

**Review of Strategic Risk Register**  
Report by Solicitor and Monitoring Officer

**Summary:** The Strategic Risk Register has been reviewed and updated following consultation with risk owners in June 2017 and implements a recommendation from Internal Audit

**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 2016 the Register was subject to a thorough review and re-formatting in conjunction with Risk Owners by the Solicitor and Monitoring Officer. The Register underwent a further 6-monthly review in June 2017 by Risk Owners.
- 1.2 Risk 21 relating to Payroll is a new risk which has been implemented following a recommendation by internal audit. All risks have been reviewed in June 2017, with the next review by risk-owners due in December 2017.
- 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 Partner, requires its own risk register. This will be a separate risk assessment which will be presented to the *CANAPE* Project Steering Group in April 2018. Once the *CANAPE* risk register is approved by PSG, it is envisaged that the Strategic Risk Register will make reference to this separate document.
- 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
Author:	David Harris
Date of report:	30 October 2017
Broads Plan Objectives:	None
Appendices:	Appendix 1 - Strategic Risk Register



# Strategic Risk Register

Description of Risk Vulnerability: Loss/Non-Availability of Key Staff											
No.1	Risk Owner/Assessor: Head of HR				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		
Key post or role-specific posts absent for a prolonged time causing loss of decision making ability.		2	2	4	Sickness absence reporting and monitoring procedures in place.  Increased awareness through MT Agendas and ongoing consideration as to further specific steps to address it.		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.	Review October 2017
Sickness/outbreak of pandemic (eg Swine Flu) causing loss of knowledge and experience and associated costs.		2	2	4	Hygiene-preventable infections addressed recently through MF.  Anti-bacterial soaps available in the wash rooms, hand wash & telephone sanitizers available to help reduce infectious disease spreading.		2	2	4	Consideration of office-bound staff being dispersed in the case of a major pandemic.  Solicitor and Monitoring Officer to include this in next review of Business Continuity plan in October 2017	October 2017
Terminal Illness suffered by member of staff or close relation causing them anxiety and inability to perform their role.		1	2	2	Use of welfare and well-being service.  Flexible working arrangements, unpaid annual		1	1	1	Training of line managers to be able to counsel and	July 2017

## Strategic Risk Register

				leave and other amended working duties available to help staff cope with private matters				support the employee concerned.	
Inability to compete in terms of pay causing reduced quality/less efficient service.	1	3	3	Job evaluation scheme to ensure fair and appropriate remuneration of staff. Also steps to seek to add value to employment packages where possible. Use of salary sacrifice scheme and vouchers and other packages.  The ability to apply a Market Supplement is available in exceptional circumstances	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 October 2017
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 Parole and HR function	October 2017

# Strategic Risk Register

Description of Risk Vulnerability: Loss of Offices including Field Bases									
No.2	Risk Owner/Assessor: Solicitor and Monitoring Officer					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		
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 2017
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 2017

# Strategic Risk Register

<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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# Strategic Risk Register

Description of Risk Vulnerability: Loss of IT/Communications Systems									
No.3	Risk Owner/Assessor: Head of ICT and Collector of Tolls					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		
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"> <li>• Business Continuity Plan</li> <li>• Disaster Recovery Plan</li> <li>• Externally hosted website – allowing continued communication to staff, public and stakeholders</li> <li>• External email filtering with remote access facility</li> <li>• Insurance Policies</li> <li>• Payroll Contingency Plan</li> <li>• Finance Business Continuity Plan</li> </ul>	3	1	3	DR servers to be relocated to Dockyard which will reduce Revised risk	August 2017  (Timescale revised to allow completion of TMS online bug testing in DR environment)
Short term power loss	3	2	6	<ul style="list-style-type: none"> <li>• Uninterruptible power supply for short term power loss to maintain server farm and phone system.</li> </ul>	1	3	3		
Cyber-crime. Significant virus causing potential loss of data.				<ul style="list-style-type: none"> <li>• Use of Firewalls</li> <li>• Anti-virus software</li> <li>• Password and other security policies</li> <li>• Electronic Communications Policy</li> <li>• Daily backups to disk with data migrated to tape and taken offsite</li> </ul>					

