chief Executive

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								<p>Detailed environmental practices in place, including Environmental Standard Operating Procedures.</p> <p>Collaborative working in place with key stakeholders to understand and address issues and risks.</p> <p>Officer level project boards in place with Wildlife Trusts, Natural England and Environment Agency to monitor progress and ensure compliance with statutory regulations.</p> <p>Scientific research and monitoring ongoing to assess impacts, and mitigation measures developed if potential harm identified.</p>				e review review of Broads Local Plan.	
7	Performance	Failure in role as local planning authority and in meeting national planning performance targets	Underperformance of planning function, resulting in legal issues/negative impacts.	19/8/2019	3	4	Medium risk 12	<p>Statutory duties identified as part of appraisal process with key staff.</p> <p>Staff training in place.</p> <p>Planning delivery monitored formally (Planning Committee review performance quarterly and appeals annually).</p>	2	4	Medium risk 8	Monitor planning delivery on a quarterly basis.	Director of Strategic Services
8	People	Safety-related incidents (operational works) resulting in death or serious injury	Death or serious injury to officer, volunteer or member of public in relation to the carrying out of operational works.	19/8/2019	5	5	High risk 25	<p>Health and safety policies in place and reviewed regularly by H&amp;S Committee and risk owners.</p> <p>H&amp;S Committee monitors and reviews incident reports; risk assessments reviewed and updated regularly.</p> <p>All staff and volunteers trained in key H&amp;S issues; regular tool box talks given before carrying out tasks.</p> <p>Safety observations ONS system in place to catch near misses and learn from incidents. All accidents investigated; regular audits used to check control measures.</p> <p>Insurance in place for legal expenses.</p>	2	5	Medium risk 10	<p>Monitor changes in H&amp;S legislation.</p> <p>Monitor industry best practice and implement changes where required.</p> <p>Review Codes of Practice to maintain operational suitability and safety (end 2024).</p> <p>Carry out internal review of key H&amp;S legislation to</p>	Director of Operations

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								Quarterly reports on H&S monitoring assessed by Management Team. Safety system externally audited to ensure fit for purpose and compliance.				ensure Authority processes are appropriate (end 2022 <del>4</del> ). <a href="#">Internal Audit on Health and Safety scheduled for 2022.</a>	
9	Reputation	Safety-related incidents (boating) resulting in death or serious injury	Failure to exercise powers as a navigation authority and licencing authority, resulting in death and injury to boat hirers due to poor performance by hire boat operators.	18/06/2021	5	5	High risk 25	Safety videos provided to boat hirers in advance of holiday. Ranger services in place (additional Rangers recruited in 2021) providing advice to waterways users. Survey of HBO handover procedures carried out to assess efficacy. Broadcaster, pre-visit training videos and other safety information provided to boat hirers. Hire Boat licencing and audit of licensees in place. Boat Safety Scheme and inspections in place. Compulsory 3 <sup>rd</sup> party insurance in place for boats. <a href="#">Implement the new Hire Boat Code</a>	4	5	High Risk 20	<del>Review hire boat licencing scheme.</del> Review and respond to findings of MAIB investigation into incident at Great Yarmouth. <del>Implement findings of PMSC audit.</del>	Director of Operations
10	Reputation, performance	Disruption to key project partnerships	Failure to deliver Defra <del>and other</del> funded schemes and partnership projects on time, <del>with available resources</del> and within budget, leading to potential financial issues, <del>legal issues</del> , lack of service delivery or adverse publicity.	19/8/2019	<del>3</del> 4	4	Medium/High risk <del>12</del> 16	Contractual arrangements in place for key partnerships (see Partnerships Register). Projects risk registers maintained for CANAPE and Water, Mills & Marshes <del>and Nature for Climate Peatland Grant Scheme (NPCGS)</del> projects. Regular project progress reported to Broads Authority. <del>For NPCGS, meetings with Palladium to resolve the IPRs issues in the partnership agreement.</del>	3	<del>3</del> 4	Medium risk <del>9</del> 12	Review Partnerships Register (Nov 2022). <del>Implement</del> Develop a medium term funding model for UK National Park Comms Team <del>from 1 April 2022.</del> Set up internal project board and risk register for <del>NPCGS Farming in</del>	Chief Executive

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								Proactive role maintained within formal and informal partnerships at officer and member level.  Regular meetings held with funders to discuss progress and highlight issues in timing or delivery.				Protected Landscapes (FiPL).	
11	Performance	Breach in data security or data protection, or loss of data.	Failure by staff to follow IT and/or GDPR processes or protocols, resulting in in-built security being bypassed and allowing data loss or data breach.	19/8/2019	4	4	High risk 16	Data/IT systems secured through firewalls, anti-virus software, password and security policies, online training for staff and HR policy.  Bi-annual internal audit of IT systems and processes carried out.  Certified GDPR Data Protection Officer(s) and GDPR Compliance Plan in place, and data protection training given to all staff.  ICT security protocols reviewed in light of staff working from home to ensure compliance.	2	4	Medium risk 8	Monitor and review case law and keep up to date with GDPR & data protection information/best practice.  Provide refresher GDPR & Data Protection online training via ELMS to all staff (by end 2024).	Director of Operations

Prepared by: Management Team, ~~Head of~~Senior Governance Officer  
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