

# Risk, Audit and Governance Committee

11 February 2025

Agenda item number 13

## Corporate Risk Register

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 (appendix 1).

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## 1. Introduction

- 1.1. The Risk, Audit and Governance 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 the Management Team and this committee. If new mitigation measures are implemented which 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. As requested at the meeting on 21 September 2021, the Corporate Risk Register is presented at every Risk, Audit and Governance Committee meeting.
- 1.4. 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 content of the CRR was reviewed by Management Team in January, following a review of the DRRs, and the updated register is at Appendix 1.
- 2.2. Changes to the register are made using tracked changes., Any changes to the risk scores are identified with the relevant arrow, e.g. ↔ ↓↑

- 2.3. As requested at the last meeting, the register now includes the definitions of likelihood and severity.
- 2.4. Overall, no new risks have been added, but one risk is proposed to be deleted: risk 9 (disruption to key project partnerships), as the initial score is still 2, and nothing for the near future is likely to affect this. The risk will be kept under review and re-instated to the register as and when necessary, as per the Risk Management Policy. Partnership risks are listed within the Strategic Services Directorate Risk Register and none have a revised risk score above 16 (high risk) which would refer the risks to the CRR. The partnerships currently listed in the Strategic Services Directorate Risk Register are: Farming in Protected Landscapes, FibreBroads, and Landscape Connections. At the last meeting, Members asked that this risk be retained, but the Management Team considered that, until such time as new significant partnership projects came on board, there was little benefit in duplicating low risks below the CRR threshold on the live CRR. When the Landscape Connections is further advanced, the risks are expected to increase, and it is anticipated that the signing of the funding agreement with the Lottery (if we are successful) would trigger the inclusion of this risk to the CRR.
- 2.5. Risk 2 (harmful actions undermining public confidence in the Broads Authority) – a Member had previously commented that this should include harmful actions from people outside the Authority. Following comments at the last meeting, Management Team had reviewed the risk and concluded that this aspect was covered in the Strategic Services risk register. An extract is provided below:

Area impacted by risk (people, finance, assets, performance, reputation)	Risk no.	Risk name (Risk that may affect the BA)	Risk description (Impact on delivery of BA objectives, its reputation and service delivery)	Date entered on risk register	Initial likelihood (score 1 to 5)	Initial severity (score 1 to 5)	Initial risk score (likelihood x severity)	Operational tasks to mitigate risk [controls/safeguards/ precautions] (What we have done to date, noting any other factors that may influence the risk)	Revised likelihood (score 1 to 5)	Revised severity (score 1 to 5)	Revised risk score (likelihood x severity)	Additional actions required (What we plan to do)	Risk owner (Job role ultimately responsible for the risk)
Reputation	Comms 1	Negative media coverage	Negative press or social media coverage resulting from a publicly unpopular BA decision, officer or member action, or another incident.	30/12/19	4	4	High risk 16	Media and social media monitored to enable quick reactions. Timely responses provided to media requests and social media posts. Statements checked with relevant officer to check factual detail. Media statements approved by member of Management Team. Staff briefed not to talk to media and to refer any requests through the Comms team.	3	3	Medium risk 9	Review appropriate actions to each incident  Continue to send out positive stories in a proactive way	Head of Comms

- 2.6. The risks are moderated through daily media and social media monitoring, timely responses to media requests and process in place to check statements published by the Broads Authority. Staff are also briefed not to talk to media and refer any requests through the comms team. In terms of additional actions required, a review is done after each significant negative media coverage, and we continue to send out positive stories to the media in a proactive way.
- 2.7. Risk 5 (large-scale public health crisis) – initial likelihood reduced from 5 to 3 to reflect current circumstances.
- 2.8. Risk 6 (failure to meet statutory purposes or requirements of other relevant legislation). The Management Team has given consideration as to whether there is a risk under this heading because of the gap between Government’s ambitions in areas such as conservation, biodiversity and sustainability and the capacity of the Broads Authority to

deliver. The Authority owns very little land and much of its work to deliver its statutory purposes is through partnerships with other organisations. While reinstatement of National Park Grant to previous levels would enable the Authority to deliver much more towards the Government's targets, the Team felt that there was not a significant risk of it failing to deliver its statutory purposes at a level consistent with the resources available.

### 3. Risk Management Policy

- 3.1. 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 was last reviewed and subsequently adopted at the 15 March 2024 Authority meeting. It is next due for review in March 2026.