# Strategic Risk Register

Description of Risk Vulnerability: Financial Overspend												
No.4	Risk Owner/Assessor: Chief Financial Officer				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		
Large overspend of budget causing reduction in services		3	1	3	Budgetary control system including monthly reports to budget Holders/Management Team. Monthly meetings with directors 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 15 with regular reviews scheduled planned contributions to reserves set out in Financial Strategy.						Annual review required Annual review required	November 2017

# Strategic Risk Register

			Turntide Jetty renewed, routine replacement of channel markers included in budget provision. Condition assessment of all BA buildings now completed in 2016.					
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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: June 2017				
						Review Date: December 2017				
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. Work on securing National Park Grant which is settled for next 3 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.

# Strategic Risk Register

Description of Risk Vulnerability: Loss of Invested Reserve Funds												
No.6	Risk Owner/Assessor: Chief Financial Officer					Assessment Date: June 2017						
									Review Date: December 2017			
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

# Strategic Risk Register

Description of Risk Vulnerability: Failure of major procurement activity												
No.7	Risk Owner/Assessor: Chief Financial Officer					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		
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	September 2017
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

# Strategic Risk Register

Description of Risk Vulnerability: Loss resulting from fraud, corruption or misappropriation of resources									
No.8	Risk Owner/Assessor: Chief Financial Officer					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		
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 inculcated throughout the organisation.	2	1	2		
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		

# Strategic Risk Register



			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		

# Strategic Risk Register

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		

# Strategic Risk Register

<b>Description of Risk Vulnerability:</b> Death or Serious injury to Member of the Public		
<b>No.10</b>	<b>Risk Owner/Assessor:</b> Head of Safety Management	<b>Assessment Date:</b> June 2017
		<b>Review Date:</b> 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		



# Strategic Risk Register

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

# Strategic Risk Register

Description of Risk Vulnerability: Denial of Public Access to the Broads										
No.11	Risk Owner/Assessor: Director of Operations					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		
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 Close working relationship with key EA and NE staff	3	1	3	Publicise weather warnings on new Visit the Broads website	Spring 2017
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	Involvement in County Council emergency response procedures Emergency Communications Strategy Participation in major oil spill/ pollution events and exercises	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	Legal undertaking with Network Rail regarding maintenance of the bridge network	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	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 operational staff	2	1	2		

# Strategic Risk Register

<b>Description of Risk Vulnerability:</b> Failure to deliver a project on time or within budget	
<b>No.12</b>	<b>Risk Owner/Assessor:</b> Director of Planning and Resources for Development and Director of Operations for Implementation <b>Assessment Date:</b> June 2017 <b>Review Date:</b> 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		
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 Improvements made to PDG process including introduction of regular Project Teams for specific projects  Use Induction Process and Probationary period to highlight any training needs for new starters	2	1	2	Lessons learned to be captured from each project as part of PDG project evaluation process Engage officers/ consultants in support of project management tasks as required for major projects e.g. CANAPE	Ongoing

# Strategic Risk Register

<b>Description of Risk Vulnerability:</b> Loss caused through poor management of assets		
<b>No.13</b>	<b>Risk Owner/Assessor:</b> Chief Financial Officer	<b>Assessment Date:</b> June 2017
		<b>Review Date:</b> 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		
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	By August 2017
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

# Strategic Risk Register

Specific Hazards  Describe the vulnerability & Impact	Initial Risk			Controls / Safeguards / Precautions	Revised Risk			Additional Actions Required	Timescale
	S	P	R		S	P	R		
				<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 2017</p>

