

Review of Strategic Risk Register
Report by Solicitor and Monitoring Officer

Summary:	The Strategic Risk Register has been reviewed and updated following consultation with risk owners in June 2018 and Management Forum in August and October 2018.
Recommendation:	(1) That the Committee reviews and approves the Strategic Risk Register (2) The Committee notes and considers the other matters raised within this report.

1 Background

- 1.1 The Authority's Strategic Risk Register is reviewed by Risk Owners 6-monthly in December and June each year. For June 2018 the Register was subject to its most recent review in conjunction with Risk Owners by the Solicitor and Monitoring Officer. The Register was then considered by Management Forum in both August and October 2018.
- 1.2 The Register contains a scoring system for both Initial Risks and Revised Risks, the latter re-scored after applying the mitigating factors of the safeguards and precautions listed. In each case the risks are scored by 0 to 3 for Severity (S) and Probability (P). The Risk (R) is then set out 1 to 9 by multiplying S by P. In some cases the assessment of the Revised Risk has not produced a lower figure than the Initial Risk.
- 1.3 The Revised Risk is the scoring which remains after all current mitigation.

2 The Committee's responsibilities for Risk

- 2.1 As with all functions of the Audit and Risk Committee, these are provided by the Authority's Terms of Reference of Committees, considered in more detail elsewhere on this Agenda.
- 2.2 In relation to the Strategic Risk Register, these provide:
 - “(10) To consider the authority's Strategic Risk Register to ensure that it adequately addresses the risks and priorities of the authority.
 - (11) To monitor the effective development and operation of risk management in the authority.

(12) *To monitor progress in addressing risk-related issues reported to the committee and to seek assurance that risks are being managed within the risk appetite of the authority.”*

3. Risk in context

- 3.1 The context of the Authority’s risk management function is relatively complex. Risk include factors arising from its statutory purposes, the policies and funding priorities of the government of the day, environmental aspects from local to global scale, UK and EU regulatory frameworks, the interests of stakeholders and the management of the Broads Authority’s executive area.
- 3.2 The CIPFA Framework for Delivering Good Governance in Local Government (2016 Edition) establishes seven Core Principles. One of these is *“Managing Risks and performance through robust internal controls and strong public financial management.”* The Authority’s new Code of Corporate Governance adopted in July 2018 addresses this Core Principle.
- 3.3 Previous advice from CIPFA was that the number of strategic business risks should be limited to those that are considered business-critical, typically up to 20 risks. At present the Strategic Risk Register has developed to include 22 risks. The Committee may wish to consider whether it wishes to reduce the number of risks in the Register.
- 3.4 The primary responsibility for identifying risk falls to the officers at Management Forum and risk owners as service managers have the best awareness of the risks in their areas of work.
- 3.5 Risk is not always a purely negative concept and some risks may reflect new opportunities such as a new commercial endeavour or expansion into a new service area. Accordingly, analysis of risks should be undertaken within project proposals. The Authority should then decide whether the level of residual or target risk is acceptable given the potential benefits inherent in the opportunity.

4. Treatment of risk

- 4.1 Risk can be treated in four ways: avoidance, transfer, reduction and acceptance. Sometimes these are referred to as the “4 T’s”: tolerate, treat, transfer or terminate.
- 4.2 Sometimes risks can be avoided altogether by not engaging in an activity at all. However, the most satisfactory manner is to weigh risk avoidance against the advantage of undertaking the activity with greater safeguards in place.
- 4.3 Risk transfer can be undertaken when a risk is insurable.

- 4.4 Risk reduction is where mitigation factors are applied against the risk concerned. The Strategic Risk Register has had mitigation considered by the risk owners and the steps taken feature widely within the Register.

5. Risk Appetite of the Authority

- 5.1 For the purpose of the latest review, the risk appetite has been scored as less than a score of 4 on the revised risk. Risks scoring higher than this have been highlighted in red. Risk appetite is a matter falling within the considerations of the Committee.
- 5.2 Due to its relatively small size and consequent vulnerability, the Authority operates to a relatively low level of risk appetite than compared with larger public bodies. This is especially true with regard to financial wellbeing. For example the Authority maintains a minimum level of reserves following the advice of the section 17 Officer and will not generally set a budget that incurs any deficit.
- 5.3 Whilst the Broads Authority's risk appetite can broadly be categorised as cautious, it may not be considered that risk appetite should formally be articulated across the Authority. The Authority's size and complexity of its operations mean that it has a large number of highly-qualified specialists and experienced officers at all levels. Therefore, it can respond quickly and effectively to changing circumstances.
- 5.4 The Committee may wish to set criteria by which individual risks are brought to it. One option may be those risks where they have a revised risk of 4 or more.

6 Conclusion and Recommendation

- 6.1 The Committee is asked to review the Strategic Risk register and to approve it. It is also asked to note and consider other matters raised. It may be appropriate for the outcome of those considerations to lead to the formation of a Risk Management Strategy in due course.

Background papers:	Nil
Author:	David Harris
Date of report:	26 November 2018
Broads Plan Objectives:	N/A
Appendices:	Strategic Risk Register

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Version: June 2018 updates

Updates reviewed by Management Forum on 8 October 2018 with actions and amendments highlighted in yellow

Introduction and overview

This is the Broads Authority Strategic Risk Register

Presently there are 22 sections, or risk areas identified.

The Register is reviewed six-monthly by the risk owners identified in each section and this is organised by the Solicitor and Monitoring Officer.

