

# Audit and Risk Committee

20 July 2021

Agenda item number 14

## Corporate Risk Register – 6-month review

Report by Head of Governance

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### Summary

The Broads Authority's Corporate Risk Register has been reviewed and updated as part of a biannual review cycle.

### Recommendation

To approve the updated Corporate Risk Register (July 2021).

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## 1. Introduction

- 1.1. The Audit and Risk Committee's responsibilities for risk are set out in the Committee's Terms of Reference. For the Corporate Risk Register (previously called the Strategic Risk Register), these responsibilities are to make sure the Register adequately addresses the Authority's risks and priorities; to monitor the effective development and operation of the Authority's risk management; and to monitor progress in addressing risk-related issues reported to the Committee, and seek assurance that risks are being managed within the risk appetite of the Authority.
- 1.2. The Corporate Risk Register 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, which identify risks that could threaten day-to-day operational activities. These Registers are managed by each Director. Where a new risk identified within a Directorate has a revised risk score above 16 (high risk), it is automatically referred to the Corporate Risk Register for monitoring by the Audit and Risk Committee and the Management Team. If new mitigation measures put in place then reduce the risk's score to below 16 (moderate to low risk), the risk is removed from the Corporate Risk Register, but retained on the Directorate Risk Register.
- 1.3. The Authority also has a Risk Management Policy, which sets rules and standards for managing strategic and operational risk, and guides staff in assessing, monitoring and managing risk. The policy is reviewed every two years, and is next due for review in January 2022.
- 1.4. The Management Team has overall responsibility for the risk registers and policy, working with the Head of Governance, and risk owners are responsible for reviewing

and updating their individual risks. Every risk is reviewed at least six-monthly, or when there is a significant change in circumstances. The registers are maintained on the Authority's intranet.

## 2. Review of risk registers

- 2.1. The Corporate Risk Register was reviewed by the Management Team and Head of Governance on 18 June, and the updated register is at Appendix 1. A new risk has been added relating to serious incidents on the waterways.
- 2.2. The Directorate Risk Registers were also reviewed, and no risks within these registers are recommended for referral to the Corporate Risk Register.

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Date of report: 22 July 2020

Appendix 1 – Corporate Risk Register (July 2021)

## Broads Authority Corporate Risk Register (update July 2021)

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

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|          |  |  | moorings, Mutford Lock, rail bridges, Port of Norwich).   |                                     |                                 |                               |   | Working Group with Norfolk County Council, New Anglia and Network Rail.<br>Insurance in place for equipment and buildings over £250 - cover includes business interruption for Yare House and Dockyard.<br>Landowner negotiations processes in place.<br>Programmed inspection regime in place and regular maintenance carried out.   |                                 |                               |   | Review Integrated Access Strategy action plan.   |   |
| 4        | Finance  | Reduction in income                      | Uncertainty about National Park and/or Navigation funding, as any reduction would affect our ability to deliver our duties, e.g. <ul style="list-style-type: none"> <li>Awaiting NPG funding confirmation from Defra</li> <li>Loss of toll income due to changes to/ impacts on local tourism industry)</li> </ul> Loss of money as a result of fraud incident against the BA, including cybercrime | 19/8/2019                           | 3                               | 5                             | Medium risk<br>15                           | Regular contact with Government (DEFRA) regarding Comprehensive Spending Review.<br>Consideration of external funding opportunities to plug any gaps.<br>Regular input to Government consultations.<br>Prudent budgeting for Navigation and National Park expenditure. Reserves in place to mitigate against sudden drop in income.<br>Significant blocks of work delivered through external funds won by Authority.<br>Training in cybercrime given to all budget holders. | 2                               | 3                             | Medium risk<br>6                            | Model expenditure options depending on proposed grant settlement and toll increases (Sept 2021).<br>Review impact of Covid-19 restrictions on boat numbers and levels of Authority reserves (monthly and in advance of tolls setting process).<br>Review minimum reserve levels in summer 2021 to mitigate any future pandemic impacts.<br>Achieve cyber essentials accreditation. | Chief Financial Officer                       |
| 5        | People, performance  | Large-scale public health crisis         | Significant public health crisis (e.g. pandemic), where Government imposed measures affect  | 02/07/2020                          | 5                               | 5                             | High Risk<br>25                             | Strict adherence to Government guidance and mitigation measures in place for staff, volunteers and members.   | 5                               | 4                             | High Risk<br>20                             | Review ongoing use of head office at Yare House and staff working  | Chief Executive                               |