Author: Sara Utting

Date of report: 23 January 2025

Background papers: None

Appendix 1 – [Corporate Risk Register \(January 2025\)](#)

# Broads Authority Corporate Risk Register

(Updated ~~November 2024~~ January 2025)

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## Explanatory Notes

**Risk name:** risk that may affect the Broads Authority

**Risk description:** impact on delivery of BA objectives, service delivery, reputation

**Primary impact areas:** people, assets, finance, performance, reputation

**Risk owner:** ultimately responsible for risk

**Workplan ref.** the relevant item in the directorate workplan contained within the current [Annual Business Plan](#)

**Risk scores:** Likelihood x Severity (likelihood and severity are within range of 1-5)

### Risk score matrix

Likelihood	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5
			1	2	3	4
		Severity				

### Likelihood definitions

Rating	Definition	Value
Highly likely	The event is expected to occur	5
Probable	The event will probably occur	4
Possible	The event may occur at some time	3
Unlikely	The event is not expected to occur in normal circumstances	2
Rare	The event may occur only in exceptional circumstances	1

### Severity definitions

Schedule	Cost	Performance and quality	Value
<2 weeks delay	<1% of budget	Cosmetic impact only	1 Insignificant
2 weeks to 1 month's delay	1%-<2%	Some minor elements of objectives affected	2 Minor
1 month to <2 months delay	2%-<8%	Significant areas of some objectives affected	3 Moderate
2 months to <4 months delay	8%-<12%	Wide area impact on some objectives	4 Major
>4 months delay	>12% of budget	Significant failure resulting in the project not meeting its objectives	5 Extreme

**Arrows** (↔ ↓ ↑) indicate the direction of travel in the score since last review

**Tasks to mitigate risk:** controls/safeguards/precautions to date; noting any other factors that may influence the risk

**Additional actions required:** what we plan to do within the next 12 months

## Risk 1 Loss of key staff

**Risk description:** Loss of working knowledge, expertise and/or close partnership associations due to key staff leaving Authority or being unavailable for long periods.

**Primary impact areas:** People, performance

**Risk owner:** Chief Executive

**Date first entered on register** 19/08/2019

**Workplan ref:** FD4; FD9; OD3; OD6; OD11; OD13; OD18; SD1; SD2; SD3; SD4; SD15; SD16; SD17; SD18; SD20; SD22; SD23; SD24; SD27

<b>Initial likelihood</b>	4	<b>Initial severity</b>	4	<b>Initial risk score</b>	16
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**Tasks to mitigate risk:** Resilience plan in place for handover period when key staff leave Authority or are unavailable for significant periods. HR policies and procedures in place to monitor absence and to support staff retention. Electronic data storage under review to allow access to any officer's files. Business Continuity Plan in place with systems back up. Plan reviewed annually (or following significant incident). Remote server enables office-based staff to work from home if required (e.g. period of quarantine).

<b>Revised likelihood</b>	4	<b>Revised severity</b>	3	<b>Revised risk score</b>	12↔
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**Additional actions required:** Implement MS Teams to share data across Authority more effectively.  
 Monitor the implementation of hybrid working which was introduced to increase flexible working options.  
 Annual review of Directorate resilience plans.  
 Business Continuity Plan is reviewed annually.

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## Risk 2 Harmful actions undermining public confidence in Broads Authority

**Risk description:** 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.

**Primary impact areas:** Reputation

**Risk owner:** Chief Executive

**Date first entered on register** 19/08/2019

**Workplan ref:** FD1; FD2; FD3; OD11; OD12; OD13; OD15; OD16; SD8; SD13; SD14; SD15; SD16; SD18; SD19; SD27; SD29

<b>Initial likelihood</b>	4	<b>Initial severity</b>	4	<b>Initial risk score</b>	16
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**Tasks to mitigate risk:** Code of Conduct for Members in place containing Nolan Principles of Conduct, and training given to all Members.  
Code of Practice for Members of the Planning Committee and officers (July 2023).  
Code of Conduct for Officers included with HR policies.  
Director and Senior Governance Officer trained in Data Protection and GDPR; staff have specific data protection training, refreshed annually.  
Protocol on Member and Officer Relations in place (updated 2021).  
Scheme of Powers Delegated to CEO and other authorised officers (updated Sept 2023).  
Proactive communication policies relating to local and social media in place.  
Monitoring Officer and Deputy Monitoring Officer in place (service agreement with Wilkin Chapman LLP), with specialisms in Local Authority governance and Code of Conduct issues.  
Monitoring Officer Protocol adopted by the Authority in September 2023.  
In January 2023, Members received findings and recommendations of an independent investigation into a formal complaint about a planning matter.  
All the recommendations from the VWV report have been implemented. Of particular significance is amending the ToR for the Risk, Audit & Governance Committee and establishing a Standards Committee.