The risks are assessed both before and after the application of the mitigating factors under the Controls/Safeguards/Precautions column.

New risks should be identified by risk owners and Management Forum

For the purpose of scoring each risk:

S = Severity of risk is scored by 1 to 3 (3 being highest)

P = Probability of the risk occurring is scored by 1 to 3

R = the Risk score which will be (S x P) and will produce R - a figure of between 1 and 9.

For Risk Appetite purposes, risks higher than 3 (highlighted in red) after mitigation are reviewed by Management Forum and Audit Risk Committee.

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Description of Risk Vulnerability: Loss/Non-Availability of Key Staff											
No.1	Risk Owner/Assessor: CEO					Assessment Date: June 2018					
						Review Date: December2018					
Specific Hazards		Initial Risk			Controls / Safeguards / Precautions		Revised Risk			Additional Actions Required	Timescale
Describe the vulnerability & Impact		S	P	R			S	P	R		
Key post or role-specific posts absent for a prolonged time causing loss of decision making ability.		2	2	4	Sickness absence reporting and monitoring procedures in place. Increased awareness through MT Agendas and ongoing consideration as to further specific steps to increase organisational resilience.		2	2	4	Organisational resilience to be increased through greater responsibility of Management Forum for their teams. This should: <ul style="list-style-type: none">o Be prepared with plans in place to cover absenceo Understand shortfallso Identify work load priorities as to what is essential.	MF to consider this with their teams and report back to a meeting by June 2019.

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								<div>can be transferred or postponed</div> <div>o Identify deputies when relevant</div> <div>o Plan for succession</div>	
Sickness/outbreak of pandemic (eg Swine Flu) causing loss of knowledge and experience and associated costs.	2	2	4	<p>Hygiene-preventable infections addressed recently through MF.</p> <p>Anti-bacterial soaps available in the wash rooms, hand wash & telephone sanitizers available to help reduce infectious disease spreading.</p> <p>Guidance on handwashing re-issued in October 2018</p>	2	2	4	<p>Consideration of office-bound staff being dispersed in the case of a major pandemic.</p> <p>Solicitor and Monitoring Officer to include this in next review of Business Continuity plan in October 2018</p>	October 2018 (in progress)
Terminal Illness suffered by member of staff or close relation causing them anxiety and inability to perform their role.	1	2	2	<p>Use of welfare and well-being service.</p> <p>Flexible working arrangements, unpaid annual leave and other amended working duties available to help staff cope with private matters</p> <p>Line managers received training on the new HR policies in early 2017 and Head of HR regularly promotes the Authority's options to support employees</p>	1	1	1	<p>Training of line managers to be able to counsel and support the employee concerned.</p>	Completed (January 2017)
Inability to compete in terms of pay causing reduced quality/less efficient service.	1	3	3	<p>Job evaluation scheme to ensure fair and appropriate remuneration of staff. Also steps to</p>	1	3	3		Ongoing through MT

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				seek to add value to employment packages where possible. Uses of salary sacrifice scheme and vouchers and other packages. The ability to apply a Market Supplement is available in exceptional circumstances					
Loss of key personnel through organisational review, including loss of financial expertise causing failure to meet Government and other deadlines. Loss of credibility/reputation with the public/stakeholders. Cost of taking on additional staff, including recruitment, agency costs and training.	1	3	3	Use of secondment arrangements where appropriate. Staff Representatives Group established. Training and development of staff, to enable them to cover for/contribute skills in the absence of more senior staff. Ability to engage short term consultants in some areas to support the BA work as required. Emergency Management and Reporting System enabled.	1	2	2	Review as part of Business Continuity plan. NB: Areas at Risk are Payroll and HR function	October 2018

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Description of Risk Vulnerability: Loss of Offices including Field Bases										
No.2	Risk Owner/Assessor: Solicitor and Monitoring Officer						Assessment Date: June 2018			
							Review Date: December 2018			
Specific Hazards		Initial Risk			Controls / Safeguards / Precautions	Revised Risk			Additional Actions Required	Timescale
Describe the vulnerability & Impact		S	P	R		S	P	R		
Destruction through fire, explosion or release of hazardous substances causing temporary loss of communication with staff, public and stakeholders.		3	1	3	Fire Safety Risk Assessment. Undertaken by landlord and BA. Appropriate fire prevention measures in place e.g fire alarms, fire extinguishers. Desktop Exercise successfully carried out in February 2017.	3	1	3		
Flooding of site or loss of access to site through flooding (especially Dockyard) could cause loss of information Access to the Dockyard can be cut off by rising flood water, this can lead to the Bridge Hole being coming impassable to pedestrians and vehicles		2	3	6	Yare house Emergency Fire Procedure and BA Supplementary Procedure (including bomb threat procedures). Dockyard has access to small boats so river access is possible, the site has an emergency evacuation plan and the high ground up and over the rail line is the route. Dockyard has built-in flood protection as part of the building design, office accommodation raised to first floor level, access placed on higher ground . A mains operated pump operates on the bridge hole keeping water levels down. Additional large bore pump on standby over pump if required.	1	3	3	Review with Business Continuity Plan	October 2018 (ongoing)
Loss of use or access to premises causing postponement of work. potential failure to		1	2	2	Business Continuity Plans, including IT Disaster Recovery Plan and Finance Business	1	1	1		October 2018