# Strategic Risk Register

<b>Description of Risk Vulnerability:</b> Loss caused by damage to relationships with key partners and stakeholders		
<b>No.14</b>	<b>Risk Owner/Assessor:</b> Head of Communications	<b>Assessment Date:</b> June 2017
		<b>Review Date:</b> 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		
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

# Strategic Risk Register

Specific Hazards  Describe the vulnerability & Impact	Initial Risk			Controls / Safeguards / Precautions	Revised Risk			Additional Actions Required	Timescale
	S	P	R		S	P	R		
				<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/ BHBF</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>				<p>Review of Partnerships recently undertaken</p> <p>Parish Forum and Broads Forum Review completed</p>	

# Strategic Risk Register

<b>Description of Risk Vulnerability:</b> Failure to comply with legal or regulatory changes causing consequential financial or regulatory issues.		
<b>No.15</b>	<b>Risk Owner/Assessor:</b> Solicitor and Monitoring Officer	<b>Assessment Date:</b> June 2017
		<b>Review Date:</b> 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		
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	New GDPR coming into force in May 2018 requires positive preparation for through management group established for this purpose.	April 2018
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		



# Strategic Risk Register

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

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		

# Strategic Risk Register

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

<b>Description of Risk Vulnerability:</b> Significant Loss of Volunteers		
<b>No.17</b>	<b>Risk Owner/Assessor:</b> Volunteer Coordinator	<b>Assessment:</b> June 2017
		<b>Review Date:</b> December 2017

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	
Reduced service delivery causing loss of satisfaction and credibility with the public.	2	1	2	Volunteer Strategy 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	Summer 2017  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: Director of Planning & Resources					Assessment Date: June 2017						
						Review Date: December 2017						
Specific Hazards		Initial Risk			Controls / Safeguards / Precautions			Additional Actions Required	Timescale			
Describe the vulnerability & Impact		S	P	R								
		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 Visits reviewed PAS Peer Review of Planning Committee in			2	1	2	Review Scheme of Delegation	2017-18

# Strategic Risk Register



			2014 BA has signed up to the Anglia Ruskin Programme for all Norfolk Authorities for 2014-15. Code of Conduct for Members on Planning Committee and Officers in process of review completion.					
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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 Planning Resources (HLF Landscape Partnership and Commercial Sponsorship); Director of Operations (EU – CANAPE)					Assessment Date: June 2017				Review Date: December 2017		
Specific Hazards		Initial Risk			Controls / Safeguards / Precautions			Mitigated Risk			Additional Actions Required	Timescale
Describe the vulnerability & Impact		S	P	R				S	P	R		
Failure to deliver the project on time and within budget leading to potential repayment of funding and adverse publicity – HLF, CANAPE and commercial partnerships		2	2	4	Effective Project Management and financial controls Regular reports to the Broads Authority Regular reports to HLF and LPS Board Clearly documented processes in place (See audit report)			2	1	2		On-going
Increased exposure to risk as Lead Partner for European project - CANAPE		3	2	6	Effective control over bid writing to ensure bid is realistic and accurately costed by using expertise from Norfolk County Council Provision of dedicated resource to monitor progress not only of own project but of partners. Partnership agreement/ contract required to set out responsibilities and commitments of each partner to secure position			2	1	2	Procurement of ongoing consultancy support for Lead Partner project management to be undertaken if project successful	July 2017
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		January 2018 onwards if bid successful

# Strategic Risk Register

<p>Failure to meet expectations of partners – both commercial, EU and UK</p>	2	2	4	<p>Clarity in the bid documents for HLF and CANAPE and in the contract with commercial partners</p> <p>Investment in programme manager for HLF, external support for CANAPE delivery.</p> <p>Investment in time and resources in the development of the project(s) and during implementation to ensure there is a good understanding of the project aims and objectives.</p> <p>Ensure that relationships with partners and funders remain strong and respond rapidly to any misunderstandings.</p>	2	1	2		On-going
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# 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: 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		
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	End of July 2017