[Revised Standing Orders adopted by the BA in Nov. 2024 for implementation wef 1 Jan. 2025](#)

<b>Revised likelihood</b>	3	<b>Revised severity</b>	2	<b>Revised risk score</b>	6<=>
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**Additional actions required:** [Review Standing Orders – to be adopted by BA by 31 March 2025](#)  
Review Member Code of Conduct by May 2025

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### Risk 3 Assets

**Risk description:** Damage to, loss of or malfunction to key assets, impacting on BA operations/ duties and public access or services (e.g. navigation, moorings, Mutford Lock, rail bridges, Port of Norwich).

**Primary impact areas:** loss of physical assets

**Risk owner:** Director of Operations

**Date first entered on register** 19/08/2019

**Workplan ref:** FD7; OD1; OD7; OD8; OD9; OD14; OD17; SD21

<b>Initial likelihood</b>	3	<b>Initial severity</b>	4	<b>Initial risk score</b>	12
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**Tasks to mitigate risk:** Asset Management Strategy in place. Integrated Access Strategy and Moorings Strategy in place ([Adopted by the Authority March 2024](#)~~under review 2023 with consultation~~).

Rail bridges: Legal undertaking in place with Network Rail regarding bridge ~~maintenance and~~ operations. BA in contact with key Network Rail Officers to respond to bridge issues.

Insurance in place for equipment and buildings over £250 - cover includes business interruption for Yare House and Dockyard.

[Integrated Access Strategy reviewed and adopted in March 2024.](#)

Landowner negotiations processes in place.

Programmed inspection regime in place and regular maintenance carried out.

<b>Revised likelihood</b>	3	<b>Revised severity</b>	2	<b>Revised risk score</b>	6<=>
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**Additional actions required:** Review of contributions to reserves to ensure they remain appropriate for future purchases and repairs.

~~Working with Network Rail Contractors (Murphy's) to facilitate access and works licensing required for swing bridge capital project 2024/25.~~

~~Review of integrated access strategy scheduled for 2023/24.~~

Property consultants to review repair and maintenance liability every 10 years, next scheduled for 2026/27.

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## Risk 4 Reduction in income and increase in costs

**Risk description:** Uncertainty about National Park and/or Navigation funding, as any reduction would affect our ability to deliver our duties, e.g.

- Awaiting NPG funding confirmation from Defra
- Loss of toll income due to changes to/ impacts on local tourism industry)
- Loss of money as a result of fraud incident against the BA, including cybercrime

**Primary impact areas:** Finance

**Risk owner:** Director of Finance

**Date first entered on register** 19/08/2019

**Workplan ref:** FD5; FD6; FD8; FD10; SD28

<b>Initial likelihood</b>	4	<b>Initial severity</b>	5	<b>Initial risk score</b>	20↑
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**Tasks to mitigate risk:** 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.  
 Annual training in cybercrime given to all staff.  
 Review of minimum reserves undertaken and reviewed by MT prior to 2023/24 budget setting.  
 Energy insights used in budget setting process to determine impact of potential changes in the price cap.  
 Change of splits between National Park and Navigation recommended as part of 2023/24 toll and budget setting.  
 Finance monthly review of actuals compared to the latest available budget to assist budget holders to take appropriate action.  
 Reducing expenditure to reflect reduced/declining income.

<b>Revised likelihood</b>	3	<b>Revised severity</b>	3	<b>Revised risk score</b>	9↑
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**Additional actions required:** Model expenditure options depending on proposed grant settlement and toll increases (Aug 2025).  
 Make provision for reduction in tolls income.  
 Explore options on income generation.  
 Toll/Budget workshop to be held with members Autumn 2025.  
 Training for all staff to be delivered via ELMs on Counter fraud, bribery and corruption during annually2024/25.

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## Risk 5 Large-scale public health crisis

**Risk description:** 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).

**Primary impact areas:** people; performance

**Risk owner:** Chief Executive

**Date first entered on register** 02/07/2020

**Workplan ref:** FD10; OD2; OD3; OD4; OD5; OD6; OD7

<b>Initial likelihood</b>	<u>35</u>	<b>Initial severity</b>	5	<b>Initial risk score</b>	15↓25
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**Tasks to mitigate risk:** ~~Strict adherence to Government guidance and mitigation measures in place for staff, volunteers and members.~~

[COVID Testing kits are freely available to staff to test and take the appropriate actions if found to be infected with a COVID-19 virus strain.](#)

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.