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achieve objectives/meet deadlines and damage to reputation/credibility.				Continuity Plan. Emergency Management and Reporting System. Home working and hot desking facility at alternative field bases available for some members of staff. Insurance Policies. Annual Review as part of Business Continuity Plan each October.					
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Description of Risk Vulnerability: Loss of IT/Communications Systems										
No.3	Risk Owner/Assessor: Head of ICT and Collector of Tolls					Assessment Date: June 2018				
						Review Date: December 2018				
Specific Hazards		Initial Risk			Controls / Safeguards / Precautions	Revised Risk			Additional Actions Required	Timescale
Describe the vulnerability & Impact		S	P	R		S	P	R		
Destruction of or serious damage to head office; long term power outage (> 12 hrs) causing temporary loss of communication with staff, public and stakeholders. Potential loss of income (eg tolls); reduced service delivery; loss of credibility/reputation with the public/stakeholders; inability to calculate/pay monthly salaries; inability to pay suppliers. Potential failure to achieve objectives/deadlines		3	1	3	<ul style="list-style-type: none">• Business Continuity Plan• Disaster Recovery Plan• Externally hosted website – allowing continued communication to staff, public and stakeholders• External email filtering with remote access facility• Insurance Policies• Payroll Contingency Plan• Finance Business Continuity Plan	3	1	3	Reconfiguration of DR servers now located at the Dockyard Data Load and testing	December 2018
Short term power loss		3	2	6	<ul style="list-style-type: none">• Uninterruptible power supply for short term power loss to maintain server farm and phone system.	1	3	3		
Cyber-crime. Significant virus causing potential loss of data.					<ul style="list-style-type: none">• Use of Firewalls• Anti-virus software• Password and other security policies• Electronic Communications Policy• Daily backups to disk with data migrated to tape and taken offsite					

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Description of Risk Vulnerability: Financial Overspend										
No.4	Risk Owner/Assessor: Chief Financial Officer					Assessment Date: June 2018				
						Review Date: December 2018				
Specific Hazards		Initial Risk			Controls / Safeguards / Precautions	Revised risk			Additional Actions Required	Timescale
Describe the vulnerability & Impact		S	P	R		S	P	R		
Large overspend of budget causing reduction in services		3	1	3	Budgetary control system including monthly reports to budget Holders/Management Team/Members. Monthly meetings with directors and section heads likely to flag up any overspend at an early stage.	2	1	2		
Project overspend causing inability to meet expenses including payment of salaries without external support		3	1	3	Financial regulations and standing orders relating to contracts.	2	1	2	Both updated March 2018	Next update due 2021
Poor financial management and inadequate forecasting leading to flawed decision making causing inability to pay suppliers		3	1	3	Regular auditing of financial systems and controls, standing orders and budgetary controls.	2	1	2		
Underestimation of/failure to make provision for costs of maintaining the Authority's assets causing potential redundancies and loss of reserves.					Three year Financial Strategy published January 2018. Counter Fraud, Corruption and Bribery Strategy. Budget Management Procedures training and ongoing support provided to Budget Holders. Asset management Strategy updated Nov 17 with regular reviews scheduled planned contributions to reserves set out in Financial Strategy. Turntide Jetty renewed, routine replacement of channel markers included in budget provision. Condition assessment of all BA buildings now completed in 2016.				Updated March 2018 Review of Navigation furniture due in 2018	Next update due 2021

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Description of Risk Vulnerability: Significant Loss of Income												
No.5	Risk Owner/Assessor: Chief Financial Officer / Chief Executive					Assessment Date: June 2018						
						Review Date: December 2018						
Specific Hazards		Initial Risk			Controls / Safeguards / Precautions						Additional Actions Required	Timescale
Describe the vulnerability & Impact		S	P	R				S	P	R		
Significant reduction in core government grant aid causing reduction in service		2	1	2	Budgetary control System including monthly reports to Budget Holders/Management Team/members. Work on securing National Park Grant which is settled for financial years until 2019/20.			1	1	1	Review at end of 2018/19 as part of government review	2 years
Non receipt of other significant budgeted income, including funding cuts in funding of partners and loss of tourism/tolls income causing shortfall in income to meet commitments arising out of EC/other projects.		3	1	3	The changes in tolls structures implemented in late 2016 allows greater flexibility for setting tolls ongoing.			2	1	2	Review at next review of tolls structure in 2019.	2 years
Low level of investment income as a result of low returns/low interest rates due to wider economic climate causing inability to meet expenses including payment of salaries; loss of credibility/reputation with the public/stakeholders; potential redundancies and loss of reserves.		2	2	4	Regular auditing of financial systems and controls. Three year financial strategy. Regular reports to members. Cash flow forecasting and placing of fixed term investments. Ongoing review to identify alternative investment options. BA is not reliant on significant returns from its investments as low returns on prudent investments and interest rates have become an established part of the wider economy.			2	1	2	Annual Review of Treasury and Investment Strategy completed March 2018.	Next due end March 2019.