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|          |  |  | <p>the continuity of the BA's operational services and prevent visitors accessing the Broads for prolonged periods.</p> <p>(also see risk no.4)</p>   |                                     |                                 |                               | <p>Yare House, TICs and remote offices and facilities risk assessed and WFH measures in place for staff (where role allows). Key services (Safety Management) maintained within executive area.</p> <p>Clear and concise internal and external communications in place.</p> <p>Business continuity/disaster recovery plan and incident reporting system in place and reviewed regularly. Incident response team meet as required to determine appropriate actions, services and measures to respond to crisis.</p> <p>Broads Authority convened to establish emergency powers and delegated powers needed to run the Authority.</p> <p>Communication links in place with relevant Government departments to assess measures, clarify advice and safeguard funding.</p> <p>Key services, budgets and reserves reviewed to safeguard delivery of Broads Plan priorities and externally funded projects.</p> |  |                                 |                               | <p>patterns as COVID restrictions ease; keep measures in place to return to lockdown restrictions if required.</p> |  |   |
| 6        | Performance  | Failure to meet statutory purposes or requirements of other relevant legislation | Underperformance in achieving, or conflict between, our statutory purposes resulting in legal issues or adverse impacts on the Broads and stakeholders (e.g. contravening Habitats Directive, loss of navigation access). | 19/8/2019                           | 3                               | 5                             | <p>Medium risk<br/>15</p>   | <p>Provision of external legal services and Monitoring Officer (MO) in place.</p> <p>Constitutional documents in place and regularly reviewed.</p> <p>Strategic plans (incl. Broads Plan) and Broads Local Plan subject to review and to Sustainability Appraisal/SEA and Habitats Regulations Assessment.</p> <p>Detailed environmental practices in place, including Environmental Standard Operating Procedures.</p> <p>Collaborative working in place with key stakeholders to understand and address issues and risks.</p> <p>Officer level project boards in place with Wildlife Trusts, Natural England and</p> | 2                               | 2                             | <p>Low risk<br/>4</p>  | <p>Monitor external legal and MO services on a quarterly basis.</p> <p>Review Broads Plan (timetable to BA July 2021). Commence review of Broads Local Plan.</p> | Chief Executive                               |

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|          |  |  |   |                                     |                                 |                               |   | Environment Agency to monitor progress and ensure compliance with statutory regulations.<br><br>Scientific research and monitoring ongoing to assess impacts, and mitigation measures developed if potential harm identified.   |                                 |                               |   |  |   |
| 7        | Performance  | Failure in role as local planning authority and in meeting national planning performance targets | Underperformance of planning function, resulting in legal issues/negative impacts.                                      | 19/8/2019                           | 3                               | 4                             | Medium risk<br>12                           | Statutory duties identified as part of appraisal process with key staff.<br><br>Staff training in place.<br><br>Planning delivery monitored formally (Planning Committee review performance quarterly and appeals annually).  | 2                               | 4                             | Medium risk<br>8                            | Monitor planning delivery on a quarterly basis.  | Director of Strategic Services                |
| 8        | People   | Safety-related incidents (operational works) resulting in death or serious injury                | Death or serious injury to officer, volunteer or member of public in relation to the carrying out of operational works. | 19/8/2019                           | 5                               | 5                             | High risk<br>25                             | Health and safety policies in place and reviewed regularly by H&S Committee and risk owners.<br><br>H&S Committee monitors and reviews incident reports; risk assessments reviewed and updated regularly.<br><br>All staff and volunteers trained in key H&S issues; regular tool box talks given before carrying out tasks.<br><br>Safety observations ONS system in place to catch near misses and learn from incidents. All accidents investigated; regular audits used to check control measures.<br><br>Insurance in place for legal expenses.<br><br>Quarterly reports on H&S monitoring assessed by Management Team.<br><br>Safety system externally audited to ensure fit for purpose and compliance. | 2                               | 5                             | Medium risk<br>10                           | Monitor changes in H&S legislation.<br><br>Monitor industry best practice and implement changes where required.<br><br>Review Codes of Practice to maintain operational suitability and safety (end 2021).<br><br>Carry out internal review of key H&S legislation to ensure Authority processes are appropriate (end 2021). | Director of Operations                        |
| 9        | Reputation   | Safety-related incidents (boating) resulting in  | Failure to exercise powers as a navigation authority and licencing authority, resulting in death and injury to boat     | 18/06/2021                          | 5                               | 5                             | High risk<br>25                             | Safety videos provided to boat hirers in advance of holiday.  | 4                               | 5                             | High Risk<br>20                             | Review hire boat licensing scheme.<br><br>Review and respond to findings of MAIB   | Director of Operations                        |