Clear and concise internal and external communications in place.

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.

Broads Authority convened to establish emergency powers and delegated powers needed to run the Authority.

Communication links in place with relevant Government departments to assess measures, clarify advice and safeguard funding.

Key services, budgets and reserves reviewed to safeguard delivery of Broads Plan priorities and externally funded projects.

<b>Revised likelihood</b>	2	<b>Revised severity</b>	4	<b>Revised risk score</b>	8↔
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**Additional actions required:** Regular monitoring through the Public Sector Leaders Board

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## Risk 6 Failure to meet statutory purposes or requirements of other relevant legislation

**Risk description:** 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)

**Primary impact areas:** performance

**Risk owner:** Chief Executive

**Date first entered on register** 19/08/2019

**Workplan ref:** FD2; FD4; OD2; OD4; OD7; OD9; OD15; SD5; SD6; SD17

<b>Initial likelihood</b>	3	<b>Initial severity</b>	5	<b>Initial risk score</b>	15
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**Tasks to mitigate risk:** Provision of external legal services and Monitoring Officer (MO) in place. Monitoring Officer Protocol adopted by the Authority in September 2023. Constitutional documents in place and regularly reviewed. Strategic plans (incl. Broads Plan) and Broads Local Plan subject to review and to Sustainability Appraisal/SEA and Habitats Regulations Assessment. Detailed environmental practices in place, including Environmental Standard Operating Procedures. Collaborative working in place with key stakeholders to understand and address issues and risks. Officer level project boards in place with Wildlife Trusts, Natural England and Environment Agency to monitor progress and ensure compliance with statutory regulations. Scientific research and monitoring ongoing to assess impacts, and mitigation measures developed if potential harm identified.

<b>Revised likelihood</b>	2	<b>Revised severity</b>	2	<b>Revised risk score</b>	4↔
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**Additional actions required:** Monitor external legal and MO services on an annual basis. Continue review of Broads Local Plan.

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## Risk 7 Safety-related incidents (operational works) resulting in death or serious injury

**Risk description:** Death or serious injury to officer, volunteer or member of public in relation to the carrying out of operational works.

**Primary impact areas:** People

**Risk owner:** Director of Operations

**Date first entered on register** 19/08/2019

**Workplan ref:** OD2; OD3; OD4; OD5; OD7; OD8; OD17; SD26

<b>Initial likelihood</b>	5	<b>Initial severity</b>	5	<b>Initial risk score</b>	25
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**Tasks to mitigate risk:** Health and safety policies in place and reviewed regularly by H&S Committee and risk owners.  
H&S Committee monitors and reviews incident reports; risk assessments are reviewed and updated regularly.  
All staff and volunteers trained in key H&S issues; regular toolbox talks given before carrying out tasks.  
Health Screening and Assessments for Noise and hand-arm vibration [are were](#) provided to the appropriate staff.  
Safety observations [ONS](#)-system in place to [recordeateh](#) near misses and learn from incidents [that nearly happened](#). All accidents are investigated; regular audits are used to check control measures.  
Insurance is in place for legal expenses.  
Quarterly reports on H&S monitoring assessed by the Management Team.  
Safety system externally audited to ensure fit for purpose and compliance.  
External review of Hazard logs under the PMSC carried out in 2023, using the Boat Safety Management Group (next scheduled review in 2026).  
[The Health, Safety & Wellbeing Policy was reviewed and adopted by the Authority in September 2024.](#)

<b>Revised likelihood</b>	2	<b>Revised severity</b>	5	<b>Revised risk score</b>	10↔
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**Additional actions required:** Monitor changes in H&S legislation.  
[Continuous Mm](#)onitoring of industry best practice and implement changes where required.  
Report on Health & Safety, Audit results from PMSC and internal H&S Audit programme due to Navigation Committee in 2025.

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## Risk 8 Safety-related incidents (boating) resulting in death or serious injury

**Risk description:** 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.

**Primary impact areas:** Reputation

**Risk owner:** Director of Operations

**Date first entered on register** 18/06/2021

**Workplan ref:** OD10; OD11; OD12; OD13; OD14; OD15; OD16

<b>Initial likelihood</b>	5	<b>Initial severity</b>	5	<b>Initial risk score</b>	25
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**Tasks to mitigate risk:** Safety videos were provided to boat hirers in advance of the holiday.  
Improved safety information provided by Broads Authority webpages.  
Ranger services in place 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.  
Joint training for fast water locations provided by Rangers and safety partners at GYYS. Hire Boat licensing and audit of licensees in place. A program of spot checks and handover observations carried out.  
Boat Safety Scheme and inspections in place.  
Compulsory 3rd party insurance in place for boats.  
Implemented the new Hire Boat Code, which includes the Quality Boatyard Accredited scheme, as well as HB licencing requirements for hirers of paddle craft (introduced in 2022).  
Refresher training for Hire Operator staff on fast tidal waters by Rangers and safety partners delivered in 2024 at GYYS.