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Description of Risk Vulnerability: Loss of Invested Reserve Funds including inability to access fixed term deposits										
No.6	Risk Owner/Assessor: Chief Financial Officer						Assessment Date: June 2018			
							Review Date: December 2018			
Specific Hazards		Initial Risk			Controls / Safeguards / Precautions			Additional Actions Required		Timescale
Describe the vulnerability & Impact		S	P	R				S	P	R
Risk to investments due to wider economic uncertainty causing reduction in service		3	1	3	Investment managed in line with CIPFA Code of Practice on Treasury Management and the Authority's Treasury and Investment Strategy. The Authority's strategy continues to adopt a low risk appetite and will only invest in institutions with a high credit score. Regular reports to Members on performance.			2	1	2
In order to achieve better interest rates the funds are placed in deposits on fixed terms (up to one year) which stops them being available on instant access.		3	2	6	Cashflow is monitored on a weekly basis against budget predictions to ensure adequate funds are available and notice for withdrawals can be made if required. How the deposits are structured means that the longest the authority would need to wait to access significant funds is 95 days. A proportion of funds remain in instant access to cover business needs.			2	1	2
								Continuous review of cash flow requirements and credit ratings. Annual review of Strategy.		Ongoing
										Ongoing review

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Description of Risk Vulnerability: Failure of major procurement activity										
No.7	Risk Owner/Assessor: Chief Financial Officer						Assessment Date: June 2018			
							Review Date: December 2018			
Specific Hazards		Initial Risk			Controls / Safeguards / Precautions		Revised Risk			Additional Actions Required
Describe the vulnerability & Impact		S	P	R			S	P	R	
Inadequate or incorrect procurement process applied causing reduction in service or failure to deliver service		2	1	2	Standing orders relating to contracts (updated). Procurement summary.		1	1	1	Training completed June 2018. Updated guidance on the intranet.
Inappropriate supplier identified causing financial loss.		2	1	2	Procurement Strategy		1	1	1	Updated March 2018
Contract let incorrectly causing loss of credibility/reputation with the public/stakeholders.		1	1	1	Financial Regulations to be followed. Public Contracts Regulations 2015 to be followed.		1	1	1	
Potential for activity to be challenged.		2	1	2	Standard Terms for Contracts. Internal Audit of Key Controls; Finance/Director oversight of procurement activity; Use of in-house Solicitor and Monitoring Officer for advice.		2	1	2	Finance support for Payroll service



Description of Risk Vulnerability: Loss resulting from fraud, corruption or misappropriation of resources											
No.8	Risk Owner/Assessor: Chief Financial Officer						Assessment Date: June 2018				
							Review Date: December 2018				
Specific Hazards		Initial Risk			Controls / Safeguards / Precautions		Revised Risk			Additional Actions Required	Timescale
Describe the vulnerability & Impact		S	P	R			S	P	R		
Economic climate resulting in higher incidence of fraudulent and criminal activity causing financial loss and/ or loss of other resources		2	1	2	Financial Regulations. Segregation of financial duties and requirement to have additional signatories to bank account. Requirement for two levels of invoice approval. Increased awareness of phishing type e-mails/scams embedded throughout the organisation.		2	1	2	Barclays Fraud awareness training delivered to Finance/HR January 2018 Barclays fraud updates to be distributed as and when received.	Ongoing
Potential vulnerabilities in systems including those of external organisations (internet banking, payroll provider) causing loss of credibility/reputation with the public/ stakeholders		2	1	2	Standing Orders Relating to Contracts Regular contract review including checking of third party business continuity plans.		2	1	2		
Fraudulent changes to supplier bank details causing higher insurance premiums		1	2	2	Weekly reports are run to verify changes to ensure validity following audit recommendations. Supplier bank checking procedures are in place.		1	1	1		
Loss or theft of significant items of equipment causing impact on ability to deliver services		1	2	2	Appropriate secured storage of equipment and insurance cover. Periodic verification of equipment.		1	1	1		
Fraudulent creation of fictitious employees		1	2	2	Internal payment processing and authorisation controls, budget monitoring and financial reconciliations		1	1	1		

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				Separation of duties IT security and passwords Counter Fraud, Corruption and Bribery Strategy Insurance Physical security arrangements					
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Description of Risk Vulnerability: Death or Serious injury to Member of Staff												
No.9	Risk Owner/Assessor: Head of Safety Management					Assessment Date: June 2018						
						Review Date: December 2018						
Specific Hazards		Initial Risk			Controls / Safeguards / Precautions			Revised risk			Additional Actions Required	Timescale
Describe the vulnerability & Impact		S	P	R				S	P	R		
Loss or non-availability of expertise/skill		3	1	3	Health and Safety at Work Policy Ability to sub-contract or hire expertise on some subjects Most teams have more than one person trained for specific tasks			3	1	3	Workplace Development Plan in development	Will review progress December 2018
Death or serious injury resulting in HSE involvement / prosecution- unforeseen costs and fines		3	1	3	Health and Safety Policy, Safety committee, Risk Assessments, Training for all staff and regular tool box talks. Safety Observations system to catch near misses to identify and learn from incidents. All accidents are investigated for learning. Regular audits to check control measures are being used. Insurance for legal / HSE costs but fines cannot be insured against. BA reserves maintained Quarterly reports on Health and Safety Monitoring to Management Team All vehicles/plant maintained in accordance with manufacturers requirements Driver licence Checks carried out annually. MOT and Insurance checks on private vehicles introduced in 2018 Evacuation plans in place for fire			3	1	3		

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				Workplace inspections carried out regularly					
Loss of credibility/reputation with the public/ stakeholders				Health and Safety Policy, Safety committee, Risk Assessments, Training for all staff and regular tool box talks. Safety Observations system to catch near misses to identify and learn from incidents. All accidents are investigated for learning points. Regular audits to check control measures are being used. Communications Strategy					
Negligence (by Authority/ manager/ individual) causing potential legal action against the Authority/ costs	2	1	2	Safety Committee and nominate Safety Reps Health and Safety/ Fire awareness specific skills Training for relevant staff First Aid trained staff and Defibrillator at Yare House Insurance Policies to mitigate costs Audits in accordance with a publicised Audit schedule Quarterly reports on Health and Safety Monitoring to Management Team Personal Risk Assessment Occupational health practitioners carry out health surveillance etc. Management Development Training programme Employee assistance facility in place	2	1	2		

