

Audit and Risk Committee

17 November 2020

Agenda item number 9

Corporate Risk Register – update (Nov 2020)

Report by Head of Governance

Summary

The Authority's Corporate Risk Register has been reviewed and updated.

Recommendation

To note the updated Corporate Risk Register.

1. Introduction

- 1.1. The Broads Authority's Corporate Risk Register was reviewed and updated in November 2020 (Appendix 1). The Register focuses on high level strategic risk, with more detailed operational level risks contained in separate Directorate Risk Registers.
- 1.2. Ten risks are identified under the core areas of people, finance, assets, performance and reputation. Each risk is scored for likelihood and severity, and the two scores multiplied to produce an initial risk score. Each risk is then scored again, with mitigation measures in place, to produce a revised risk score.
- 1.3. The revised risk scores show that one risk is assessed as 'low risk' and eight as 'medium risk'. In all these cases, applying mitigation measures has reduced the initial risk scores. Since the last update in November 2019, a new risk has been added relating to the current COVID situation. While applying mitigating measures has reduced this score, the risk remains 'high'.

Author: Maria Conti

Date of report: 03 November 2020

Appendix 1 – Corporate Risk Register (November 2020)

Broads Authority Corporate Risk Register (November 2020)

Impact area People, finance, assets, performance, reputation	Risk no.	Risk name Risk that may affect the BA	Risk description Impact on delivery of BA objectives, service delivery, reputation	Date entered on risk register	Initial likelihood Score 1-5	Initial severity Score 1-5	Initial risk score Likelihood x severity	Tasks to mitigate risk (controls/safeguards/precautions) What we have done to date, noting any other factors that may influence the risk	Revised likelihood Score 1-5	Revised severity Score 1-5	Revised risk score Likelihood x severity	Additional actions required What we plan to do within the next year	Risk owner Officer ultimately responsible for the risk
People	1	Loss of key staff knowledge and expertise	Loss of knowledge, expertise or working associations, due to key staff leaving the BA or not being available for long periods	19/8/2019	4	4	High risk 16	Plan in place for handover period when key staff leave BA or are absent for significant periods HR policies and procedures in place to monitor absence and to support staff retention Electronic data storage being reviewed to support access to any officer's files Business Continuity Plan in place with system back up	3	3	Medium risk 9	Continue Data Project to ensure access to all staff e-folders Draft resilience plan for key staff and services (by end of 2020) Review Business Continuity Plan (by end 2020)	Chief Executive
Reputation	2	Harmful actions undermining public confidence in BA	Damage caused by comments/actions by BA Members or officers, with consequent harm to relationships with stakeholders or undermining of public confidence in BA	19/8/2019	2	4	Medium risk 8	Code of Conduct for Members in place containing Nolan Principles of Conduct and training given to all Members Code of Conduct for Officers in HR policies Protocol on Member and Officer Relations in place Proactive communication policy with local media and social media in place Monitoring Officer and Deputy Monitoring Officer appointed, with specialisms in Local Authority governance	2	3	Medium risk 6	Review and rewrite constitutional and corporate documents to make them shorter and clearer	Chief Executive
Assets	3	Loss of key physical assets	Damage, loss or malfunction to key assets, impacting on BA functions/duties and affecting public access or services (e.g. navigation, moorings, Mutford Lock, rail bridges, Port of Norwich)	19/8/2019	3	4	Medium risk 12	Asset Management Strategy in place Integrated Access Strategy and Moorings Strategy in place (updated 2019) Legal undertaking and regular meetings in place with Network Rail regarding rail bridge maintenance BA attendance at Network Rail meetings Insurance in place for equipment and buildings over £250 - cover includes business interruption Landowner negotiations processes in place BA in Working Group with Norfolk County Council, New Anglia and Network Rail	3	2	Medium risk 6	Implement action plan to consolidate network of mooring provision across system	Director of Operations

