

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 December 2017 and implements a recommendation from Internal Audit and a new risk on Data Protection.

Recommendation: That the Committee reviews and approves the Strategic Risk Register.

1 Background

- 1.1 The Authority's Strategic Risk Register is reviewed regularly and has a 6-monthly review by Risk Owners. In December 2017 the Risk Register underwent a scheduled 6-monthly review by Risk Owners.
- 1.2 Risk 21 relating to Payroll is a new risk which has been implemented following a recommendation by internal audit and was implemented in June 2017. Risk 22 is a new risk identified as part of the December 2017 review and relates to the forthcoming implementation of the EU General Data Protection Regulation from 25th May 2018. The latter is a primary focus of the Authority at the current time.
- 1.3 Since the update to the Strategic Risk Register, it has been concluded that the EU Interreg *CANAPE* project, of which the Broads Authority is the lead member, requires its own risk assessment and report. This will be a separate risk assessment.
- 1.4 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, but this may be regarded as normal for certain types of risk.

Background papers: None

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Date of report: 19th February 2018

Broads Plan Objectives: None
Appendices: Appendix 1 - Strategic Risk Register reviewed December 2017.

Strategic Risk Register

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.

Strategic Risk Register

Description of Risk Vulnerability: Loss/Non-Availability of Key Staff									
No.1	Risk Owner/Assessor: Head of HR					Assessment Date: December 2017			
						Review Date: June 2018			
Specific Hazards Describe the vulnerability & Impact	Initial Risk			Controls / Safeguards / Precautions	Revised Risk			Additional Actions Required	Timescale
	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	<p>Sickness absence reporting and monitoring procedures in place.</p> <p>Increased awareness through MT Agendas and ongoing consideration as to further specific steps to address it.</p>	2	2	4	LP to develop three year People Strategy to aid succession planning , to be incorporated into Business Plan. Initial action is to complete research and planning stage of document.	March 2018
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>	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

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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 EAP</p>	1	1	1	Training of line managers to be able to counsel and support the employee concerned.	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 seek to add value to employment packages where possible. Uses of salary sacrifice scheme and vouchers and other packages.</p> <p>The ability to apply a Market Supplement is available in exceptional circumstances</p>	1	3	3		Ongoing through MT
Inadequate succession planning causing loss of key staff and skills at all levels throughout the Authority.	2	2	4	People Strategy including identification of future staff requirements and annually reviewed job descriptions. Seeking to encourage shared knowledge of or experience of other staff to key skills through people strategy.	2	1	2	People Strategy to be scoped and thereafter advanced	By March 2018
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: December 2017			
						Review Date: June 2018			
Specific Hazards Describe the vulnerability & Impact	Initial Risk			Controls / Safeguards / Precautions	Revised Risk			Additional Actions Required	Timescale
	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	<p>Fire Safety Risk Assessment. Undertaken by landlord and BA. Appropriate fire prevention measures in place e.g fire alarms, fire extinguishers.</p> <p>Desktop Exercise successfully carried out in February 2017.</p>	3	1	3		
<p>Flooding of site or loss of access to site through flooding (especially Dockyard) could cause loss of information</p> <p>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</p>	2	3	6	<p>Yare house Emergency Fire Procedure and BA Supplementary Procedure (including bomb threat procedures).</p> <p>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.</p> <p>Dockyard has built-in flood protection as part of the building design, office accommodation raised to first floor level, access placed on higher ground .</p> <p>A mains operated pump operates on the bridge hole keeping water levels down. Additional large bore pump on standby over pump if required.</p>	1	3	3	Review with Business Continuity Plan	October 2018
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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<p>achieve objectives/meet deadlines and damage to reputation/credibility.</p>			<p>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.</p>					
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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: December 2017						
						Review Date: June 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	DR servers to be relocated to Dockyard which will reduce Revised risk	August 2017 (Timescale revised to allow completion of building work and installation of cooling system)
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: December 2017						
						Review Date: June 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		
Underestimation of costs of managing Breydon Water causing loss of credibility/reputation with the public/stakeholders.		2	1	2	Hydrographic modelling of Breydon Water, formation of Breydon User group and re-designed Turntide Jetty have increased our understanding of this waterbody and reduced the amounts of unknowns.			1	1	1		Ongoing
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 2017. 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.						Review of Navigation furniture due in 2018	March 2018

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			<p>Turntide Jetty renewed, routine replacement of channel markers included in budget provision. Condition assessment of all BA buildings now completed in 2016.</p>					
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Strategic Risk Register

Description of Risk Vulnerability: Significant Loss of Income												
No.5	Risk Owner/Assessor: Chief Financial Officer / Chief Executive					Assessment Date: December 2017						
						Review Date: June 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 next 2 years.			1	1	1	Review at end of 2018	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.	End March 2018.