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Description of Risk Vulnerability: Death or Serious injury to Member of the Public		
No.10	Risk Owner/Assessor: Head of Safety Management	Assessment Date: June 2018
		Review Date: December 2018

Specific Hazards Describe the vulnerability & Impact	Initial Risk			Controls / Safeguards / Precautions	Revised Risk			Additional Actions Required	Timescale
	S	P	R		S	P	R		
Death or Serious injury causing civil or criminal action against the Authority/ costs	3	1	3	Port Marine Safety Code Safety Management System including regular Hazard Review Regular Audits of Control measures Advice and guidance issued via website, leaflets and Tics on safe use of facilities/recreation Rangers inspect sites regularly for condition and faults are rectified Tree Policy on management of Trees Insurance to cover legal fees /cost Risk Assessment process Ranger issue advice and guidance and have powers of direction.	2	1	3	Complete roll out of electronic asset monitoring system to whole Broads area for BA properties. Set timescale for ongoing development relating to condition checks on properties and trees	2018 for river assets.
Death or serious injury resulting in closure of a facility and potential loss of income	3	1	3	Port Marine Safety Code Safety Management System including regular Hazard Review Port Marine Safety Code Safety Management System including regular Hazard Review Regular Audits of Control measures Advice and guidance issued via website, leaflets and Tics on safe use of facilities/recreation Rangers inspect sites regularly for condition	3	1	3		

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Specific Hazards Describe the vulnerability & Impact	Initial Risk			Controls / Safeguards / Precautions	Revised Risk			Additional Actions Required	Timescale
	S	P	R		S	P	R		
				and faults are rectified Tree Policy on management of Trees Insurance to cover legal fees /cost Risk Assessment process Ranger issue advice and guidance and have powers of direction. Broads Authority reserves					
Death or serious injury through the Authority's negligence causing HSE involvement and loss of credibility/ reputation with the public/ stakeholders	3	1	3	Port Marine Safety Code Safety Management System including regular Hazard Review Port Marine Safety Code Safety Management System including regular Hazard Review Regular Audits of Control measures Advice and guidance issued via website, leaflets and Tics on safe use of facilities/recreation Rangers inspect sites regularly for condition and faults are rectified Tree Policy on management of Trees Insurance to cover legal fees /cost Risk Assessment process Ranger issue advice and guidance and have powers of direction. Communication Strategy	3	1	3		

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Description of Risk Vulnerability: Denial of Public Access to the Broads									
No.11	Risk Owner/Assessor: Director of Operations					Assessment Date: June 2018			
						Review Date: December 2018			
Specific Hazards		Initial Risk			Controls / Safeguards / Precautions	Revised risk			Additional Actions Required
Describe the vulnerability & Impact		S	P	R		S	P	R	
Major flooding incident/ failure or over topping of sea defences causing closure of sites, footpaths, other public areas		3	2	6	<p>Integrated method of reviewing hazards both land and water developed</p> <p>Short and medium term coastal and flood defence provisions in place.</p> <p>Weather warnings shared across social media platforms as well as information on specific site closures.</p> <p>Broads Authority is statutory consultees on coastal flood risk management plans. Close working relationship with key EA and NE</p> <p>Involvement in County Council emergency response procedures Emergency Communications Strategy.</p> <p>Weather warnings circulated to staff.</p> <p>Partnership links with farming community and statutory bodies will inform the Authority of the closures which will be shared via social media and other sharing platforms. Given the large geographic nature of the County the risk of a wholesale closure would be unlikely, meaning the impact could be limited to specific areas.</p>	3	1	3	
Outbreak of disease, e.g. Foot and Mouth, Avian Flu, Ash Dieback causing closure of visitor attractions, negative impact on tourism and the local economy		3	2	6		2	1	3	

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Closure of bridges (by Network Rail) causing potential reduction in income for the Authority if vessels move away from the Broads	2	2	4	Legal undertaking with Network Rail regarding maintenance of the bridge network. Regular meetings between Network Rail & BA to discuss bridge issues.	2	1	2		
Occurrence of invasive species (e.g. Killer Shrimp) causing closure of navigation/ inability to navigate parts of Broads system, loss of credibility/ reputation with the public/ stakeholders; loss of or damage to property, loss of habitat, possible loss of life	3	1	3	Involvement in partnership invasive species response, including agreement on appropriate control and communication measures Urgent boating/ environment news published in website.	2	1	2		

Description of Risk Vulnerability: Failure to deliver a project on time or within budget		
No.12	Risk Owner/Assessor: Director of Strategic Services for Development and Director of Operations for Implementation	Assessment Date: June 2018 Review Date: December 2018

Specific Hazards	Initial Risk			Controls / Safeguards / Precautions	Revised Risk			Additional Actions Required	Timescale
Describe the vulnerability & Impact	S	P	R		S	P	R		