<b>Revised likelihood</b>	3	<b>Revised severity</b>	5	<b>Revised risk score</b>	15↔
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**Additional actions required:** Refresher training for Hire Operator staff on fast tidal waters by Rangers and safety Partners to be reviewed in 2025 at GYYS.  
Review of safety incident data from 2024/25 so trends and key areas to review can be determined [Springdue early](#) 2025.  
Program of summer 2025 spot check HB operators to be developed.

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## Risk 9 Disruption to key project partnerships

**Risk description:** Failure to deliver Defra and other funded schemes and partnership projects on time, with available resources and within budget, leading to potential financial issues, legal issues, lack of service delivery or adverse publicity.

**Primary impact areas:** Reputation; performance

**Risk owner:** Chief Executive

**Date first entered on register** 19/08/2019

**Workplan ref:** SD1; SD3; SD4; SD5; SD7; SD9; SD10; SD11; SD12; SD21; SD25

<b>Initial likelihood</b>	2	<b>Initial severity</b>	1	<b>Initial risk score</b>	2↓
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**Tasks to mitigate risk:** Contractual arrangements in place for key partnerships (see Partnerships Register). Projects risk register maintained for Fibreboards projects. Regular project progress reported to Broads Authority. 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.

<b>Revised likelihood</b>	1	<b>Revised severity</b>	1	<b>Revised risk score</b>	1↓
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**Additional actions required:** Partnerships Register reviewed regularly (Nov ~~2024~~2025).

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## Risk 10 A Cyber security event or a loss of service

**Risk description:** Failure by staff to follow IT processes or protocols, resulting in in-built security being bypassed and allowing data loss or data breach.

**Primary impact areas:** performance; reputation

**Risk owner:** Director of Finance

**Date first entered on register** 19/08/2019

**Workplan ref:** FD8

<b>Initial likelihood</b>	4	<b>Initial severity</b>	4	<b>Initial risk score</b>	16
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**Tasks to mitigate risk:** Data/IT systems are secured through firewalls, anti-virus software, password and security policies, online training for staff and HR policy. Microsoft 365 security features implemented.

Cloud back-ups.

Bi-annual internal audit of IT systems and processes carried out, including Cyber Security.

ICT security protocols were reviewed in light of staff working from home to ensure compliance.

ICT protocols on automatic deletion were instigated within Microsoft Office 365 as well and the removal of the autofill email tool to reduce message-sending errors.

Disaster recovery plan outlines potential disaster scenarios and associated recovery procedures.

Patching and upgrade policy.

<b>Revised likelihood</b>	3	<b>Revised severity</b>	4	<b>Revised risk score</b>	12↑
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**Additional actions required:** Review existing policies on a regular basis to ensure they follow most up to date security measures

Ongoing attach simulation training targeting higher risk roles including user education and awareness

Implement additional security policies – e.g. conditional access / app protection policies to control access via unmanaged or personal devices

[Implementation of any actions identified through the cyber security audit.](#)

Migration of on-premise system and data to cloud

Cost/benefit review of network security scanning

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## Risk 11 A breach in data security or data protection

**Risk description:** Failure by staff to follow GDPR processes or protocols, allowing data breach.

**Primary impact areas:** performance; reputation

**Risk owner:** Director of Operations (Data Protection Officer)

**Date first entered on register** 19/08/2019

**Workplan ref:** FD8

<b>Initial likelihood</b>	4	<b>Initial severity</b>	4	<b>Initial risk score</b>	16
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**Tasks to mitigate risk:** Certified GDPR Data Protection Officer(s) and GDPR Compliance Plan in place, and data protection training given to all staff.

All new staff to the Authority are inducted on Data Protection and the principles of GDPR.

All new staff are required to complete a Data Security induction with the DPO.

Regular ELMS training in Data Security

<b>Revised likelihood</b>	2	<b>Revised severity</b>	4	<b>Revised risk score</b>	8<=>
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**Additional actions required:** 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.

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