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|          |  | death or serious injury                                      | hirers due to poor performance by hire boat operators.  |                                     |                                 |                               |   | Ranger services in place (additional Rangers recruited in 2021) providing advice to waterways users.<br>Survey of HBO handover procedures carried out to assess efficacy.<br>Broadcaster, pre-visit training videos and other safety information provided to boat hirers.<br>Hire Boat licensing and audit of licensees in place.<br>Boat Safety Scheme and inspections in place.<br>Compulsory 3 <sup>rd</sup> party insurance in place for boats. |                                 |                               |   | investigation into incident at Great Yarmouth.<br>Implement findings of PMSC audit.   |   |
| 10       | Reputation, performance  | Disruption to key project partnerships                       | Failure to deliver Defra funded schemes and partnership projects on time and within budget, leading to potential financial issues, lack of service delivery or adverse publicity. | 19/8/2019                           | 3                               | 4                             | Medium risk<br>12                           | Contractual arrangements in place for key partnerships (see Partnerships Register).<br>Projects risk registers maintained for CANAPE and Water, Mills & Marshes projects. Regular project progress reported to Broads Authority.<br>Proactive role maintained within formal and informal partnerships at officer and member level.<br>Regular meetings held with funders to discuss progress and highlight issues in timing or delivery.            | 3                               | 3                             | Medium risk<br>9                            | Review Partnerships Register (Nov 2021).<br>Develop medium term funding model for UK National Park Comms Team.<br>Set up internal project board and risk register for Farming in Protected Landscapes (FiPL). | Chief Executive                               |
| 11       | Performance  | Breach in data security or data protection, or loss of data. | Failure by staff to follow IT and/or GDPR processes or protocols, resulting in in-built security being bypassed and allowing data loss or data breach.                            | 19/8/2019                           | 4                               | 4                             | High risk<br>16                             | Data/IT systems secured through firewalls, anti-virus software, password and security policies, online training for staff and HR policy.<br>Bi-annual internal audit of IT systems and processes carried out.<br>Certified GDPR Data Protection Officer(s) and GDPR Compliance Plan in place, and data protection training given to all staff.  | 2                               | 4                             | Medium risk<br>8                            | Monitor and review case law and keep up to date with GDPR & data protection information/best practice.<br>Provide refresher GDPR & Data Protection online training via ELMS                                   | Director of Operations                        |



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|-----------------|---|---|--|--|--|--------------------------------------|--|--|--|--------------------------------------|--|--|--|
|                 |   |   |  |  |  |                                      |  | ICT security protocols reviewed in light of staff working from home to ensure compliance.                                      |  |                                      |  | to all staff (by end 2021).  |  |

Prepared by: Management Team, Head of Governance

Date updated: July 2021

Next update due: Jan 2022