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								regarding Trowse bridge and rail swing bridges Programmed inspection regime in place and regular maintenance carried out					
Finance	4	Reduction in income	Uncertainty about BA funding from Defra from 1/4/21 and toll income, as any reduction would affect our ability to deliver our duties Loss of money as a result of fraud incident against the BA, including cybercrime	19/8/2019	3	5	Medium risk 15	Regular contact with Government (DEFRA) regarding Comprehensive Spending Review and COVID-19 impacts. Additional support for COVID for 2020/21 made available through Control Change Notice from DEFRA Regular input to Government consultations Prudent budgeting for Navigation and National Park expenditure. Reserves in place to mitigate against sudden drop in income. Savings identified with budget holders to ease some of COVID-19 pressures Some significant blocks of work delivered through external funds won by BA Training in cybercrime given to all budget holders	2	3	Medium risk 6	Model expenditure options depending on proposed grant settlement and toll increases Review impact of COVID restrictions on boat numbers and levels of BA reserves Achieve cyber essentials accreditation	Chief Financial Officer
People	5	Impact on people's health	Significant public health crisis whereby imposed measures prevent visitors accessing the Broads for prolonged period	02/07/2020	5	5	High Risk 25	Constant monitoring of Government announcements and guidance and working closely with Defra officials to understand the implications for our stakeholders and safeguard financial position Provided clear and appropriate advice to staff, volunteers, members and the general public on Covid-19 Yare House, TICs and remote offices and facilities all risk assessed Maintained all key services where possible using Covid secure measures Weekly meeting of key managers to determine and review appropriate actions, services and measures required to react to crisis Reviewed key services, budgets and reserves to safeguard delivery of Broads Plan priorities and externally funded projects	5	4	High Risk 20	Maintain a precautionary approach to protect staff, volunteers, Members and the public Regular contact with Defra officials and national park and navigation authority colleagues to monitor the situation and respond appropriately Review use of head office at Yare House as COVID restrictions progress	Chief Executive

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Performance	6	Not meeting BA statutory purposes or the requirements of external legislation related to those statutory purposes	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)	19/8/2019	3	5	Medium risk 15	Provision of external legal services and Monitoring Officer (MO) in place Constitutional documents in place Strategic plans and Broads Local Plan subject to Sustainability Appraisal and Habitats Regulations Assessment Detailed environmental practices in place, including Environmental Standard Operating Procedures Collaborative working ongoing 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	2	2	Low risk 4	Monitor external legal and MO services Develop timetable for Broads Plan review	Chief Executive
Performance	7	Not meeting statutory duties as a local planning authority	Underperformance of planning function resulting in legal issues/negative impacts	19/8/2019	3	4	Medium risk 12	Statutory duties identified as part of appraisal process with key staff Staff training in place Planning delivery monitored formally (Planning Committee review performance quarterly and appeals annually)	2	4	Medium risk 8	Continue to monitor delivery	Director of Strategic Services
People	8	Safety incidents resulting in death or serious injury	Death or serious injury to staff, volunteer or member of public while carrying out operational works	19/8/2019	5	5	High risk 25	Health and safety policies in place and reviewed regularly by H&S Committee and risk owners Safety Committee monitors and reviews incident reports and risk assessments reviewed and updated regularly All staff and volunteers trained in key H&S issues, regular tool box talks given before carrying out tasks Safety observations ONS system in place to catch near misses and learn from incidents	2	5	Medium risk 10	Monitor changes in H&S legislation Monitor industry best practice and implement changes where required Review Codes of Practice to maintain operational suitability and safety end 2020	Director of Operations

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Reputation	9	Disruption in key project partnerships	Failure to deliver 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 12	Contractual arrangements in place for key partnerships (see Partnerships Register) Regular project progress reporting to BA members Proactive role maintained within formal and informal partnerships at officer and member level Regular meeting with funders to discuss progress and highlight issues in timing or delivery	3	3	Medium risk 9	Review and update Partnerships Register (by Nov 2020) Develop risk register for UK NP Comms Team	Chief Executive
Performance	10	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 16	Data/IT systems secured through firewalls, anti-virus software, password and security policies, online training for staff and HR policy 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 reviewed IT security protocols as staff working from home to ensure compliance	2	4	Medium risk 8	Monitor and review case law and keep up to date with GDPR and data protection information/ best practice Provide refresher GDPR & Data Protection online training via ELMS to all staff (by end 2020)	Director of Operations

Prepared by: Management Team, Head of Governance

Date updated: November 2020

Next update due: July 2021