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Specific Hazards Describe the vulnerability & Impact	Initial Risk			Controls / Safeguards / Precautions	Revised Risk			Additional Actions Required	Timescale
	S	P	R		S	P	R		
Lack of adequately trained project management staff causing project not managed to time or within budget	2	1	2	Standing Orders Relating to Contracts PRINCE2/ PRINCE Lite training provided for staff Acquisition of PRINCE Lite programme	2	1	2		On going
Lack of effective project management arrangements causing failure to meet project objectives; failure to meet commitment to partners; additional costs; loss of credibility/ reputation with the public/ stakeholders	2	1	2	Approval/ Monitoring of key projects by Management Team Contract management training completed for selected staff PDG process includes regular meetings and the analysis of detailed evaluation form Use Induction Process and Probationary period to highlight any training needs for new starters Use Annual Appraisal to highlight any training needs for all employees	2	1	2	Formal process to capture lessons learned from each project funded by PDG Review the version and quantity of Microsoft Project licences	Ongoing

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Description of Risk Vulnerability: Loss caused through poor management of assets		
No.13	Risk Owner/Assessor: Chief Financial Officer	Assessment Date: June 2018
		Review Date: December 2018

Specific Hazards Describe the vulnerability & Impact	Initial Risk			Controls / Safeguards / Precautions	Revised Risk			Additional Actions Required	Timescale
	S	P	R		S	P	R		
Lack of Asset Management Plan causing ineffective control of costs/ application of resources	1	2	2	Specialist property advice available from Concertus Design & Property Consultants	1	2	2	Database to be developed to maintain related records for each site. Asset Management Audit recommendations to be implemented	By April 2018
Lack of Corporation Capital Strategy causing inappropriate utilisation of Assets; Asset devaluation; failure to properly maintain assets; loss of credibility/ regulation with the public/ stakeholders and potential negative impact on accounts and adverse audit opinion				All assets have been identified and recorded, with a record of all legal agreements maintained Schedule of inspection of all assets in place Detailed capital plan updated and endorsed by Broads Authority in November 2015				Property Services contract to be retendered every 3 years Condition assessment of all BA buildings carried out in 2016/17 to further inform Asset Management Strategy financial	By March 2019

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Specific Hazards	Initial Risk			Controls / Safeguards / Precautions	Revised Risk			Additional Actions Required	Timescale
Describe the vulnerability & Impact	S	P	R		S	P	R		
				<p>Spreadsheet of assets has been enhanced to provide day to day management of assets</p> <p>Annual review of Asset Management Strategy and sites</p>				<p>requirements.</p> <p>Complete roll out of electronic Asset monitoring system to whole Broads area of BA properties</p>	By November 2018

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Description of Risk Vulnerability: Loss caused by damage to relationships with key partners and stakeholders		
No.14	Risk Owner/Assessor: Head of Communications	Assessment Date: August 2018
		Review Date: December 2018

Specific Hazards Describe the vulnerability & Impact	Initial Risk			Controls / Safeguards / Precautions	Revised Risk			Additional Actions Required	Timescale
	S	P	R		S	P	R		
Failure to identify key partners/ stakeholders causing failure to deliver objectives	2	2	4	Regular scheduled meetings with Broads Tourism (Visit the Broads), BLAF and other working groups. Broads Forum format changed in 2018 to increase engagement with wider audience. Consultations promoted on website	2	2	4		Ongoing
Failure to consult and engage with partners/ stakeholders on key issues causing lack of trust/ support from partners/ stakeholders				As above					Ongoing
Breakdown of relations with a key partner/ stakeholder causing loss of credibility/ reputation with the public/ stakeholders				Service Level Partnership Agreements, Climate Change Stakeholder Engagement through close working with relevant partners to allow Climate Change Adaptation Plan to be completed Regular Parish Forum meetings, HBO engagement meeting Consultations and communications of issues promoted through social media and traditional PR methods. Major Review of Stakeholder and Community Engagement undertaken by Authority; Development of Biodiversity and Water				Bulletin sent to parish councils Restructure of Communications team to provide more effective PR resilience. (now complete)	Ongoing Complete

Strategic Risk Register

Specific Hazards Describe the vulnerability & Impact	Initial Risk			Controls / Safeguards / Precautions	Revised Risk			Additional Actions Required	Timescale
	S	P	R		S	P	R		
				Strategy enabled close engagement with all key partners in the area of biodiversity. Annual Forum being held with 100+ stakeholders Series of meetings held with RYA and BMF who are content for direct engagement with local groups Series of regular meetings set up between Chief Exec/ Chairman to engage with the NSBA/ BHBF					
Change to partner organisations causing loss of income	2	1	2	Review of Partnerships in November 2016 by Solicitor and Monitoring Officer concluded there was low risk.	1	1	1		
Changes in policies of partner organisations causing loss of opportunities				Register of Partnerships including operational risks for each partnership and Partnerships Governance Arrangements Action Plan Partnerships Protocol Annual review of partnerships by Management Forum/ BA					

Strategic Risk Register

Description of Risk Vulnerability: Failure to comply with legal or regulatory changes causing consequential financial or regulatory issues.		
No.15	Risk Owner/Assessor: Solicitor and Monitoring Officer	Assessment Date: June 2018
		Review Date: December 2018

Specific Hazards Describe the vulnerability & Impact	Initial Risk			Controls / Safeguards / Precautions	Revised Risk			Additional Actions Required	Timescale
	S	P	R		S	P	R		
Changes to legislation causing civil or criminal action against the Authority	3	1	3	On-going legal advice from in-house Solicitor and Monitoring Officer CPD training for post holder on key changes Internal audit reviews	2	1	2		
Failure to meet a key legislative requirement causing HSE involvement	3	2	6	Insurance Policies	1	2	2		
Lack of in-house expertise causing failure to deliver services	2	1	2	Solicitor and Monitoring Officer appointed June 2016. Ongoing arrangement with nplaw for external legal services.	1	1	1	Review of Legal Services currently in progress	
Failure of policies to comply with legislative requirements causing multiple complaints against the Authority; loss of credibility/ reputation with the public/ stakeholders; loss of political support	2	1	2	Additional specialist legal support available from NpLaw Annual review meeting held between Chief Executive/ Solicitor and Monitoring Officer Additional circulars provided via subscriptions on topics such as Safety Membership of National associations such as National Parks England and AINA highlight government policy initiatives and consultations	1	1	1		