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Description of Risk Vulnerability: Loss of Invested Reserve Funds												
No.6	Risk Owner/Assessor: Chief Financial Officer						Assessment Date: December 2017					
							Review Date: June 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	Continuous review of cash flow requirements and credit ratings. Annual review of Strategy.	Ongoing

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Description of Risk Vulnerability: Failure of major procurement activity												
No.7	Risk Owner/Assessor: Chief Financial Officer				Assessment Date: December 2017							
					Review Date: June 2018							
Specific Hazards		Initial Risk			Controls / Safeguards / Precautions			Revised Risk			Additional Actions Required	Timescale
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 by end of March 2018	March 2018
Inappropriate supplier identified causing financial loss.		2	1	2	Procurement Strategy			1	1	1	Update Procurement Strategy	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		Ongoing
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	Ongoing

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Description of Risk Vulnerability: Loss resulting from fraud, corruption or misappropriation of resources												
No.8	Risk Owner/Assessor: Chief Financial Officer					Assessment Date: December 2017						
						Review Date: June 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 to be delivered to Finance/HR.	January 2018
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			2	1	2		
Fraudulent changes to supplier bank details causing higher insurance premiums		1	2	2	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					Internal/ External Audit							
Fraudulent creation of fictitious employees		1	2	2	Internal payment processing and authorisation controls, budget monitoring and financial reconciliations Separation of duties IT security and passwords Counter Fraud, Corruption and Bribery Strategy			1	1	1		

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			Insurance Physical security arrangements					
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Strategic Risk Register

Description of Risk Vulnerability: Death or Serious injury to Member of Staff										
No.9	Risk Owner/Assessor: Head of Safety Management					Assessment Date: June 2017				
						Review Date: December 2017				
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	To develop "People Strategy" (see HR item Risk 1 to be scoped)	Scoping by October 2017
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 Evacuation plans in place for fire Workplace inspections carried out regularly	3	1	3		

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Loss of credibility/reputation with the public/ stakeholders			<p>Health and Safety Policy, Safety committee, Risk Assessments, Training for all staff and regular tool box talks.</p> <p>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.</p> <p>Communications Strategy</p>					
Negligence (by Authority/ manager/ individual) causing potential legal action against the Authority/ costs	2	1	<p>2</p> <p>Safety Committee and nominate Safety Reps</p> <p>Health and Safety/ Fire awareness specific skills Training for relevant staff</p> <p>First Aid trained staff and Defibrillator at Yare House</p> <p>Insurance Policies to mitigate costs</p> <p>Audits in accordance with a publicised Audit schedule</p> <p>Quarterly reports on Health and Safety Monitoring to Management Team</p> <p>Personal Risk Assessment</p> <p>Occupational health practitioners carry out health surveillance etc.</p> <p>Management Development Training programme</p> <p>Employee assistance facility in place</p>	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 2017
		Review Date: December 2017

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	2017 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: December 2017			Review Date: June 2018		
Specific Hazards		Initial Risk			Controls / Safeguards / Precautions			Revised risk			Additional Actions Required	Timescale
Describe the vulnerability & Impact		S	P	R				S	P	R		
Major flooding incident/ failure of sea defences causing closure of sites, footpaths, other public areas		3	1	3	Integrated method of reviewing hazards both land and water developed Short and medium term coastal and flood defence provisions in place.			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		2	2	4	Weather warnings shared across social media platforms Broads Authority are statutory consultees on coastal flood risk management plans. Close working relationship with key EA and NE			2	2	4		
Closure of bridges (by Network Rail) causing potential reduction in income for the Authority if vessels move away from the Broads		2	1	2	Involvement in County Council emergency response procedures Emergency Communications Strategy Participation in major oil spill/ pollution events and exercises			2	1	2		
Occurance of invasive species (eg 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		2	1	2	Legal undertaking with Network Rail regarding maintenance of the bridge network Involvement in partnership invasive species response, including agreement on appropriate control and communication measures Urgent boating/ environment news published in website Weather warnings circulated to staff			2	1	2		

