

Risk, Audit and Governance Committee

27 November 2024

Agenda item number 13

Corporate Risk Register

Report by Senior Governance Officer

Summary

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

Recommendation

To note the updated Corporate Risk Register (appendix 1).

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 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 early November, 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. Overall, there have been no new risks added to, or any risks deleted from, the register. However, it is proposed to delete risk 9 (disruption to key project partnerships) as the initial score has been reduced to 2 and there is nothing for the foreseeable future which is likely to affect this. The risk will be kept under review and re-instated to the register as and when necessary.
- 2.4. In addition, following comments from the last meeting, risk 10 has been amended to separate risks relating to data security and breaches between IT and data protection. A number of detailed IT risks relating to specific issues have been added to the DRR and these have also been summarised into risk 11 of the CRR. The majority of these have an initial risk score of either 9 or 12 and based on the risk scores overall, for the purposes of the CRR we have assessed the initial risk score to be 16.

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.

Author: Sara Utting

Date of report: 14 November 2024

Appendix 1 – [Corporate Risk Register \(November 2024\)](#)

Broads Authority Corporate Risk Register

(Updated ~~July~~ November 2024)

Contents

Broads Authority Corporate Risk Register.....	1
Explanatory Notes.....	2
Risk 1 Loss of key staff	3
Risk 2 Harmful actions undermining public confidence in Broads Authority.....	4
Risk 3 Assets	5
Risk 4 Reduction in income and increase in costs	6
Risk 5 Large-scale public health crisis.....	7
Risk 6 Failure to meet statutory purposes or requirements of other relevant legislation	8
Risk 7 Safety-related incidents (operational works) resulting in death or serious injury.....	9
Risk 8 Safety-related incidents (boating) resulting in death or serious injury.....	10
Risk 9 Disruption to key project partnerships.....	11
Risk 10 A breach in data security or data protection	12
Risk 11 A cyber security event or loss of service	13

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						

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

Initial likelihood	4	Initial severity	4	Initial risk score	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).

Revised likelihood	4	Revised severity	3	Revised risk score	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.
~~Recruit Development Manager.~~

[return to contents](#)

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

Initial likelihood	4	Initial severity	4	Initial risk score	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 likelihood	3	Revised severity	2	Revised risk score	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](#)

[return to contents](#)

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

Initial likelihood	3	Initial severity	4	Initial risk score	12
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Tasks to mitigate risk: Asset Management Strategy in place. Integrated Access Strategy and Moorings Strategy in place (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.
 Landowner negotiations processes in place.
 Programmed inspection regime in place and regular maintenance carried out.

Revised likelihood	3	Revised severity	2	Revised risk score	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.

[return to contents](#)

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

Initial likelihood	34	Initial severity	5	Initial risk score	1520↑
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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.
~~Work ongoing to minimise costs as a result of reduced income.~~
~~Reducing expenditure to reflect reduced/declining income.~~

Revised likelihood	23	Revised severity	3	Revised risk score	6↔9↑
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Additional actions required: Model expenditure options depending on proposed grant settlement and toll increases (Aug ~~2024~~2025).
~~Make provision for reduction in tolls income.~~
 Explore options on income generation ~~prior to 2025/26 budget setting.~~
 Toll/Budget workshop to be held with members Autumn ~~2024~~2025.
 Training for all staff to be delivered via ELMs on Counter fraud, bribery and corruption during 2024/25.
~~Regular review of impacts of additional delays to Yare House downsizing.~~
~~Move to smaller office space planned for summer 2024.~~

[return to contents](#)

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

Initial likelihood	5	Initial severity	5	Initial risk score	25
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Tasks to mitigate risk: Strict adherence to Government guidance and mitigation measures in place for staff, volunteers and members.
 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.

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

[return to contents](#)

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

Initial likelihood	3	Initial severity	5	Initial risk score	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.

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

[return to contents](#)

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

Initial likelihood	5	Initial severity	5	Initial risk score	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 were provided to the appropriate staff.
Safety observations ONS system in place to catch near misses and learn from incidents. 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).

Revised likelihood	2	Revised severity	5	Revised risk score	10↔
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Additional actions required: Monitor changes in H&S legislation.
Monitor 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 ~~2024~~2025.

[return to contents](#)

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

Initial likelihood	5	Initial severity	5	Initial risk score	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.](#)

Revised likelihood	3	Revised severity	5	Revised risk score	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 2024-2025](#) at GYYS.
Review of safety incident data from [2023/24-2024/25](#) so trends and key areas to review can be determined due early [2024-2025](#).
Program of summer [2024-2025](#) spot check HB operators to be developed.

[return to contents](#)

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

Initial likelihood	<u>4</u> 2	Initial severity	<u>4</u> 1	Initial risk score	16 <u>2</u> ↓
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Tasks to mitigate risk: Contractual arrangements in place for key partnerships (see Partnerships Register). Projects risk registers maintained for ~~Water, Mills & Marshes and Fibre~~ Broads 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.

Revised likelihood	3 <u>1</u>	Revised severity	<u>4</u> 1	Revised risk score	12 ↔ <u>1</u> ↓
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Additional actions required: Partnerships Register reviewed regularly (Nov ~~2023~~2024).

[return to contents](#)

Risk 10 A breach in data security or data protection, ~~or loss of data~~

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

Initial likelihood	4	Initial severity	4	Initial risk score	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. Additional/Refresher Accredited Data Protection Training provided by external supplier in Dec 2023. Bi-annual internal audit of IT systems and processes carried out.~~
 Certified GDPR Data Protection Officer(s) and GDPR Compliance Plan in place, and data protection training given to all staff.
~~ICT security protocols 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.~~
 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.

Revised likelihood	2	Revised severity	4	Revised risk score	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.

[return to contents](#)

Risk 11 A cyber security event or 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

<u>Initial likelihood</u>	<u>4</u>	<u>Initial severity</u>	<u>4</u>	<u>Initial risk score</u>	<u>16</u>
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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.

<u>Revised likelihood</u>	<u>3</u>	<u>Revised severity</u>	<u>4</u>	<u>Revised risk score</u>	<u>12↑</u>
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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.
Migration of on-premise system and data to cloud.
Cost/benefit review of network security scanning.

[return to contents](#)