Strategic Risk Register

Description of Risk Vulnerability: Death or Serious Injury to Volunteer		
No.16	Risk Owner/Assessor: Volunteer Coordinator	Assessment Date: June 2018
		Review Date: December 2018

Specific Hazards Describe the vulnerability & Impact	Initial Risk			Controls / Safeguards / Precautions				Additional Actions Required	Timescale
	S	P	R		S	P	R		
Lone working causing civil or criminal action against the Authority/ costs	3	1	3	Health and Safety at Work Policy Volunteer H&S training every 3 years	3	1	3	BW to create a suitable, fit for purpose personal Risk Assessment form for volunteers	November 2018
Danger of drowning through water based activity causing HSE involvement	3	1	3	Generic, Site Specific and Public Risk Assessments, and method statements Life jacket policy Volunteer H&S training every 3 years	3	1	3		
Road traffic accident resulting in injury or death to a volunteer causing lowering of staff and volunteer morale	3	1	3	Code of Practice for using BA vehicles Annual DVLA licence check for all volunteers who plan to drive a BA vehicle Vehicle familiarisation process for all volunteers who drive BA vehicles	3	1	3		
Death or accident through the Authority's negligence causing loss of credibility/ reputation with the public/ stakeholders	3	1	3	Safety Recording System for Lone Workers First Aid & Manual handling and induction training for volunteers every 3 years and induction H&S training. Insurance Policies. Volunteer Strategy 2017-22. Volunteers are contacted every 6 months to	2	1	2		

Strategic Risk Register

Specific Hazards	Initial Risk			Controls / Safeguards / Precautions				Additional Actions Required	Timescale
Describe the vulnerability & Impact	S	P	R		S	P	R		
				reinforce/ remind them of correct process and procedures when lone working BA Volunteer Training Programme					

Strategic Risk Register

Description of Risk Vulnerability: Significant Loss of Volunteers		
No.17	Risk Owner/Assessor: Volunteer Coordinator	Assessment: June 2018 Review Date: December 2018

Specific Hazards Describe the vulnerability & Impact	Initial Risk			Controls / Safeguards / Precautions				Additional Actions Required	Timescale
	S	P	R		S	P	R		
Over-reliance on being able consistently to attract and retain a sufficient number of volunteers in order to support the functions of the Authority and support of permanent staff.	2	1	2	Absence reporting and monitoring procedures in place.	2	1	2	BW to introduce satisfaction monitoring	September 2018
Reduced service delivery causing loss of satisfaction and credibility with the public.	2	1	2	Volunteer Strategy 2017-2022 Feedback opportunity on timesheet and on leaving the BA Volunteer Code of Conduct Volunteer training plan completed	2	1	2	Revision of volunteer training programme New Volunteer Training Plan to be rolled out	Completed Autumn 2018

Strategic Risk Register

Description of Risk Vulnerability: Planning Decisions not made in accordance with Development Plan and Regulations and Procedures										
No.18	Risk Owner/Assessor: Head of Planning					Assessment Date: December 2017				
						Review Date: December 2018				
Specific Hazards		Initial Risk			Controls / Safeguards / Precautions				Additional Actions Required	Timescale
Describe the vulnerability & Impact		S	P	R		S	P	R		
Unattractive development causing legal challenges to decisions/ potential costs		2	1	2	National Guidance	2	1	2	Procedures Manual review on-going to reflect latest guidance	Ongoing as new guidance is issued
Decisions made which are not in accordance with policy. Development pressures due to society aspirations/ government legislation causing bad publicity/ loss of reputation. Complaints against the Authority		2	1	2	Local Development Framework (now moving to be replaced by Local Plan) LDF Development Management Policies Appointment of appropriately qualified staff Annual Training Programme provided for Planning Committee members – 2 sessions in March and October Annually plus Design Tour Specific Induction to Planning for all new Planning Committee Members Scheme of Delegated Powers in operation – but to be reviewed in 2017/18 Recourse to in-house and external specialist legal advice Continuing Professional Development (CPD) for Planning Guidance for Committee Site	2	1	2	Review Scheme of Delegation	2018-19

Strategic Risk Register



			<p>Visits reviewed</p> <p>PAS Peer Review of Planning Committee in 2014</p> <p>BA has signed up to the Anglia Ruskin Programme for all Norfolk Authorities for 2014-15.</p> <p>Code of Conduct for Members on Planning Committee and Officers in process of review completion.</p>					
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Strategic Risk Register