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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: December 2017 Review Date: June 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 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	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: December 2017
		Review Date: June 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 Describe the vulnerability & Impact	Initial Risk			Controls / Safeguards / Precautions	Revised Risk			Additional Actions Required	Timescale
	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>	<p>By November 2018</p>

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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: December 2017
		Review Date: June 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 Forum, Broads Tourism, BLAF and other working groups. 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 Parish Forums, HBO engagement meeting Consultations and communications of issues promoted through social media, direct engagement through Ask JP sessions. Major Review of Stakeholder and Community Engagement undertaken by Authority; Development of Biodiversity and Water 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				Bulletin sent to parish councils Restructure of Communications team to provide more effective PR resilience. (now complete)	Ongoing Complete

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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		
				<p>who are content for direct engagement with local groups</p> <p>Series of regular meetings set up between Chief Exec/ Chairman to engage with the NSBA/ BHBFB</p>					
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				<p>Register of Partnerships including operational risks for each partnership and Partnerships Governance Arrangements Action Plan</p> <p>Partnerships Protocol</p> <p>Annual review of partnerships by Management Forum/ BA</p>					

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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: December 2017
		Review Date: June 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		
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		

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Description of Risk Vulnerability: Death or Serious Injury to Volunteer		
No.16	Risk Owner/Assessor: Volunteer Coordinator	Assessment Date: December 2017
		Review Date: June 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	April 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 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		

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Specific Hazards Describe the vulnerability & Impact	Initial Risk			Controls / Safeguards / Precautions				Additional Actions Required	Timescale
	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: December 2017
		Review Date: June 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	June 2017

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: June 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	2017-18

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: December 2017								
		Review Date: June 2018								
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	<p>Effective Project Management and financial controls</p> <p>Regular reports to the Broads Authority</p> <p>Regular reports to HLF and LPS Board</p> <p>Clearly documented processes in place (See audit report)</p>	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	<p>Provision of dedicated resource to monitor progress not only of own project but of partners</p> <p>Partnership agreement/ contract required to set out responsibilities and commitments of each partner to secure position</p> <p>Specific risk register required for the CANAPE project</p> <p>The CANAPE Project Manager Job Description includes strong project management skills as essential</p>	2	1	2	<p>Recruitment of Project Manager with strong understanding of EU regulations</p> <p>Approval of key governance documents by the CANAPE Project Steering Group, including the risk register</p> <p>Need to better understand the steps to be</p>	<p>February 2018</p> <p>April 2018</p>

Strategic Risk Register

								carried out in case “unduly” payments must be recovered from project beneficiaries.	
Currency fluctuations between grant claim submission and payment for CANAPE	3	3	9	Difficult to mitigate due to Local Authorities not being able to hedge Take precautionary approach to estimates of income in £	3	2	6	Risk related to exchange rate to be included in the CANAPE risk register	April 2018
Failure to meet expectations of partners – both commercial, EU and UK	2	2	4	Ensure good quality staff are appointed as programme managers and time is taken in good relationship building with partners. 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. Ensure that relationships with partners and funders remain strong and respond rapidly to any misunderstandings.	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: Risks Associated with Payroll – Internal (Risks associated with external provider covered under Risk 8)												
No.21	Risk Owner/Assessor: Head of HR					Assessment Date: December 2017						
						Review Date: June 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		3	3	9	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.			3	2	6	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: Disclosure or 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: December 2017				Review Date: June 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 will be implemented from 28 th May 2018 into UK law and provides for substantial fines for breach of data protection laws.		3	3	9	GDPR working group of officers set up to review and implement policies and procedures. Training provided to some staff groups. Designated Data Protection Officer (DPO) identified and has undertaken a GDPR Foundation course. Internal audit to review the Authority's preparation for GDPR in late February 2018.			3	2	6	Data asset register in course of preparation Data retention policy to be produced Deletion of unnecessary data to take place DPO to undertake practitioner course Training to staff and Members to take place Where appropriate a DPIA to take place on shared data Renewal of processing	End of January 2018 End of January 2018 End of February 2018 End of February 2018 March 2018 End of March 2018

Strategic Risk Register



									consents required where processing relies upon consent	
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