Description of Risk Vulnerability: Risks associated with major external funding programmes (HLF, EU, Commercial Sponsorship)											
No.19	Risk Owner/Assessor: Director of Strategic Services (EU – CANAPE); Director of Operations (HLF Landscape Partnership)					Assessment Date: November 2018 (Sol & M.O and CPM)					
						Review Date: June 2019					
Specific Hazards		Initial Risk			Controls / Safeguards / Precautions		Mitigated Risk			Additional Actions Required	Timescale
Describe the vulnerability & Impact		S	P	R			S	P	R		
Failure to deliver the project on time and within budget leading to potential repayment of funding and adverse publicity – HLF, CANAPE and commercial partnerships		2	2	4	Effective Project Management and financial controls Regular reports to the Broads Authority Regular reports to HLF and LPS Board Clearly documented processes in place (See audit report)		2	1	2	Set-up a Project Steering Group for CANAPE	On-going
Increased exposure to risk as Lead Partner for European project - CANAPE		3	2	6	Provision of dedicated resource (Harry Mach CANAPE Project Manager) to monitor progress not only of own project but of partners Partnership agreement/ contract required to set out responsibilities and commitments of each partner to secure position Specific risk register required for the CANAPE project The CANAPE Project Manager Job Description includes strong project management skills as essential		3	1	3	Recruitment of Project Manager with strong understanding of EU regulations Approval of key governance documents by the CANAPE Project Steering Group, including the risk register Need to better understand the steps to be	Done Governance Documents all approved Done and incorporated

Strategic Risk Register

							carried out in case "unduly" payments must be recovered from project beneficiaries.	in Partnership Agreement	
Currency fluctuations between grant claim submission and payment for CANAPE.	3	1	3	<p>Difficult to mitigate due to Local Authorities not being able to hedge</p> <p>Take precautionary approach to estimates of income in £ sterling.</p> <p>The risk is currently regarded as lower than in the past due to stable exchange rates and with the £1 to €1 rate significantly lower than the original rate of €1.25 to the £1 (the budgeted rate)</p> <p>At the moment the greater likelihood is of a surplus (than deficit) on cash items which help guard against currency fluctuation risk.</p>	3	1	3	Risk related to exchange rate to be included in the CANAPE risk register	Done
Failure to meet expectations of partners – both commercial, EU and UK	2	2	4	<p>Ensure good quality staff are appointed as programme managers and time is taken in good relationship building with partners.</p> <p>Investment in time and resources in the development of the project(s) and during implementation to ensure there is a good understanding of the project aims and objectives.</p> <p>Ensure that relationships with partners and funders remain strong and respond rapidly to any misunderstandings.</p>	2	1	2	Contractual documents for WWM and CANAPE to be reviewed by the Solicitor and Monitoring Officer	On-going

Strategic Risk Register

Description of Risk Vulnerability: Risk associated with Member's actions causing damage to external relationships		
No.20	Risk Owner/Assessor: Solicitor and Monitoring Officer	Assessment Date: June 2018
		Review Date: December 2018

Specific Hazards Describe the vulnerability & Impact	Initial Risk			Controls / Safeguards / Precautions	Revised Risk			Additional Actions Required	Timescale
	S	P	R		S	P	R		
Damage caused by comments or actions of a Member, with consequent harm to relationships with key stakeholders or which undermines public confidence in the Authority.	2	2	4	<p>New Code of Conduct for Members containing Nolan Principles of conduct adopted by BA on 30/9/16</p> <p>Statutory undertakings given by Members to abide by Code of Conduct in relation to new Code of Conduct given by deadline of 30/11/16</p> <p>Training on new Code of Conduct provided to Members on 20/01/17</p> <p>Protocol on Member and Officer Relations which provides guidance to Members updated May 2017</p> <p>Members' induction</p> <p>Members Handbook produced</p> <p>Members' Guidance on Social media produced</p>	2	1	2		



Description of Risk Vulnerability: Risks Associated with Payroll – Internal (Risks associated with external provider covered under Risk 8)														
No.21	Risk Owner/Assessor: Head of HR					Assessment Date: October 2018 (by Management Forum)								
						Review Date: December 2018								
Specific Hazards			Initial Risk			Controls / Safeguards / Precautions			Revised Risk			Additional Actions Required		Timescale
Describe the vulnerability & Impact			S	P	R				S	P	R			
Payroll errors leading to employees being incorrectly paid or not paid at all			2	2	4	Training given to staff and internal checks by Head of HR and Finance Team in place. Procedures for payroll review and checking and submission process in course of preparation in July 2017 in process of completion. Matter further reviewed by Management Forum collectively on 8 October 2018 when new risk scores substituted			2	1	3	Fully documented procedures for the payroll review/checking and submission process undertaken by the HR team, including the role the Finance Team perform		Completed

Strategic Risk Register

Description of Risk Vulnerability: Serious notifiable loss of personal data resulting in fine from Information Commissioner													
No.22	Risk Owner/Assessor: Solicitor and Monitoring Officer (in role of Data Protection Officer).					Assessment Date: October 2018 (by Management Forum)							
						Review Date: December 2018							
Specific Hazards			Initial Risk			Controls / Safeguards / Precautions			Revised Risk		Additional Actions Required	Timescale	
Describe the vulnerability & Impact			S	P	R				S	P			R
The General Data Protection Regulation was implemented from 28 th May 2018 into UK law and provides for substantial fines for breach of data protection laws.			3	2	6	GDPR working group of officers set up to review and implement policies and procedures. Training provided to all staff groups. Designated Data Protection Officer (DPO) identified and has qualified as a Data Practitioner in GDPR Internal audit to review the Authority's preparation for GDPR undertaken in March 2018 found Reasonable Assurance. . Data Asset Register, Data Protection Policy, Privacy Notices, Data and Information Management and Retention Policy updated or produced GDPR Compliance Plan produced Head of HR and Volunteer Co-ordinator have undertaken GDPR Foundation course.			3	1	3	Review of all policies and procedures against ICO Guidance when the same is produced.	Currently ongoing